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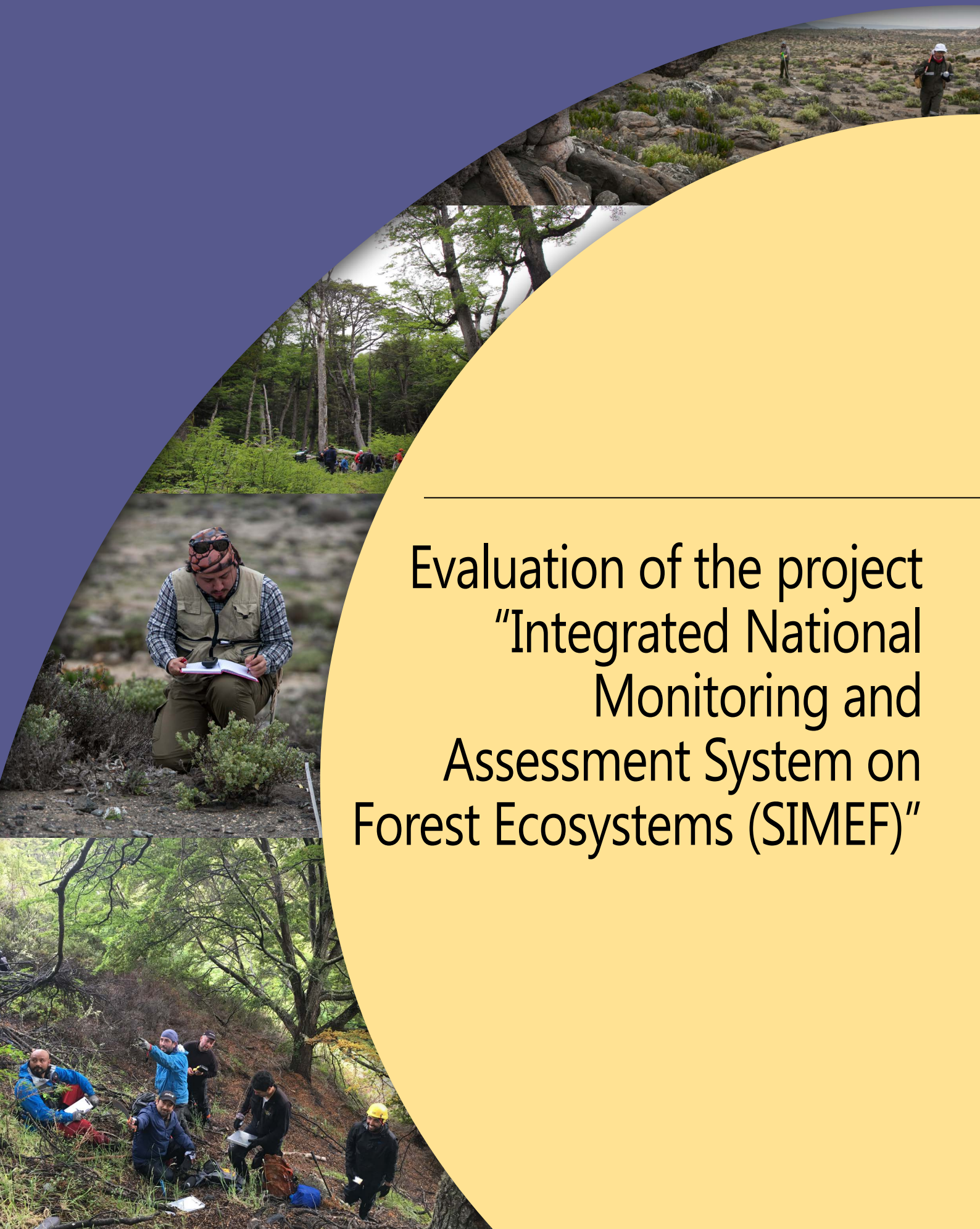

Evaluation of the project "Integrated National Monitoring and Assessment System on Forest Ecosystems (SIMEF)"

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Acronyms and abbreviations

ATC	Advisory technical committee
CFI	Continuous forest inventory
CIREN	Natural Resources Information Centre (*Centro de Información de Recursos Naturales*)
CONAF	National Forestry Corporation (*Consiglio dell'Ordine Nazionale dei Dottori Agronomi e dei Dottori Forestali)*
CPF	Country Programming Framework
ES	Executive Secretariat (SIMEF)
FAO	Food and Agriculture Organization of the United Nations
FPIC	Free, prior and informed consent
GEF	Global Environment Facility
INDAP	National Agricultural Development Institute
INFOR	National Forestry Institute
INIA	National Agricultural Research Institute
LTO	Lead technical officer
MBN	Ministry of National Assets
MINAGRI	Ministry of Agriculture
MMA	Ministry of Environment
NDC	Nationally Determined Contributions
OED	FAO Office of Evaluation
OPIM	Operational Partners Implementation Modality
PLADECO	Communal development plan
REDD+	Reducing Emissions from Deforestation and Forest Degradation in Developing Countries
RLC	Regional Office for Latin America and the Caribbean
RLUP	Regional land use plan
RPC	Regional participation committee
SAF	Aerial Photogrammetric Service
SEREMI	Regional Ministerial Secretariat
SFM	Sustainable forest management
SIMEF	Integrated National Monitoring and Assessment System on Forest Ecosystems
UNFCCC	United Nations Framework Convention on Climate Change

Executive summary

1. The final evaluation of the project "Integrated National Monitoring and Assessment System on Forest Ecosystems (SIMEF)" aims to detail the impact the project has had, the sustainability of its outcomes and the degree of achievement of its outcomes in the long term. In addition, the evaluation should also indicate future actions needed to sustain the project outcomes, expand on the impact it has had in subsequent phases, mainstream and up-scale its outputs and practices, and disseminate the information obtained among the regulating, forestry management and other authorities and institutions with political competences, to ensure the continuity of the processes that the project initiated.

2. The evaluation analyses the project execution period from its start date, 30 August 2015, until May 2020, using the mid-term review (MTR) results as its primary source of information. The geographical coverage of the evaluation was limited due to the cancellation of the field visits as a result of the global health crisis prevalent during the evaluation. Despite this restriction, attempts were made to remedy the issue by increasing the number of remote interviews with local stakeholders who participated in the activities on the ground. Specifically 81 people were interviewed from the following areas: Santiago, O'Higgins, Los Ríos, Aysén, Biobío, Los Lagos and Coquimbo. Similarly, the project theory of change (ToC) was reformulated to analyse the strategy, design, outcomes and expected impact, as well as the conditions and situations under which such should occur.

3. The findings of this final evaluation indicate that the project remains in line with the forest and climate policy of the Chilean Government, taking into account the priority actions set forth in its *2018–2022 Government Plan* in relation to biological diversity, and the level of ambition regarding the targets to reduce greenhouse gas (GHG) emissions stipulated in the framework of the Paris Agreement on climate change. In addition, the project continues to be aligned with the lines of work in the *Chile 2019–2022 Country Programming Framework* (CPF), in the process of being signed, as regards the generation of institutional frameworks and programmes that protect biological diversity; and the generation and strengthening of information. In addition, the project continues to be relevant to the initiatives of the focal areas of the Global Environment Facility (GEF) regarding biological diversity, climate change and sustainable forest management (SFM)/Reducing Emissions from Deforestation and Forest Degradation in Developing Countries (REDD+).

4. On average, the project has fulfilled an estimated 83 percent of its targets. Its achievements include the formalisation of an interinstitutional governance mechanism and the generation of new or consolidated knowledge about the country's forest ecosystems, including socioeconomic, biological diversity and carbon information, as well as the dynamics for the change of use of the soil and degradation of the forests. This information was incorporated with existing knowledge into a platform containing the SIMEF (the SIMEF Platform), which details information that has been used to update or consolidate some legislative instruments. The latter continues to be limited, given that the regulatory instruments still need to be created to support the fulfilment of the Native Forest Law and the authorisation of some management plans to promote SFM are still pending. In addition, nine regional participation committees (RPCs) still have to be created and some thematic maps showing biophysical, carbon stocks, change in land use and biodiversity information still have to be drawn up.

5. With regard to capacity-building, the project has completed 28 training courses and a diploma, mainly generating individual capacities relating to participatory monitoring, the use of drones and systems as well as land use. The areas for improvement identified include the strengthening of the mechanisms for the selection of the course participants and the increase in the support activities at institutional level, in order to contribute to a favourable legislative and institutional environment to apply the knowledge acquired. There are still courses pending that are essential for the transfer and use of the SIMEF Platform. The project has generated new knowledge which has been organised in this platform: the identification of over 100 new species of arthropods and the preparation of 21 technical, scientific and general distribution publications is noteworthy.

6. The project was successfully executed under the operational partners implementation modality (OPIM) with satisfactory performance by the National Forestry Institute (INFOR) as an operative partner and by the Food and Agriculture Organization of the United Nations (FAO) as an implementing agency. The factors that contributed to this success included the low fiduciary risk of the operative partner, the availability of a budget for FAO to support the technical supervision and the completion of checks by means of surveys and external audits. The shortcomings identified include limitations in the monitoring of the project output and outcome indicators, and in the progress towards their expected impact. At the time of the evaluation, 96 percent of the budget had been implemented, and 83 percent of the co-financing had been materialised, although it is important to mention that the project registered substantial delays and under-expenditure, worsened by the social and health crisis the country is going through.

7. The factors that have affected the efficiency of the project include the project design itself. In particular, the framework of outcomes does not have indicators, mid-term targets or assumptions for the outputs. In addition, there is no horizontal logic between Outcome 3.1 and its targets, which involves the use of information from the SIMEF. As regards the monitoring and evaluation (M&E), it can be observed that approximately 90 percent of the M&E reports and activities have been completed. However, the detailed monitoring of the indicators of the outputs and outcomes, the identification of risks and the completion of half-yearly reports and of the programme implementation review (PIR) show some opportunities for improvement.

8. Most of the relevant stakeholders, identified in the project document (PRODOC), were involved in the project to varying degrees. In particular, the regional representations of the national authorities, including the Ministry of Agriculture (MINAGRI), INFOR, the National Forestry Corporation (CONAF), the National Agricultural Development Institute (INDAP) and the National Agricultural Research Institute (INIA), in addition to some regional and local governments, were more involved in the RPC activities. Local stakeholders participated more actively in the activities completed at the pilot sites of O'Higgins and Los Ríos, which include the agricultural school Escuela Agrícola de San Vicente de Paul, the municipal library of Doñihue, representatives of civil organisations such as the Community Environmental Organisation 'De Quillayquen al Poqui', among many others. Participation by the private sector was very limited; participation by beekeepers and public-private local organisations was identified.

9. It is considered that the project's contribution to reducing the gender gap in the forestry sector (historically dominated by men) has been limited. The design and teaching of the diploma on forest ecosystems and land use with a gender-sensitive approach is the only

formal action that the project completed to incorporate this topic into its activities. The project communication strategy did not promote the participation of women in its activities, as was indicated in the PRODOC. The percentage of participation of women in the capacity-building activities reached 28.3 percent, when the target was 40 percent. With regard to the indigenous communities, it is considered that it was not necessary for the project to ask for free, prior and informed consent (FPIC) from FAO, as a result of its *Policy on Indigenous and Tribal Peoples* (2015), for the participation of members of the Mapuche indigenous community in the pilot activities in Panguipulli. The foregoing is based on the characteristics of the project and on the lack of clarity about how to implement that FAO policy during the project design phase.

10. The SIMEF is, at present, a regular programme of the Chilean State with a governance system and with a permanent annual budget established in the country's budget department. Given this, the sustainability of the achievements made in the project can be maintained and continue to be strengthened. However, a low level of appropriation of the system at local level was identified, which could affect its sustainability.

11. The project has established sound foundations that improve the monitoring of the conditions of forest ecosystems and, consequently, more robust information is generated and with greater frequency. However, due to the design problems and delays with the project that hindered the specification of the outputs linked to the use of the information from the SIMEF, very limited progress was made towards the expected impact.

Conclusions

Conclusion 1. Relevance. The project remains in line with the forest and climate policy of the Chilean Government, taking into account the lines of work set forth in the *Chile 2019–2022 Country Programming Framework* of FAO-Chile and the initiatives of the focal areas of the GEF in relation to biological diversity, climate change and reducing emissions from deforestation and Forest degradation in developing countries (REDD+).

Conclusion 2. Achievement of the project outcomes. On average, the project managed to fulfil around 83 percent of its targets. It is worth highlighting the creation of an interinstitutional structure that will support the continuity of the SIMEF and the creation of a digital platform with five tools. The most limited achievements can be found in the use of the information to contribute to legal, planning and management instruments.

Conclusion 3. Development of capacities. The project mainly developed individual capacities relating to participatory monitoring, the use of drones, the use of data and land use systems and platforms. Opportunities for improvement were identified in areas such as the selection of participants and the development of support activities at institutional level.

Conclusion 4. Knowledge management. The project contributed significantly to the generation of new knowledge about forest ecosystems that includes technical data, protocols and methodologies. In addition, it contributed to its integration with pre-existing knowledge and to its distribution and use, by means of the creation of a platform that organises and analyses the integrated knowledge.

Conclusions 5 and 6. Efficiency, implementation and execution of the project, and co-financing. The execution of the project under the operative partners implementation modality was successful, with a satisfactory performance by the Forestry Institute as an operative partner,

and of FAO. Areas for improvement were identified in the monitoring of the project, risk management and the proposal of measures that could be adapted to the situations faced by the project. At present 96 percent of the budget has been implemented, and 83 percent of the co-financing has been materialised although the project showed budgetary underutilisation problems and delays in the execution of activities that led to modest progress being made towards the achievement of its expected impact.

Conclusion 7. Factors affecting efficiency: design. The project design itself is one of the factors that has affected the efficiency of the project. Although it addresses a priority national problem whose solution was designed in a participatory manner, the Framework of Outcomes lacks indicators, mid-term targets and assumptions for the outputs and shows a lack of horizontal logic between Outcome 3.1 and its targets.

Conclusion 8. Factors affecting efficiency: monitoring and evaluation. The M&E plan has been almost completely fulfilled. However, some shortcomings were detected in the detailed monitoring of the indicators of the outputs and outcomes, the identification of risks and the completion of half-yearly reports and of the PIR.

Conclusion 9. Involvement of the stakeholders. The involvement of the stakeholders was effective and helped to achieve the project outputs. The regional authorities participated actively in the Regional Participation Committees and local stakeholders were more involved in the project pilots.

Conclusions 10 and 11. Gender and indigenous communities. The project included the gender perspective in its activities in a limited manner. Although the project did not require the realisation of a strategy on the topic, it did require the incorporation of gender-sensitive approaches, which was not fully achieved. It was not necessary to ask for the free, prior and informed consent of the tribal and indigenous communities of FAO for the pilot realised in Panguipulli.

Conclusion 12. Sustainability. The incorporation of the SIMEF as a regular programme of the Chilean State ensures its continuity and, consequently, the sustainability of the project achievements. However, the delayed release of the platform reduced the appropriation of the system by local stakeholders, which reduces that sustainability.

Conclusion 13. Progress towards impact. The project set out the correct path to contribute to achieving its foreseen impact, mainly by contributing to the generation of robust and reliable information. However, the project did not manage to make a lot of progress along this path and, as such, the progress towards impact is still low.

Recommendations

Recommendation 1. To the Ministry of Agriculture, to the Forestry Institute, to the Natural Resources Information Centre (CIREN) and to the National Forestry Corporation. For the second phase of the SIMEF, the recommendation is to consolidate the Steering Committee and the system evaluation component; guarantee synergies and collaboration with the Ministry of Environment (MMA); continue to exercise political pressure to formalise the legislative instruments influenced by the project; progressively generate the technical capacities to integrate the extended continuous forest inventory; use the existing government protocols to include the opinions of the Mapuche community in the formulation of the individual management plans in Panguipulli.

Recommendation 2. To the executor and co-executors of the project and to FAO. In the time left of the project, the recommendation is to include an introductory text in the Platform that explains what SIMEF is and describes its two components, among other actions. In addition, it is suggested that the project's pending activities, which are very close to being finished, be completed.

Recommendation 3. To the FAO-GEF Coordination Unit and to FAO. It is recommended that the FAO-GEF Coordination Unit does not approve projects with incomplete frameworks of outcomes, lacking indicators, assumptions and mid-term targets. It is also recommended that the FAO-GEF Coordination Unit, FAO-Chile and the FAO Regional Office for Latin America and the Caribbean design projects with a framework of outcomes based on the conceptual and technical foundations to prepare logical framework matrices.

Recommendation 4. To FAO. It is recommended that FAO explicitly include the development of a monitoring and evaluation system in the framework of the monitoring and evaluation plan, which is included in the project documents.

Recommendation 5. To FAO and the FAO-GEF Coordination Unit. It is recommended that the GEF-6 projects be encouraged to perform an analysis of the gender perspective and to contribute more effectively to the incorporation of the gender-sensitive approach in their activities.

Recommendation 6. To FAO, to the FAO-GEF Coordination Unit and to the Forestry Institute. It is recommended that the design of the projects be accompanied by the preparation of a ToC that makes it possible to more clearly visualise the logic of the outcomes and outputs, define and understand the possible complexity of the change desired and identify interactions, barriers and assumptions to be fulfilled to achieve the expected impact.

Recommendation 7. To FAO and to the Forestry Institute. Improvements are recommended in the processes to select participants in the capacity-building activities, as well as the inclusion of activities to support institutions to strengthen aspects that enable the people who have been trained, to apply the knowledge and skills acquired.

Recommendation 8. To the executor and co-executors of the project and to FAO. It is recommended that a virtual strategy be designed to launch the SIMEF Platform and provide training about its use online. To this end, it is suggested that the project be extended by four additional months, until December 2020, at no extra cost for the project.

1. Introduction

1.1 Purpose of the evaluation

1. The final evaluation of the project "Integrated National Monitoring and Assessment System on Forest Ecosystems (SIMEF)" takes place in compliance with the GEF requirements. It is a large project, the end date of which is 31 August 2020. During the evaluation process, an amendment was being negotiated to the Implementing Agreement between FAO and INFOR to extend the project until 31 December 2020. The evaluation has two aims. The first is to report back on the performance of the project to the donor (GEF), to the implementing agency (FAO), to the national body responsible for the implementation (MINAGRI) and to the regional and local governments that are stakeholders and counterparts in its implementation. The second aim is to generate lessons that are turned into measures, to consolidate the sustainability of the project outcomes, and into lessons learned. In general, this learning results from the evaluation of the achievement of the outcomes, their impact and the contribution to the objectives proposed by the project.

2. This report contains an initial chapter that includes the background and context of the project, as well as the reformulated ToC. The following includes the main chapter of the document that contains the description of the findings of the evaluation, for the ten criteria analysed. After this analysis, the main conclusions and recommendations generated by the evaluation team are detailed, to finish with a final chapter that explains the lessons learned, which were identified during the evaluation process.

1.2 Intended users

3. The users (and the uses) foreseen for this evaluation are shown in Table 1.

Table 1: Users and uses of the evaluation

Users	Foreseen uses
Team implementing the project, which includes: the National project Director (NDP), officials from INFOR, CONAF and CIREN as well as the SIMEF Executive Secretariat (ES). The Subsecretariat of Agriculture as future coordinator of SIMEF work.	To resume the recommendations and lessons learned from the evaluation to consolidate the SIMEF by means of a transition strategy that strengthens its sustainability and the actions to perform in the short term.
INDAP, National Assets and local as well as regional governments of Aysén, Biobío, O'Higgins, Los Ríos, Los Lagos and Coquimbo.	To contribute to the implementation of the recommendations and consider the lessons learned from the project for its own planning and for the execution of future projects.
GEF and FAO (FAO-GEF Coordination Unit and technical areas).	The conclusions and recommendations of the evaluation can contribute to the strategic decision-making regarding the design and execution of new projects relating to similar topics in the near future. In addition, the evaluation may serve as input to complete future evaluations of GEF interventions in similar thematic areas.

Users	Foreseen uses
	Good practices can feed the management and distribution of knowledge.
FAO Representation in Chile	Can use the outcomes of the evaluation as an input for its strategic planning and design, as well as the execution of future projects.
Other donors, institutions (e.g., Ministry of the Environment (MMA), Aerial Photogrammetric Service, participating universities) and local or peasant organisations interested in biological diversity, climate change and SFM.	To resume the recommendations and lessons learned to support other projects focused on the integrated management of the natural resources in Chile.

1.3 Scope and objectives of the evaluation

4. The final evaluation analyses the project's period of execution from its start date, 30 August 2015, until May 2020, covering the activities of its three components. To analyse the first half of the project's execution, the MTR is used as a highly relevant source of information, and the progress in the implementation of its recommendations is assessed.

5. The scope of the evaluation, in terms of geographical coverage, was limited due to the cancellation of the field visits as a result of the global health crisis prevalent during the completion of the evaluation. However, an effort was made to remedy this by increasing the number of interviews with local stakeholders who participated in the activities on the ground, by interviewing people from the following areas: Santiago, O'Higgins, Los Ríos, Aysén, Biobío, Los Lagos and Coquimbo. In total, 22 interviews were conducted with local stakeholders and counterparts. In addition, this limitation was also addressed with the completion of two online surveys to obtain information from people trained within the framework of the project. More details about these implemented measures can be found in the methodology and limitations sections.

6. In accordance with its terms of reference (ToR), the main objective of this evaluation is that set forth in the PRODOC (which details that the aim of this exercise is to describe the impact of the project, the sustainability of the outcomes and the degree of achievement of its outcomes in the long term). In addition, the evaluation should also indicate future actions needed to sustain the project outcomes, expand on the impact it has had in subsequent phases, mainstream and up-scale its outputs and practices, and disseminate the information obtained among the regulating, forestry management and other authorities and institutions with legislative competences, to ensure the continuity of the processes that the project initiated. Table 2 shows the evaluation questions that adequately guide this evaluation.

Table 2: Evaluation questions by area of analysis

Relevance (requires classification)	Have the project outcomes been (and are they still) consistent with the spheres of activity/operational strategies of the GEF programme, the national priorities and the FAO CPF?
Achievement of the project outcomes (requires classification)	What outcomes (both intended and unintended) has the project achieved and to what extent have these contributed to the achievement of the project's environmental and development objectives?
Development of capacities and management of knowledge (under achievement of outcomes)	Were the capacity-building activities based on real needs, were they relevant to the sector/beneficiaries and did they capitalise on existing capacities? Did the capacity-building activities have an integrated approach (individual, organisational and favourable environment level)? What evidence is there that the beneficiaries acquired more capacities for gathering, analysing and using data, and that the institutions make informed decisions in relation to forest and land use policies? Have knowledge management activities and outputs been produced and shared, and has this improved the contribution to the outcomes?
Efficiency, implementation and execution of the project (requires classification)	Have the modalities and quality of implementation/execution, the institutional structure and the governance of the project, the financial, technical and operational resources and procedures available helped or hindered the achievement of the project outcomes and objectives?
Co-financing	To what extent has the foreseen co-financing materialised and how has lower than expected co-financing affected the project outcomes?
Monitoring and Evaluation (requires classification)	To what extent has the M&E plan and its implementation been efficient and contributed to the project outcomes?
Involvement of the stakeholders (requires classification)	Have other stakeholders been involved (such as civil society, indigenous communities or the private sector) in the design or the implementation of the project, and how has this affected the project outcomes?
Gender	To what extent have gender-sensitive considerations been taken into account in the design and implementation of the project? To what extent has the project ensured equality in terms of participation and benefits, contributing to the empowerment of women, youth and other vulnerable groups?
Sustainability (requires classification)	How sustainable are the outcomes achieved to date, at an environmental, social, financial and institutional level?
Progress towards impact	What preliminary signs of impact can be identified as a result of the contribution of the project?
Lessons learned	What lessons can be learned from the design, implementation and management of the project that can be useful for the future of the SIMEF (and for its use) at a national and local level or other current and future projects?

1.4 Method

7. The evaluation is guided by the norms and standards of the United Nations Evaluation Group (UNEG) and adopts a consultative and transparent approach. In particular, the process is implemented in close collaboration with the FAO Office in Chile (FAO-Chile), the NDP with INFOR and the Executive Secretariat (ES) of the project and representatives of CONAF and CIREN.

8. In addition, the methodology includes the GEF criteria and requirements to facilitate the comparison of the reports prepared by the latter and to contribute to the process of consolidation of the programme. Within this framework, the evaluation offers a rating of the different aspects of the project, based on the scale proposed by the GEF and included in the ToR of the evaluation itself. In particular, the evaluation presents the financial and co-financing data in accordance with the new GEF guide published in May 2019.

9. The evaluation follows an approach based on the ToC with an emphasis on the chain of outcomes and on the conditions for their achievement. The ToC aims to capture the causal relationship between inputs, outputs expected in the framework of outcomes of the project, outcomes to which these should contribute and conditions under which they should occur. To this end, the evaluation team reformulated the ToC developed during the MTR. The ES and other project partners reviewed this proposal, by means of the evaluation inception Report, which was shared with them in advance. This new version includes assumptions and is complemented by undesired and unforeseen outcomes that have actually had positive effects on the project. Specifically, the ToC is used to analyse the strategy and design of the project and the fulfilment of achievements.

10. The inception report (Annex 2) also includes a mapping of stakeholders and interested parties, which was reopened to identify additional users of the evaluation and to plan the information collection phase, ensuring the identification of all of the counterparts.

11. In order to respond to the main evaluation questions, an evaluation matrix was prepared (Appendix 3) which contains the evaluation criteria and indicators, together with the sources of information required to monitor them. In addition, the matrix includes the methods and instruments being used to fulfil the GEF criteria and requirements.

12. In particular, the methods and sources for gathering primary and secondary data, that make it possible to respond to the evaluation questions are as follows:

    i. **Documentation review.** The information available on the project was gathered, organised and analysed. The list of documents reviewed, in addition to the project documents can be found in the References section.

    ii. **Semi-structured online interviews.** Individual and "group" interviews were conducted (groups of people who were connected individually were interviewed remotely to obtain information on specific topics). In total, 81 people were interviewed, namely officials of the national government belonging to the Subsecretariat of Agriculture, INFOR, CONAF, CIREN and INDAP, as well as some regional representatives; officials of local governments; representatives of civil society organisations and of the private and academic sector, and FAO staff including the FAO Representative in Chile, the lead technical officer (LTO), funding liaison officer (FLO) and from the Regional Office for Latin America and the Caribbean (RLC). On

considering cancelling the evaluation mission, which is addressed in detail in the section regarding limitations, the interviews were conducted remotely using the platforms Zoom and Skype and by making calls via WhatsApp. Interview protocols were followed with each person interviewed. The list of people interviewed can be found in Appendix 4 and the number of women and men interviewed can be found in Table 3.

Table 3: Number of women and men interviewed

Women	Men	Total
26	55	81

iii. **Direct observation during the field visits.** The evaluation mission was cancelled due to the global health crisis (COVID-19) prevalent during the evaluation, and as such this method, which is included in the ToR of the evaluation and in the inception report, was not applied. It is worth pointing out that the decision to cancel the mission was agreed upon mutually by the FAO Office of Evaluation (OED), FAO-Chile and the executors and co-executors of the project (INFOR, CIREN and CONAF).

iv. **Surveys for key stakeholders not interviewed.** Two surveys were conducted in order to analyse the development of capacities created by the project, based on the OED Capacity Development Evaluation Framework. This framework forms the basis for the evaluation of the measures, approach, performance, and outcomes of the activities implemented throughout the project to develop capacities among the participating stakeholders. The evaluation team identified 14 courses and one diploma that are relevant for the project. The first survey covered four courses and one diploma and was geared towards a total of 187 participants, of which 57 responded, giving a response rate of 30.5 percent. The second survey covered ten courses and was geared towards a total of 316 participants, of which only 45 responded. The response level was therefore 14 percent and none of the courses exceeded the 30% response rate, the minimum percentage to ensure that the results are representative. For this reason, the decision was made to exclude the answers to the second survey from the analysis and only the open responses that the participants provided were used as an input, as a means of qualitative data to complement and enrich some specific aspects of the results of the first survey.

13. The triangulation of the tests and of the information compiled by means of these methods supports the validity of the evidence, its analysis, and supports the conclusions and recommendations resulting from this evaluation.

14. In terms of gender analysis, the project's contribution to the objectives detailed in the FAO and GEF gender equality policies is assessed.

15. As a guideline for evaluating the work performed with the local communities, the evaluation team used the new FAO Free, Prior and Informed Consent Manual, taking into account that it was written two years after the project began. Together with the FAO Policy on Indigenous and Tribal Peoples and the Policy on the participation of stakeholders, of the GEF, the consent manual serves as a reference of the FAO approach and processes to reach a consensus with the local communities who are beneficiaries of a project.

16. In order to respond to the questions on the sustainability of the project benefits, four main principles are assessed: i) appropriation by the beneficiaries; ii) availability of resources, iii) sufficient capacities of the stakeholders involved; iv) favourable social and institutional environment, using the FAO capacity-building framework as a reference. With regard to appropriation by the beneficiaries, the strategy the project followed for access to local, regional and national markets is also assessed.

1.5 Limitations

17. As a result of the COVID-19 pandemic, national and international trips were cancelled and tight restrictions on mobility were established in most regions of the country. The evaluation mission was consequently cancelled, making it impossible to conduct face-to-face interviews and field visits to check the interventions realised on the ground.

18. However – given the nature of the project itself, which includes a very limited number of in situ interventions that also involve very moderate coverage, the greater number of interviews with local stakeholders who participated in the activities on the ground and the application of two online surveys geared towards the people trained within the project framework – it is considered that the impact of the cancellation of the evaluation mission is minimal. However, it is important to mention that it was not possible to interview members of the Mapuche indigenous community, who live in one of the project intervention areas, by telephone or online. To resolve these kinds of problems, an attempt was made to find local stakeholders linked to the activities on the ground who belonged to different sectors (e.g. government, civil and private) to triangulate information provided and therefore strengthen the evidence. In addition, the interview protocols included more questions related to the fieldwork, due to being established as one of the main sources of information of the evaluation. The surveys replaced the group interviews scheduled to obtain information about the development of capacities in the project.

2. Background and context of the project

30. As per the *2017-2030 National Biodiversity Strategy*, the Republic of Chile has territorial characteristics that favour the expression of singular biodiversity, from the north to the south and from the mountain range to the sea. The country is internationally recognised as the Mediterranean hotspot, with a high level of endemism, a native forest cover that constitutes 18 percent of its continental surface area and over 60 million hectares of protected areas, among other characteristics. However, it has been said that the loss of the ecosystems could increase if economic development does not progressively adopt sustainability standards that create less of an impact on biodiversity. This leads to the challenge of consolidating the competences concerning natural resources and biodiversity, as well as generating new and more efficient instruments for conservation.

31. The Forest Reference Emission Level (FREL) submitted in 2016 by Chile to the United Nations Framework Convention on Climate Change (UNFCCC) highlights that, in the five main forest regions in the country,[1] 9.1 million tonnes of carbon dioxide equivalent (tCO_2eq) are emitted per year, due to the degradation of forests.

32. It was on the basis of these figures that Chile defined its Nationally Determined Contributions (NDC) for the Land Use, Land-Use Change and Forestry sector (LULUCF), which was updated for the 25th session of the Conference of the Parties (COP 25) in 2019 with ambitious contribution targets specifically for forests, which are:

    i. To reduce emissions by the forestry sector due to degradation and deforestation of the native forest by 25 percent before 2030, taking into account the average emissions from 2001 to 2013.

    ii. To sustainably manage and recover 200 000 hectares of native forests, which will represent capturing around 0.9 to 1.2 $MMtCO_2eq$ GHG annually, by 2030.

    iii. To forest 200 000 hectares of forests, of which at least 100 000 hectares correspond to permanent forest cover, among which at least 70 000 hectares must be forested with native species. The recovery and forestation will take place on lands suitable for forestry (LSF) and/or in priority conservation areas that will represent captures of 3.0 to 3.4 $MMtCO_2eq$ annually by 2030.

33. In addition, in accordance with the UNFCCC, Chile is one of the countries particularly vulnerable to the effects of climate change as it fulfils seven of the nine vulnerability characteristics. Two of these correspond to the ecosystem context: possessing arid and semi-arid areas, areas with forest coverage and areas exposed to forest deterioration, and having fragile ecosystems, including mountainous ecosystems.

34. To contribute to this current problem prevailing in Chile, the project titled "Integrated National Monitoring and Assessment System on Forest Ecosystems (SIMEF) in support of SFM policies, regulations and practices incorporating the reduction of emissions due to deforestation and forest degradation in developing countries (REDD+) and the

[1] It is important to mention that during the realisation of the SIMEF project, the Ñuble region was created, and came into existence in 2018. This new region was part of the Biobío region. As a result, there are currently six regions associated with the Forest Reference Emission Level.

conservation of biodiversity in forest ecosystems", was proposed for its financing by the GEF, which approved it in 2013.

35. The project is consequently financed with a grant of 6.3 million US dollars (USD) by the GEF and co-financing of USD 25.6 million supplied by governmental institutions and by FAO. The project began in August 2015, for a period of four years, and it has been extended until August 2020, after the MTR.

36. The project is implemented by FAO and executed by MINAGRI of Chile through INFOR, CIREN and CONAF. The project is implemented in OPIM modality.

37. The global environmental objective of the project is "to develop and implement an integrated monitoring and assessment system on carbon stocks and biodiversity in forest ecosystems (SIMEF) supporting the National Greenhouse Gases Inventory (INGEI) and the design of policies, regulations and SFM practices incorporating the REDD+ Programme and biodiversity conservation in forest ecosystems".

38. The development objective is "to support government institutions, the private sector and civil society organisations at all levels with improved data and information and its application for better decision-making on forest policies, land use planning and regulations, as well as on resource management by local communities to guarantee their sustainable use for improving livelihood conditions, providing them with a structure that secures bottom-up communication for the ongoing improvement of the SIMEF to serve their needs".

39. To achieve these objectives, the project has three components:

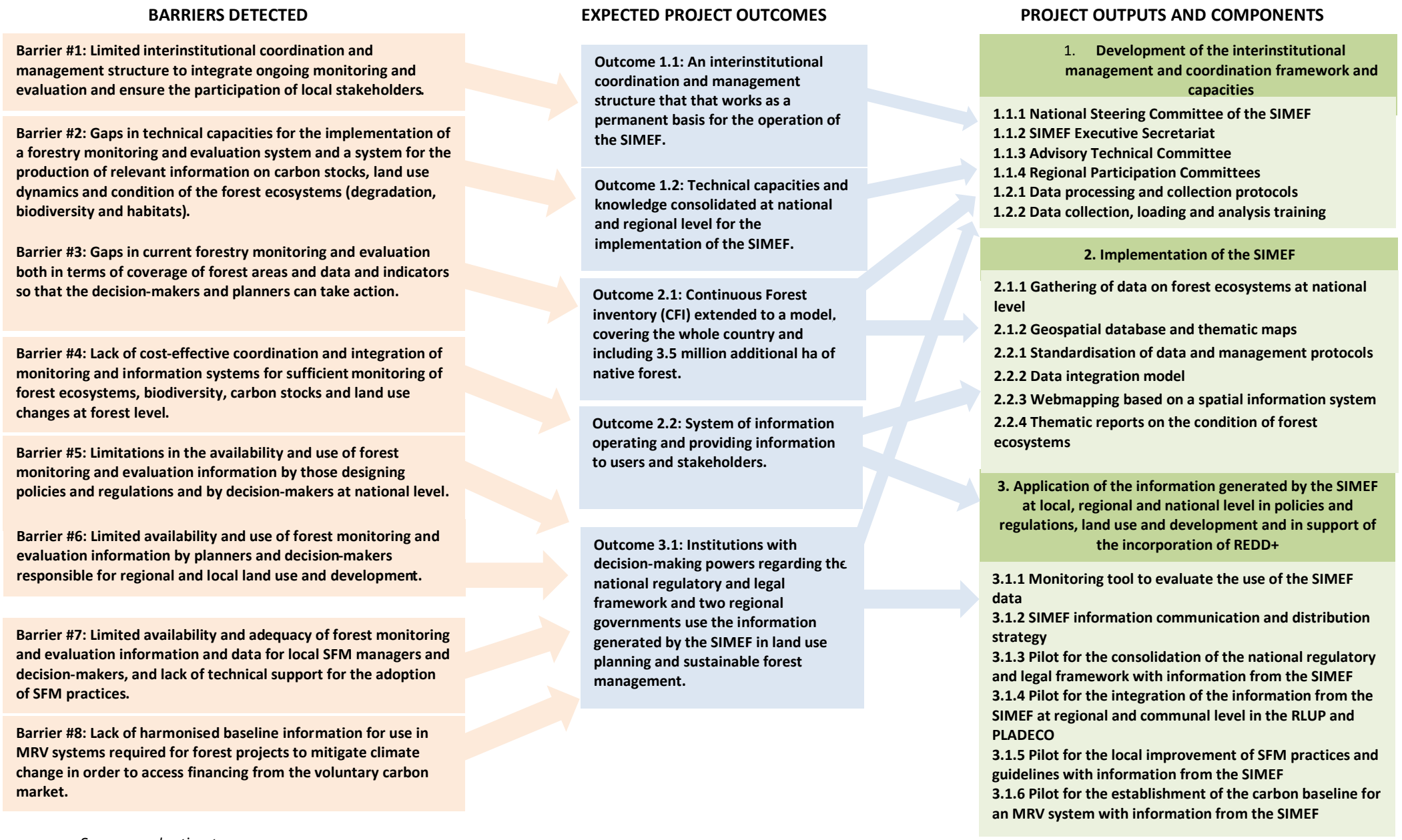
    i. Development of the interinstitutional coordination framework and capacities for the implementation and use of the SIMEF, which involves creating the interinstitutional agreements required to ensure the joint work and flow of information necessary for the development of the SIMEF.

    ii. Implementation of the SIMEF, which includes the conceptualisation and construction of the SIMEF Platform.

    iii. Application at local, regional and national level of the information generated by the SIMEF in policies and regulations as well as land use and communal development instruments, supporting the incorporation of REDD+.

40. The expected project outcomes and outputs are shown in Figure 1, which also shows the barriers that these seek to address, identified in the design phase of the project.

Figure 1: Barriers detected by the project and outcomes and outputs of such that aim to address them



Source: evaluation team

2.1 Theory of change

41. A new version was reformulated (Figure 2) based on the theory of change (ToC) developed during the MTR. This new version of the ToC makes it possible to more clearly reflect the conditions and assumptions that will need to be fulfilled in order for the project to achieve the expected outcomes, contribute to obtaining the global environmental benefits and improve the quality of life of the local communities. This proposal was reviewed by the project team and the national counterpart, and the adapted version is used to perform this final evaluation. The following details the narrative of the ToC.

42. On considering that Chile is home to ecosystems that are of global interest given their diversity and high level of endemism, and taking into account that four of the 12 ecoregions of the country are acknowledged as world conservation priorities, it is hoped that the project will contribute to achieving three main impacts: i) the conservation and sustainable use of forest biodiversity; ii) the conservation and increase in carbon pools to reduce GHG emissions and therefore contribute to the mitigation of the effects of climate change; iii) the improvement of the quality of life of the local communities, taking into account the benefits that SFM generates. An assumption that must be fulfilled to contribute to these impacts would be the effective fulfilment of the new legal and regulatory provisions, and the effective implementation of the SFM actions detailed in the territorial and management plans. Another assumption would be the existence of a collective awareness of the importance of the forests and the need to conserve them and use their resources sustainably.

43. In order to contribute to achieving the impacts and to fulfil the aforementioned assumptions, a transformative process is required that generates a change in conduct in government, civil, community and private stakeholders, who are relevant for fully complying with the laws and regulations that SFM establishes, and to implement management plans that ensure participatory and informed processes for the management of forest resources. The aforementioned is based on the lessons learned by FAO on SFM in Latin America, which highlight the importance of having an organised community basis and creating a bond of trust between government authorities and the institution responsible for promoting the projects and actions, as well as tackling the challenge to have inclusive decision-making, is noteworthy.

44. The assumptions needed to generate this transformative change would be the effective communication of new legal and regulatory provisions to be fulfilled, as well as the SFM actions to implement under the territorial and management plans, that the government, social and private stakeholders recognise the benefits of SFM, and that there are economic means and/or incentives to make investments in SFM.

45. In turn, the transformative process referred to must be based on a strengthened regulatory and legal framework, which guides and establishes the conduct to adopt and offers the institutional and technical instruments needed for its implementation and fulfilment (Conditions 3). In this regard, the project must consolidate the main laws that govern the forestry sector (e.g. the Native Forest Recovery Law and Forestry Promotion Act) incorporating elements of SFM with sound and complete information on the actual situation of Chilean forests. In addition, it should consolidate the regional land use plans, communal development plans, and the zoning and use regulations, and approve and implement SFM plans at a local level. Specifically, it is hoped that the project will generate

a carbon baseline for the measurement, reporting and verification system (MRV), which is a key input for monitoring and identifying the effect of the public policies implemented regarding climate change.

46. The assumptions needed to fulfil Conditions 3 refer to: having a robust, comprehensive and interoperable SIMEF; the information and data generated by the SIMEF being appropriate and useful for the decision-making authorities and forest policy planners; the SIMEF communication and distribution campaign being effective and creating a collective awareness of its importance; and local and regional authorities, forest owners and non-governmental organizations (NGOs) recognising the use and importance of the SIMEF and appropriating its information.

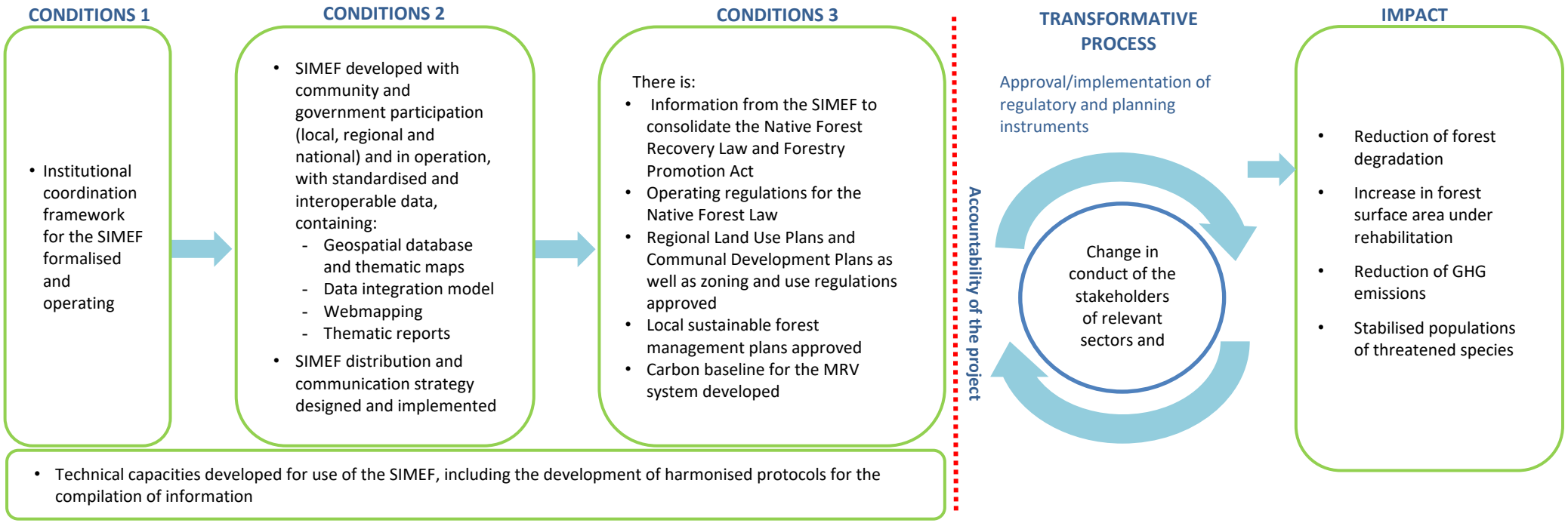
47. In order to fulfil Conditions 3, together with the aforementioned assumptions the design, development and implementation of the SIMEF is required (Conditions 2). This System should report the conditions of the habitat and of the biodiversity, changes in land use, the socioeconomic situation and socioeconomic causal factors of deforestation and degradation of forests, and of carbon pools. In addition, for its development, it should have broad community, social, private and government (including local, regional and national authorities) participation, and contain standardised data, thematic maps and a geospatial database, as well as a data integration model, web mapping and thematic reports. To ensure that the local, regional and national decision-making authorities use this information there must be a communication and dissemination strategy and training on the use of the System.

48. The assumptions required to fulfil Conditions 2 is that there is political will and an agreement between the relevant authorities (INFOR, CONAF, CIREN, MMA, MINAGRI, Regional and Administrative Development Subsecretariat (SUBDERE), local governments, NGOs and forest owners) to ensure their participation and support in the design and implementation of the SIMEF, that there is technical rigour to generate and compile information, and for its systematisation, processing and dissemination.

49. To develop and operate the SIMEF it would be essential to have an institutional coordination framework that ensures the comprehensiveness, harmonisation and interoperability of the System (Conditions 1). In addition, the technical capacities of the stakeholders who would be in charge of the operation and use of SIMEF should be generated, as well as the necessary tools for this, such as the development of robust and homogeneous protocols for data collection.

50. It is important to mention that the project would only be responsible for the fulfilment of Conditions 1, 2 and 3, given that the transformative process and the impacts to be achieved go beyond its responsibilities.

Figure 2: Theory of change of the project reformulated by the evaluation team



Source: evaluation team

3. Findings

3.1 Relevance

The relevance criterion is rated as highly satisfactory.

Finding 1. The project remains in line with the forest and climate policy of the Chilean Government, as well as the lines of work set forth in the Chile 2019–2022 CPF and the initiatives of the focal areas of the GEF in relation to biological diversity, climate change and REDD+.

51. The project continues to be aligned with the Chilean government climate and forest policy. In accordance with the *2018–2022 Government Plan*, the conservation and management of biological diversity are included among the priority actions that, *inter alia*, encompass the implementation of the biodiversity and protected areas service and the restoration and recovery of land. With regard to climate change, it proposes drafting the climate change act, which is currently under review by the National Congress of Chile, and strengthening the National Greenhouse Gases Inventory (INGEI) system.

52. In particular, on 9 April 2020, the Chilean government presented the updated NDC to the UNFCCC. This update, as mentioned in the project background and context section includes ambitious targets for reducing emissions from the forest sector due to the degradation and deforestation of the native forest, recovering native forest and foresting. In this context, during the interviews, an official from the national government stressed the alignment, stating that: *"the project continues to be in line with national policy and even more so with the climate change commitments"*. The published document highlights that forestation would have a new focus, which highlights not only its contribution to address climate change but also the numerous complementary benefits related to the conservation of biodiversity, the protection of the soil and the reduction of the severity and extension of forest fires, among other aspects.

53. The project also naturally harmonises with two strategies developed during its execution. The first is the *2017-2025 National Strategy on Forests and Climate Change* (ENCCRV), approved in 2016, the objective of which is *"To reduce the social, environmental and economic vulnerability that climate change, desertification, land degradation and drought leads to for the forest resources and communities of people who depend on such, in order to increase the resilience of the ecosystems and contribute to mitigating climate change, promoting the reduction and capture of greenhouse gas emissions in Chile*". According to the national government, this strategy is key for fulfilling the NDC.

54. The second is the *2017-2030 National Biodiversity Strategy* that, among its strategic objectives, includes the promotion of the sustainable use of biodiversity and the participation of the population for its safeguarding, and to protect and restore it, among others.

55. In combination with the above, the importance of the legislative processing of the National Forest Service (SERNAFOR) draft bill is noteworthy, which would make it possible to consolidate the Native Forest Law and Forestry Promotion Law.

56. In accordance with the lines of work of a preliminary version of the *2019-2022 Chile CPF*, of FAO-Chile, which has not yet been signed due to the change in government in the country, the project also continues to be relevant to the FAO priorities. Two of the lines of work are noteworthy: i) creation of institutional frameworks, policies and programmes for the sustainable use of natural resources and the protection of biodiversity, in the framework of international agreements signed by Chile; ii) generation and strengthening of information, indicators and statistics for the monitoring and analysis of the sustainability of the forestry and agriculture sector, fishery and aquaculture. In particular, FAO-Chile has a ToC that includes the projects financed by the GEF, highlighting its contribution to the ultimate purposes of the CPF, which includes the SIMEF. In accordance with the interviews, FAO-Chile aims to vigorously promote the topic of the environment and climate change in the country, and to take advantage of the SIMEF Platform to feed other projects and therefore maximise use of the Platform.

57. For its part, the GEF and, in particular, its 7th cycle of projects (GEF-7), maintains biodiversity and climate change among its focal areas. The strategy of the focal area of biodiversity retains its target of maintaining the globally significant biodiversity of the terrestrial and marine habitats. Specifically, it establishes the objectives of integrating biodiversity into all of the sectors, addressing the direct promoters to protect the habitats and the species and develop the institutional and political frameworks concerning biodiversity. The focal area of climate change includes among its initiatives the sustainable forest management impact Programme, which is in line with the support of the fulfilment of the NDC of countries that prioritise the mitigation of emissions based on the land and forests and complements its actions with the existing REDD+ initiatives.

3.2 Achievement of the project outcomes

The rating for the criteria on the achievement of the project outcomes is satisfactory (see the detailed assessment of the project achievements in Annex 1).

Finding 2. Eighty percent of the targets associated with the outcomes and outputs of Component 1 of the project have been met. This component has generated outcomes and outputs that made it possible to establish and formalise a mechanism of coordination with the public institutions related to the topic of forest ecosystems, and has provided technical training for the timely provision of information to the integrated system and the use of that information in decision-making, although targets linked to the creation of the RPC were not met and the teaching of training courses is still pending.

Finding 3. Ninety-two percent of the targets associated with the outcomes and outputs of Component 2 have been met. This component has generated quality and highly complex technical outputs and outcomes associated with the spatial expansion of the country forest inventory, adding new dimensions of information in terms of socioeconomic, biodiversity and carbon-related aspects, and indicators of the condition of the ecosystems, such as the dynamics of land use change and the degradation of the forests. Protocols, structures and procedures have also been prepared to integrate the monitoring system into a single platform designed to fulfil the information needs of multiple users. The lack of some thematic maps with biophysical, carbon reserves, land use change and biodiversity information is noted.

Finding 4. Seventy-eight percent of the targets associated with the outputs of Component 3 have been met. However, it was not possible to assess the fulfilment of the targets of Outcome 3.1 due to the project design issues. This component generated outputs to facilitate the use of the information generated by the SIMEF in order to improve the sectoral public policies, the regulation, the planning processes and the management of ecosystems, with the aim of ensuring the conservation of biodiversity, although some foreseen instruments were not developed. A SIMEF communication and dissemination strategy was also created.

58. The project achievements are assessed by taking into account the framework of outcomes of the PRODOC and the progress shown, on the date of this evaluation, to achieve the outcomes and outputs and fulfil the final targets. The details of this assessment of the effectiveness of the project and the evidence to back it up are shown in the effectiveness table in Annex 1.

Component 1

59. In relation to Outcome 1.1, the target has been partially fulfilled. An interinstitutional coordination and management structure was created which has worked as a sound basis for the operation of the SIMEF project, but the RPC were not fully established, which affects the level of achievement of the outcome. However, it was agreed during the 12th session of the Steering Committee, held on 16 June 2020, that the Subsecretariat of Agriculture would send notification to the 15 regions of Chile to provide information about the institutionalisation of the SIMEF and instruct them to create the remaining RPC.

60. One of the outputs of this outcome was the establishment of a National Steering Committee (SC) (Output 1.1.1) led by the Subsecretariat of Agriculture. Other government authorities and other invited advisory members participate in this committee. The interviews highlighted the importance and effectiveness of this committee, which held the meetings as scheduled and with the required level of attendance. All that was identified was its lack of a short and mid-term work plan, which is not usually required for an authority of this nature. The topics discussed by the committee were strategic although the issue of the Outcome 3.1 targets, which the MTR showed, was not addressed.

61. An Executive Secretariat (ES) was also established (Output 1.1.2) which was installed in the FAO-Chile offices and supported the management of the project and the fulfilment of the operating plans. In addition, the advisory technical committee (ATC) was established (Output 1.1.3), which held three work meetings, in which it provided recommendations that were taken into account in the project. The ATC did not always count on the participation of the same members, or of experts that represented the four macrozones in Chile. These shortcomings affected the continuity of the project monitoring and limited the committee contributions, which led to the need to create a technical working group to support the development of the Platform.

62. With regard to the RPC (Output 1.1.4), only six of the 15 planned were established, covering the regions of O'Higgins, Los Ríos, Biobío, Coquimbo, Los Lagos and Aysén. The decision to establish only six RPC was made by the SC in its sixth session, in response to the proposal by the ES, which expressed the complexity it had faced to establish the aforementioned six RPC. As a result of the above, the decision was made to consolidate the work of the six RPC created, although it was pointed out that, in the event of specific situations in other regions, working groups would be established to deal with them promptly. Based on the experience

of these six RPC, during the 12th session of the SC, the decision was formalised to establish the remaining RPC by the end of 2020, in such a manner that these authorities constitute a channel to raise the needs of each local situation and use this tool to develop individual policies, plans and programmes in the framework of the continuity of the SIMEF as a permanent national programme.

63. In this regard, the evaluation team identified a deviation in the initial conceptualisation of the RPC during the execution of the project. The PRODOC states that these could be established upon pre-existing structures such as the forest roundtables, without the need to create new structures. During the interviews, it was also mentioned that the decision was made to not form more RPC due to the lack of project resources to support some interventions in the RPC. In this regard, it is repeated that the RPC do not have the duty to implement interventions. It should also be noted that not all of the RPC fulfilled one of their main functions which was to guide and monitor the development of the SIMEF Platform. According to the interviews, four of the six RPC mentioned that they offered their needs for information to be taken into account in the development of the Platform and to perform monitoring of such.

64. With regard to Outcome 1.2, the four protocols were generated to facilitate the collection and analysis of data (Output 1.2.1). In addition, 28 training courses and a diploma were also provided,[2] 15 of which cover topics relating to remote technology, field measurements, operation of the data model, and biodiversity, carbon and socioeconomic protocols. The 13 courses remaining are additional and cover topics complementary to those detailed in the PRODOC.

65. In this regard, the target of the number of trained officials (115) was multiplied by four, and a total of 445 were trained. The target of trained RPC members was also exceeded, in total 100 members were trained, compared to a target of 30. The target number of trained brigades was not achieved, as only 54 of the 136 planned were trained. The justification for the lower number of brigades trained refers to strategic decisions made by the project team. In particular, the project team identified the convenience of building alliances with the Chilean Institute of Ecology and Biodiversity (IEB) for the monitoring of biodiversity, eliminating the need to train brigades in the topic. In addition, the decision was made to use already trained INFOR personnel to complete the biophysical inventory and therefore ensure the quality of its data.

66. The target number of women participants in the training courses was also partially fulfilled, with 28.3 percent participation reached of the 40% target.[3] In addition, 26 activities were performed to raise awareness of and disseminate the project and matters related to it. The training programme has still not been fully executed, there are important courses pending that will provide knowledge and skills on the use of the SIMEF Platform and its tools. It is important to highlight that, as part of the 1.2.1 Output, three monitoring protocols were additionally developed that had a positive effect on the generation of standardised and interoperable information.

[2] The diploma was taught for the first time in the second semester of 2019, currently a second edition of the diploma is being taught that is scheduled to end in June 2020.

[3] This amount takes into consideration all of the training courses that the project teaches. If only the training courses are taken into account that cover the topics detailed in the PRODOC, the estimated amount is 25 percent.

Component 2

67. With regard to Outcome 2.1, the two targets detailed were fulfilled. The continuous forest inventory (CFI) was extended by incorporating 3.5 million additional hectares of native forest and new dimensions of information associated with biodiversity and socioeconomic aspects for a large part of the national territory. A geospatial model was also prepared that, according to the sample design of the biophysical inventory has 13.6 million hectares monitored.

68. In particular, all of the Output 2.1.1 targets associated with this outcome were fulfilled. The biophysical information pledged was completed, the sample designs required for the spatial extension of the CFI (biophysical and biodiversity) were adapted and information was generated on 92 percent of the carbon pools in the country, which includes 12 regions. The biodiversity information pledged was also completed, and information was generated about land use change promoters and socioeconomic promoters of deforestation and degradation for all of the macrozones.

69. To date, Output 2.1.2 has been partially completed as not all of the planned thematic maps on biophysical information, carbon stocks, land use change and biodiversity have been prepared yet, for the four macrozones defined (arid-desert, Mediterranean, temperate and southern Patagonian). However, they could be developed in the remaining duration of the project.

70. With regard to Outcome 2.2, its target was satisfactorily met along with the targets of its associated outputs. An integrated forest ecosystem monitoring system was generated, which includes the carbon flows and pools and data on biodiversity and land use changes and their socioeconomic triggers (Outputs 2.2.1 and 2.2.2). This integrated system materialised by means of a digital online platform that contains a map visualisation tool and has also been expanded with another four digital tools that users can employ to visualise, download and consult information from the SIMEF (Output 2.2.3). The problem with output 2.2.3 is related to the delay the Platform had, due to the fact that the data to be loaded was not promptly transferred to CIREN, which also delayed the modelling and design, of the information outputs and of the Platform itself. This delay had a negative effect on other project outputs and outcomes that required the Platform to be operational and with information loaded, in order to be optimally realised.

71. The areas of improvement identified for the Platform and, specifically for the SIMEF, include the need to strengthen the evaluation component. To date, the SIMEF does not contain information that comprehensively assesses the state of the forest ecosystems, by cross-checking the information it contains and its respective assessment. It consequently lacks a statement or positioning that reports on the state of the forest ecosystems highlighting favourable or unfavourable aspects of its condition. In accordance with the interviews and the clarifications made, it was explained that the information from the SIMEF represents a new official baseline for Chile, developed under standards agreed upon by the relevant institutions and that, once new measurements can be made, it will in future be possible to make comparisons and assess the state of the forest ecosystems by checking improvements or difficulties. It was mentioned that soon reports will be incorporated that assess this condition. However, the review of the progress of these reports seems to resume the descriptive and non-analytical aspect that currently predominates in the SIMEF. In

addition, the incorporation of biodiversity indicators is foreseen, in which the MMA has participated, that will give timely information on its condition.

72. Regarding the quality of the SIMEF information, it is understood that the data from the spatial data infrastructure database (SDI MINAGRI) go through a process of cartographic validation by means of an interinstitutional technical roundtable. For its part, the data the institutions generate and that is directly incorporated into the SIMEF go through an internal quality control. In this regard, it can be noted that the baseline data are of a level of quality in line with the standards of each institution, but the validation responsibilities and mechanisms relating to the information products generated based on these data are unclear. It was also found that an introductory text was lacking that describes the SIMEF and its two components "monitoring and evaluation", as well as the need to standardise the logotypes that appear on the SIMEF Platform, as these are different and do not include the term "evaluation".

73. Regarding Product 2.2.4, all of the targets have been met, generating the four thematic reports foreseen, based on the SIMEF information. In addition, this component of the project had the noteworthy collateral achievement of completing the biodiversity monitoring, identifying 100 new species (mainly arthropods) for Chile and, according to that stated by the project team, those species are currently being taxonomically classified.

Component 3

74. As detailed in the design section, Outcome 3.1 shows design problems that impede the evaluation of its achievements by means of its targets. This weakness is analysed in greater detail in the sections on design and progress towards impact.

75. However, the achievement of the outputs associated with the outcome is measurable. Specifically, the fulfilment of the target of Output 3.1.1 was confirmed, which permitted the implementation of two tools focused on the completion of the M&E of the use of data, maps and reports generated by the SIMEF. One of the tools provides data relating to website visits, visitor and demographic data analysis; and the other generates heat maps that make it possible to visualise the magnitude of the visits to the different tools and data from the Platform in colour format, depending on the intensity of usage.

76. The targets of Output 3.1.2 were also found to have been met. A structured project communication strategy was developed to share its progress and results, which has been implemented through different means, including a website, notes, bulletins and several appearances on highly distributed national and regional media. A section was also added to the SIMEF Platform called "SIMEF community" where content from the project website and the strategic communication vision was incorporated, to ensure the continuity of the communication aspect, once the project has been completed.

77. The targets of Output 3.1.3 have been partially met. On the basis of the SIMEF information, input was provided to a proposal to modify Law 20 283 on native forests and their regulation, and to the new Law on the recovery of burned forests and forestation. It was not possible to update the MMA biodiversity strategy but progress was made on the definition of 11 indicators for the monitoring of biodiversity. Contributions were also made to the SIMEF to integrate reports geared towards the UNFCCC, such as Chile's Forest Reference Emission Level (FREL) and Annex REDD+ included in the 2018 Chile biennial

report on climate change. With regard to the SIMEF contribution to the operational regulations for the native forest law, this target was not met. To this end, it was stated that the failure to meet it was due to the country being in the process of formulating its national forestry policy. To compensate, the SIMEF took part in three thematic commissions of the forestry policy board, by means of which two public-private agendas were developed.

78. The targets of Output 3.1.4 were found to have been partially met. The SIMEF information was not incorporated into the regional land use plans (RLUPs) of O'Higgins and Los Ríos, due to this instrument awaiting the approval of two instruments that impede its application: The national land use policy and the regulation for designing new RLUP. With regard to this topic other progress was made with the Land Use and Planning Division (DIPLAN) of the Regional Government of O'Higgins, to support the regional development strategy and the definition of indicators to prioritise lagging areas with information from the SIMEF. With regard to the communal development plan (PLADECO), the SIMEF information was only incorporated into the 2018-2023 PLADECO of the Commune of Pinto, because of the time delays of the project that impeded its alignments with the schedules of the municipal governments. In addition, a methodology that could be replicated was designed and applied to incorporate the topic of forest ecosystems into the PLADECO, which resulted in the preparation of three documents that will be incorporated into the PLADECO of the new local governments of Coltauco, Las Cabras and Doñihue, in accordance with the commitments established in formal collaboration agreements between INFOR and these three municipalities.

79. The targets of Output 3.1.5 were also partially met. The project has generated or supported multiple initiatives of local SFM practices that cover over 3 000 ha, and have 18 management plans and 16 land use plans. The target associated with having these plans implemented has not been met in full as most of these initiatives have not started to be implemented yet. Additional achievements in this field include the creation of an interinstitutional technical roundtable to support and coordinate the SFM actions in Panguipulli, and a network of local plant-growers is being established to supply future restoration initiatives. Biological corridors were also evaluated and a pilot environmental compensation mechanism was created for a group of forest owners in the region of Los Lagos. One of the collateral outcomes identified was the creation of the Cantillana Sur Conservation Network, and the support for an environmental education initiative in schools in Panguipulli.

80. The Output 3.1.6. target was exceeded due to the development of a baseline of carbon stocks for all of the regions from Coquimbo to Magallanes, and then an update was implemented focused on the regions that constitute the subnational accountability area of the REDD+ Programme in Chile.

81. The most important achievements made by the project include the continuity of the SIMEF as a programme of the Government of Chile, with a defined governance and a permanent budget achieved by signing an interinstitutional collaboration framework agreement. The sustainability section contains more details on this achievement.

3.3 Development of capacities and management of knowledge

The rating for the development of capacities criteria is moderately satisfactory and for the management of knowledge is highly satisfactory.

Finding 5. In accordance with the results of the first survey, whose response level is 30.5 percent, it can be preliminarily said that the project has mainly developed individual capacities in topics of participatory monitoring, use of drones and land use planning systems. Of those surveyed, 94 percent believe they have learned, or partially learned, new skills and knowledge and 43 percent responded that they had transferred all, or at least part of, the new knowledge acquired to their peers. Areas of opportunities for improvement have been identified in the open responses of both surveys, relating to the selection of course participants and to increasing support activities at institutional level, to contribute to a favourable legislative and institutional environment for the application of the knowledge acquired.

Finding 6. The nature *per se* of the project directly interferes with the generation of new knowledge and its integration and systematisation with pre-existing knowledge. This knowledge has been organised by means of the SIMEF Platform, which contains five different tools that can be used to consult, analyse and download the information generated and compiled.

Development of capacities

82. In accordance with the interviews performed, the training programme of the SIMEF project was developed in two phases. A primary phase used the initial activities stipulated in the PRODOC as a reference and identified, in a participatory and less structured manner, the training needs prevailing at the time among the institutional stakeholders of the regions and the territories. This first phase was flexible to the opportunities and contingencies, for example, the inclusion of several courses in the topic of the use of drones, support to environmental education programmes in schools, among others. The MTR recommended that the programme focus its efforts, and as such the second phase of the programme was initiated geared towards institutional personnel, with a clear focus on developing the skills to understand and use the SIMEF.[4]

83. This second programme was developed by means of a process of consultation with the INFOR Technology Transfer and Training Unit and with different departments of CONAF and CIREN, and with a wide range of professionals who would teach the topics included in the programme. According to that reported by the administrative area of FAO, as at June 2020, the project had spent USD 111 256.43 for the item of training and workshops that correspond, approximately, to 10 percent of the budget calculated in the PRODOC for Component 1 (which contains the training activities).

84. For the second phase of the SIMEF training, an initial survey was conducted in order to analyse the development of skills, in accordance with the analysis framework proposed by the OED. A second survey covered the relevant courses of the first phase, however, due to

[4] The objective of this second programme was "to share information regarding approaches, methodologies and findings worked on in the SIMEF, in order to have more technical human resources with knowledge and an understanding of these topics, that can support the installation and consolidation of the SIMEF as a broad integrated and cross-cutting national system of Chile."

a low response level (14 percent), it was dismissed as a valid source of quantitative information, and was only used to enrich some qualitative aspects of the first survey.

85. The surveys were designed to analyse the "perception" and "experience" of the participants of the courses provided by the project, with regard to their quality and in line with the KAP survey model.[5] This made it possible to analyse the competences acquired, the change in attitudes and the practical use of the new skills learned. In addition, the surveys include questions that, by means of "alternative variables", evaluate the possibilities and limitations related to the favourable environment for the use of new knowledge learned. The information obtained this way and triangulated with that acquired from other sources has made it possible to identify the relationship among the three levels of development of skills[6] and provide recommendations for the sustainability and replicability of the training outcomes.

86. Annex 3 provides detailed information on the objectives, scope, methodology and detailed results of the first survey, and of the systematisation and analysis of the open questions in the second, including the texts of the surveys themselves. The following presents the main results and conclusions resulting from these.

87. The first survey was sent to 187 participants in total, 57 of which responded (response rate of 30.5 percent).[7] In total four courses were analysed that cover topics regarding participatory monitoring, the use of drones to generate thematic maps, the CONAF Land Information System (LIS) to provide land use change maps, and the communication of the science, as well as a diploma on forest ecosystems in land use.

88. In order to select the participants of the training sessions and the diploma, registration records were prepared that included the target audience, the profile of the participants and the maximum quotas and/or participation requirements. It was stated that if the quotas were not met, other participants from institutions or authorities outside of the main focus but linked to the SIMEF, who showed interest in the topics, would have been invited. The main participants of the training activities are public officials from INFOR, CONAF, CIREN, INDAP, MMA, Agricultural and Livestock Service (ALS), INIA and the National Youth Institute (INJUV). There were also representatives from local governments and civil society (municipalities, universities, public-private associations, foundations, etc.).

89. Most of those who responded to the first survey (over 90 percent) are satisfied with the quality of the courses and the diploma, and almost 80 percent value the relevance of the training for their work. In turn, the majority of those surveyed (94 percent) believe they have learned at least to some extent new skills and knowledge in the topics of the courses and of the diploma. It is worth mentioning that the training activities taught include evaluations by the participants, with different formats and degrees of formality, as found

[5] Knowledge, Attitudes and Practices (KAP).

[6] Individual, organisational, favourable environment level (see the FAO capacity-building framework and the OED Capacity Development Evaluation Framework).

[7] As explained in Annex 3, it was not possible for the evaluation team to determine how many of the 28 "disapproved" participants did not pass the course and how many did not participate effectively. To this end, and taking into consideration a reference universe that ranges between 187 and 159, the calculation of the representation *a posteriori*, estimated at a confidence level of 90 percent, presents a margin of error that also ranges from 9.2 percent to 8.7 percent. The response level also ranges from 30.5 percent to 35.8 percent. This data is considered acceptable in the field of social sciences.

in the interviews. However, organised information was not found on said evaluations for the training courses, and was only found for the diploma,[8] in which there was a 100 percent pass rate: 66 percent got 'very good' (over 90 points on a scale of 1 to 100) and 23 percent got 'good' (from 80 to 90 points).

90. Regarding the topic of gender, it was found that there were women participants in all of the courses and in the diploma, although only some courses registered a percentage over 30 percent. In terms of the inclusion of gender matters, the responses in the first survey were divided among those who considered these topics included and those who did not. In general, the project has not got a clear strategy for including the gender perspective in its activities and, in particular, the communication activities did not include this perspective, and as such the notification of the courses did not, in the majority of cases, promote the participation of women.

91. Of the people who responded to the first survey, 43 percent said that they had transferred to their peers all or, at least some, of the new knowledge acquired. In addition, almost half of those who replied to this survey have been able to use the new knowledge acquired in their work and a third hope to do so in future. However, there is a significant percentage that has not been able to transfer knowledge and that does not have expectations of being able to use them in their work, a factor that can be considered an "alternative variable" of the effectiveness of the participant selection process. In this regard, it is important to mention that, in order to meet the quotas, people who did not have the profile defined for the courses and the diploma were included, and this could explain the lack of use of the knowledge acquired. It is also worth highlighting the lack of support that the project provided to the participating institutions to contribute towards generating a favourable environment that would facilitate the transfer and use of the new skills by those trained.

92. In this regard, those who responded to both surveys agree that more institutional and legislative prioritisation is required (favourable environment and organisational level). In particular, they mentioned that the training of skills has to be focused on the areas of action that each institution has, in accordance with their mission and objectives as established by law; the topics have to be mobilised within each institution with the active involvement of the leaders or direct managers of the course participants (induction talks, practical activities relating to topics learned) and with periodic communication actions concerning the progress made with the lessons learned and increased skills in the teams of work. Those surveyed also stated that improvements are needed in the content definition processes, as well as a better assessment of the needs before designing the courses, better monitoring during and after the training courses, and a better selection of the participants by means of the application of diagnosis tests and selecting stakeholders who would effectively apply the new knowledge acquired. In the second survey, the importance of having the information, tools and technology required for applying the new skills available in the institutions was also mentioned. These comments validate the importance of the combined approach between individual training activities and institutional support activities, including the formulation or improvement of public policies in the matter, the development of regulations and awareness-raising. This shows that it is not possible to have complete success in the development of skills if all of the relevant levels are not addressed.

[8] The diploma is being taught again at the moment and has 57 participants.

93. With regard to the identification of needs to build capacities, the survey respondents highlighted the following topics: use of Geographical Information Systems (GIS) and remote sensing; handling of the SIMEF Platform and its application to territorial work, and the use of tools for the sustainable management of the native forest ecosystems, restoration of ecosystems and the management of watersheds and protected forest areas.

94. Due to the delays encountered by some of the main project outputs (such as the development and the operation of the SIMEF Platform, whose causes were explained in the foregoing paragraphs), and due to the social and health crises prevailing in Chile since October 2019, important courses still have to be taught in relation to the topics of use and applications of the SIMEF Platform, climate change and forest ecosystems, the psychology of communication and forest management. Due to the above, great efforts will be required to complete the programme for what is left of the project.

95. In addition, the SIMEF project completed 26 activities to raise awareness of and disseminate the project and matters related to it. In this regard, 95% of those who responded to the first survey stated that they are satisfied with the quality and clarity of the information shared during the awareness-raising workshops.

Knowledge management

96. The project objectives are to develop and implement a M&E system of forest ecosystems and support the institutions with improved data and information that is available for making better decisions. In this regard, the essence of the project is to generate, compile and share knowledge. In particular, the new knowledge generated by the project regarding forest ecosystems is:

i. The extension of the CFI of INFOR, incorporating 3.5 million ha of native forest into the 10 million ha already counted in the inventory before the project started, and incorporating new dimensions of information associated with biodiversity and socioeconomic aspects, to provide better knowledge and characterization of the Chilean forest ecosystems.

ii. Biophysical information from the CFI for the arid-desert macrozone, and the specific methodologies for the biophysical and biodiversity sample design for the Mediterranean and Patagonian macrozones (Islas del Sur).

iii. Information for 92 percent of the country carbon pools (including 12 regions) and thematic maps of carbon stocks for the temperate macrozone (including the regions of Maule, Biobío, Araucanía and Los Ríos). In this area, new biomass duties were also generated for four arboreal species of the Mediterranean macrozone (molle, maiten, hualo and boldo) and a methodology to estimate the biomass of the category of ecosystems called aborescent matorral. In addition, a first draft was prepared of a new protocol to standardise a measurement, reporting and verification (MRV) system in the framework of the National Strategy on Forests and Climate Change (ENCCRV) that CONAF leads.

iv. Information about biodiversity for the Mediterranean and Patagonian arid-desert macrozones. During this process it was possible to identify new species of arthropods that are already being categorised. Thematic biodiversity maps (e.g. of wealth and abundance) for high value conservation areas (HVCA) of the arid-desert and

Mediterranean macrozones, and a thematic map of biological diversity based on the Shannon index for the Los Lagos region, have been drawn up.

v. Information about land use change promoters for all of the macrozones and all of their regions, except the arid-desert macrozone. Socioeconomic information was also produced about deforestation and forest degradation promoters for all of the macrozones and all of their regions, except the arid-desert macrozone. Land use change maps have also been drawn up for all of the regions of the Mediterranean and temperate macrozones.

vi. In connection with the aforementioned processes, four specific protocols were formulated for the socioeconomic, carbon, biodiversity and biophysical inventory, encompassing the Mediterranean and Patagonian macrozones. In addition a land use change assessment protocol and a participatory monitoring protocol were developed.

97. This new information generated to monitor the country ecosystems was combined with pre-existing information from the CFI of INFOR and from the CONAF Register of Forest Resources. The SIMEF Platform contains this new and pre-existing information and has a map viewer, a statistical report tool, a digital library, a tool to consult general information on the Chilean forests and ecosystems and a participatory monitoring interface. The Platform can be viewed at https://simef.minagri.gob.cl/.

98. In addition, new methodologies and documents were created that support important management processes. These include the following, among others:

i. A methodology was designed and applied to include information about forest ecosystems in a participatory manner, in the PLADECO. The methodology was validated by the ATC.

ii. In the Panguipulli pilot area, a land restoration and use methodology was developed in a participatory manner, which was applied in six medium and small-sized plots. In the areas of El Carmen and Pinto, an SFM methodology was developed in tourism activities focused on ecosystem conservation and recovery, which was implemented in 14 pilot plots. In this same area, a comprehensive land use methodology was developed under a socioecological approach in the regions of Los Ríos and Los Lagos, implemented in eight demonstration plots. Lastly, a manual of procedures was formulated for land use in the Aysén region, based on the pilot experience of planning a 1 180 ha plot managed by the Ministry of National Assets (MBN).

iii. A methodology was also developed to define and evaluate biological corridors for the Chilean bumblebee species, in the pilot areas of Cachapoal and Panguipulli.

iv. An environmental compensation mechanism was designed, whose objective is to recognise the functionality of the ecosystems and their relationship with the wellbeing of people. This mechanism was designed as a pilot for a group of forest owners who make up a hydrographic micro-watershed of the city of Ancud in the Los Lagos region, in order to create the foundations for a future system of payment for environmental services.

v. Technical studies were completed for two non-timber forest products (NTFPs) from the native forest, the fungi gargal and digüeñes.

99. This information was organised in a set of 21 technical, scientific and general distribution publications that, in accordance with the joint publication agreement (recently signed by FAO and MINAGRI), will soon be available online at: http://www.fao.org/publications/es. The list of these publications can be found in Annex 4.

100. Due to the health crisis, the SIMEF Platform has not been officially launched yet, and as such the potential users still do not know it exists. Consequently, it can be said that the level of use of the new information generated by the SIMEF is still in its early stages, focusing mostly on the initiatives promoted by the same project. As a result of the foregoing, one of the most relevant challenges for the continuity of the SIMEF is the extension of the capacities or of the training for the use and the best utilisation of the data and of the Platform, and the mass distribution of the virtues and applications of such.

3.4 Efficiency, implementation and execution of the project

The rating for the three criteria (project efficiency, implementation and execution) is satisfactory.

Finding 7. In the first year of execution of the project, it was found that 17 percent of the budget programmed in the PRODOC had been expended, and that in subsequent years there had been 4 to 50 percent under-expenditure for some components. The project had a very slow start due, mainly, to the difficulties in reaching agreements between INFOR and CONAF.

Finding 8. In accordance with the interviews and results of the audits, the project implementation under the OPIM modality was successful, with a satisfactory performance by INFOR as executing partner. At present, 96 percent of the budget has been implemented.

Finding 9. The performance of FAO in regard to providing technical advice and supervising the financial performance and progress of the project was satisfactory, although some shortcomings were identified in the monitoring of the fulfilment of the project targets, outputs and outcomes.

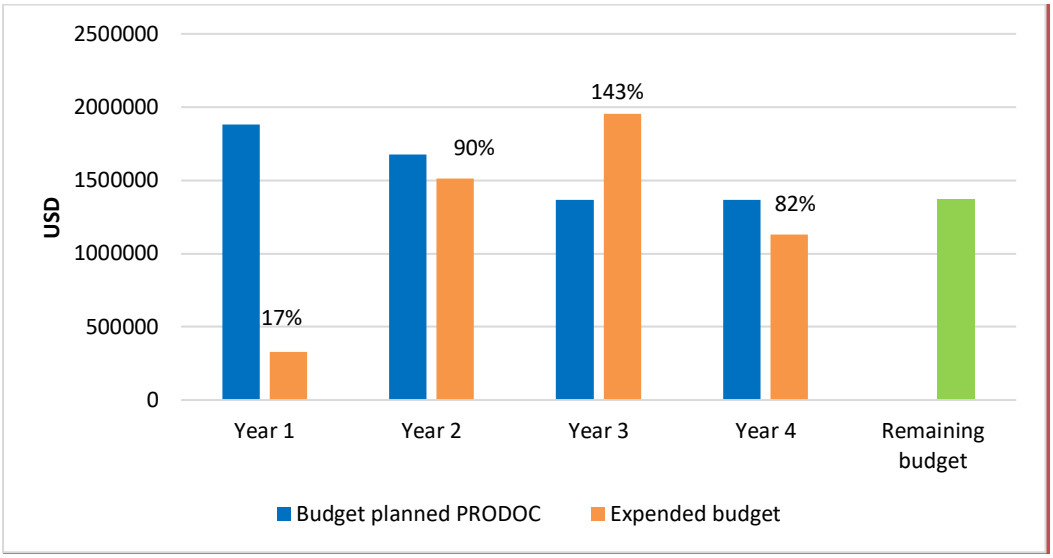
101. The project had USD 120 000 for the project Preparation Grant (PPG) and a contribution made by the GEF for its execution totalling USD 6 293 684, which is additional to the contribution from the executing partners (co-financing) that corresponds to USD 25 608 931, and as such the total amount of the project is USD 31 902 615. Pursuant to the data provided by FAO-Chile, in March 2020, USD 6 037 086 of the GEF budget was implemented. In other words, 96 percent of the budget has been implemented.

102. On comparing the budget planned per year in the PRODOC to that expended for the years the project was implemented (until June 2019) (Figure 3), it can be observed that during the first year of implementation, approximately 17 percent of the budget planned was expended,[9] representing under-expenditure of approximately 83 percent. In accordance with the interviews and the two first half-yearly project progress reports, this underspending was due to difficulties in establishing the formal agreement between INFOR and CONAF regarding their role in the project activities and in the agreement of methodologies; the availability of satellite images now free; inadequate weather conditions to make flights and complete the work scheduled on the ground, as well as delays in technical and administrative processes for recruitment and acquisitions. The difficulties in

[9] According to the available information, this first period runs from August 2015 to June 2016.

achieving an interinstitutional agreement between INFOR and CONAF can be put down to the fact that the government which designed and proposed the project is different to that which initiated its execution, which took office in March 2014, a little over a year before the project started. The difficulties were also due to the differences in funds between both institutions identified in the diagnosis that gave rise to the project.

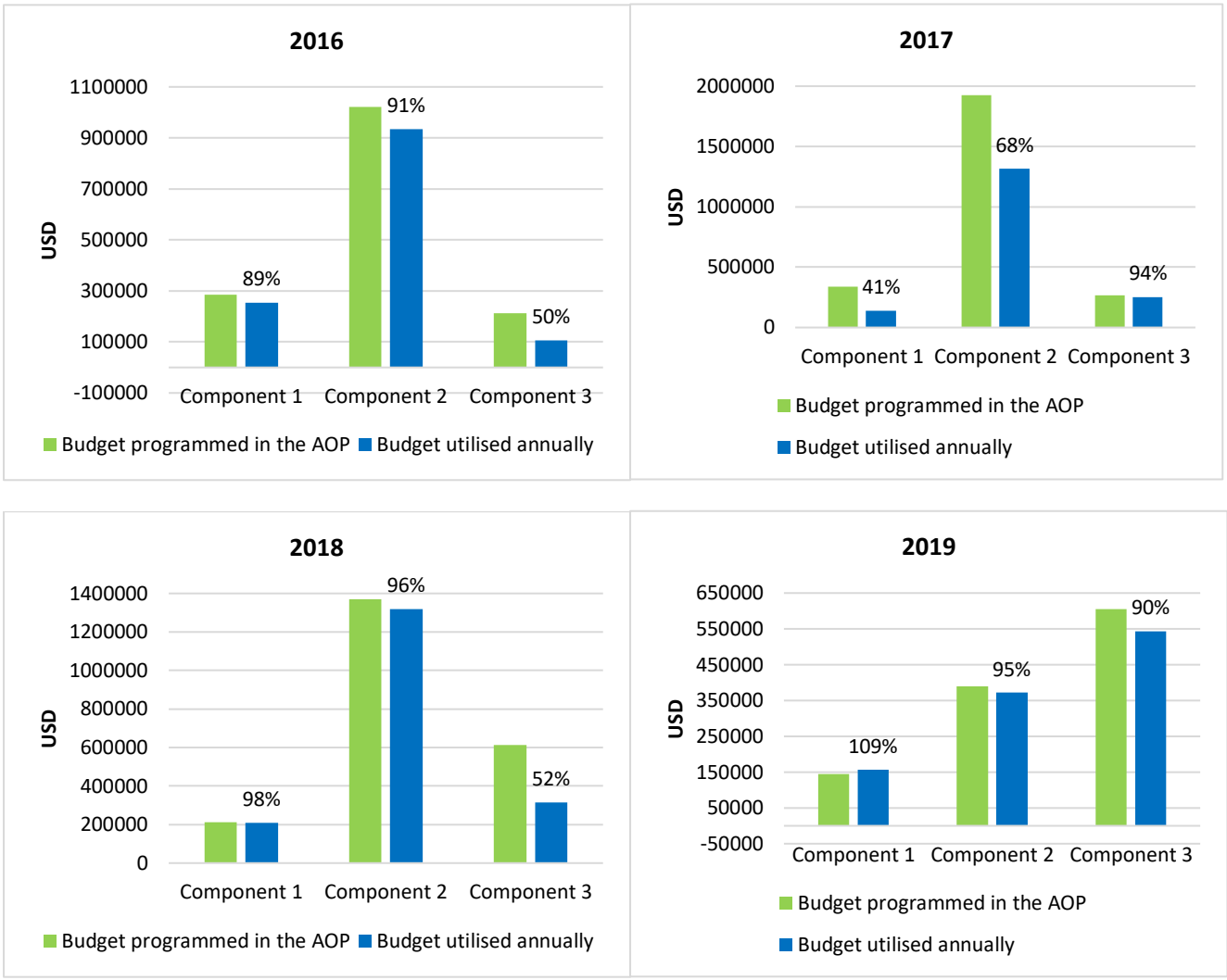
Figure 3: Comparison between the annual budget planned in the PRODOC and the budget expended annually until June 2019



Source: PRODOC and half-yearly financial reports

103. According to the data provided by FAO-Chile, variable under-expenditure can be noted on comparing the budget programmed in the Annual Operating Plans (AOP) with the budget expended per calendar year. The under-expenditure is more pronounced for Component 3, in which 50 percent underutilisation was registered in 2016 and 2018. In 2017, 59 percent underutilisation was registered for Component 1 and the greatest total under-expenditure was presented of 33 percent (Figure 4).

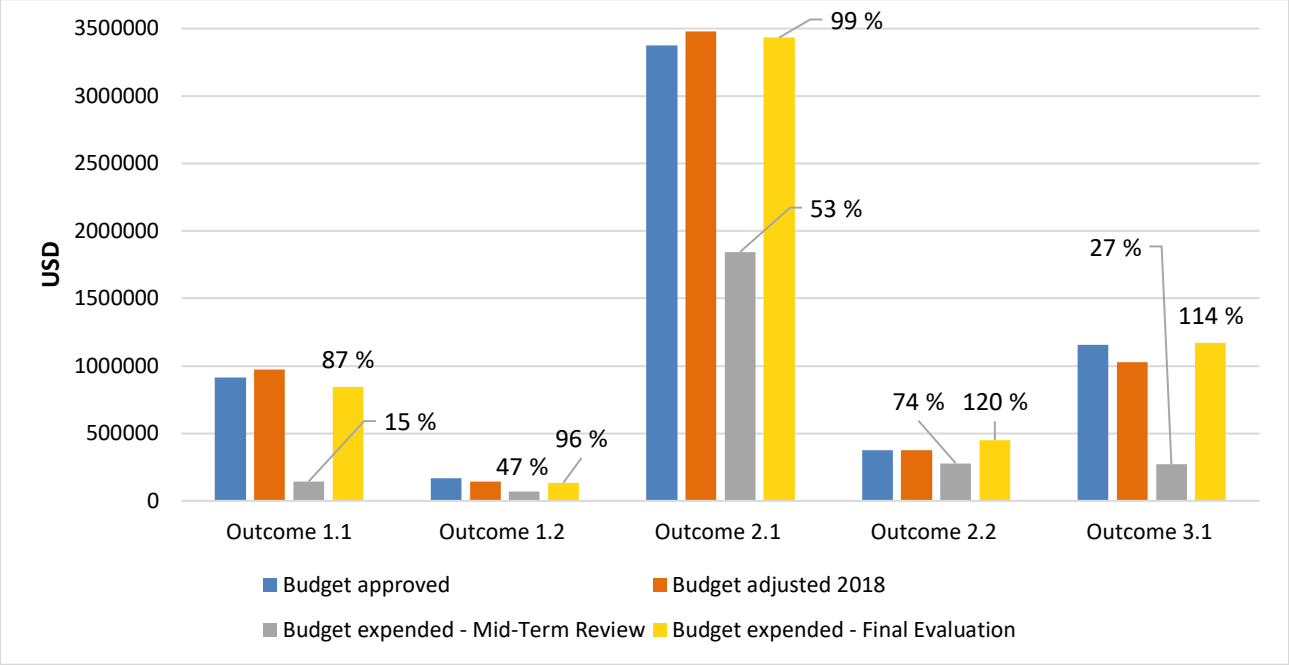
Figure 4: Budget programmed in the AOP and expended per year



Source: Half-yearly financial reports

104. In 2018, a budgetary review was completed after the identification of some outputs that were not consistent with the component of the project that they had been included in in the PRODOC, and as such the budget was only redistributed once. Figure 5 shows the budget planned by outcome in accordance with the PRODOC, the redistribution of said budget performed in 2018 and the accumulated expended budget during the MTR (until December 2017) and the final evaluation. As can be observed in the graph, the budgetary redistribution moderately varied the budget available for each outcome, and was slightly more pronounced for Outcome 1.2, the budget for which reduced by 17%. However, the budget only reduced by 1% for Outcome 2.2 and it increased by 6% for Outcome 1.1. During the MTR, 40% of the budget had been implemented, whereas in the final evaluation, as already previously mentioned, 96% had been implemented (until March 2020).

Figure 5: Budget approved and adjusted in 2018 and expended at the time of the MTR (December 2017) and the final evaluation, by outcome



Source: Half-yearly financial reports

OPIM execution

105. The project was executed under the OPIM modality,[10] in which INFOR was an executing partner. To this end, and as part of the project preparation, in March 2014 an assessment was carried out of the INFOR fiduciary standards and the risks related to the project execution. In particular, the Institute's capacities for fulfilling the financial, acquisitions, project planning, monitoring and report submission standards were assessed. As a result, it was concluded that in general, the fiduciary risk of INFOR was low.

106. As a following step, a fiduciary risk mitigation plan was prepared, which is included in the PRODOC, by means of which the minor risks identified in the aforementioned assessment could be mitigated. Therefore, in compliance with the key elements of this modality, on 5 August 2015, FAO (implementing agency) and INFOR (executing agency) signed the execution agreement.

107. This agreement detailed the responsibilities of both signatories, and of each authority that forms part of the project governance structure. The FAO responsibilities focus on managing and disbursing the GEF funds and offering technical supervision and guidance during the execution of the project, and monitoring and revising the project progress and financial management reports and sending them to the GEF. For its part, INFOR is responsible for executing the project activities, daily monitoring and providing financial reports. In

[10] The OPIM modality was launched by FAO in 2015 in order to complete projects in collaboration with national and not-for-profit stakeholders to achieve more sustainable outcomes. The main objectives of this modality are to increase national appropriation, develop the capacity of the executing partner by means of the implementation of projects and to make the most of the experience available on the ground. Source: *Delivering projects and programmes in operational partnership* (FAO, 2019).

particular, INFOR is responsible for acquiring the necessary equipment and services for the project and for transferring the required resources to CONAF and CIREN for the execution of their specific activities detailed in the PRODOC. To this end, at the beginning of the project, INFOR signed two letters of agreement (one with CONAF and another with CIREN) that set forth the terms for the co-execution of the project, including the amounts to be transferred from INFOR to both departments.

108. Figure 6 details the responsibilities and the process implemented for the execution of the project under the OPIM modality. In addition, the agreement between INFOR and FAO details the responsibilities of these co-executing partners and of the SC, the ATC, ES and the RPC.

109. In March 2019, this INFOR-FAO execution agreement was amended to extend its validity by virtue of the extension authorised for the execution of the project; to reduce the total amount of the agreement from 5 686 935 to 5 635 935 USD so that FAO would directly manage and execute some supervision activities and missions on the ground; and include the new director of INFOR as a counterpart of the project.

Performance of INFOR as an executing partner

110. In order to fulfil its responsibilities as executing partner, INFOR had a civil servant working as National Director of the project (NDP) and an accountant who was hired using resources from the SIMEF for the administration of project resources. In addition, it had the support of the technical areas of the Institute to complete the activities set out in the PRODOC. Every six months, FAO deposited resources with INFOR for the project execution and, in turn, INFOR transferred the respective resources to CIREN and CONAF. To this end, the project administrator received training from INFOR and from FAO on the administrative procedures to be fulfilled. Said administrator has incorporated a monthly financial report that they share with the ND and a half-yearly financial report that it sent to FAO that, in accordance with the interviews, is complete due to the quality of the financial reports received. For its part, CIREN and CONAF have submitted a monthly report on the use of the resources to INFOR. In addition, INFOR has requested the necessary resources from FAO every six months, prior to the submission of the financial reports. According to one of the interviewees "all [of this process] goes like clockwork".

111. According to the interviews, INFOR has operated satisfactorily as an executing partner. The resources were released promptly and there was full transparency and order regarding their use. INFOR completed an external annual audit of the project and FAO carried out spot-checks on INFOR every six months.[11] To date, five external annual audits and six spot-checks, which began to be applied in the second semester of 2017, have been completed. The five external audits performed by different audit companies concluded that the financial statements are reasonable and faithfully reflect the compliance of the agreements established by the project executing and co-executing authorities.

112. In accordance with INFOR and FAO, given that there was no copy of the results of the spot-checks, the observations resulting from such were superficial and not in depth, for

[11] According to interviews, the methodology for performing the spot-checks had to be adjusted, as a result of the difficulties that its application caused when it was first used. Taking into account the interviews, the results of these checks and of the project progress reports, it is possible to confirm the low level of risk that FAO assigned to INFOR.

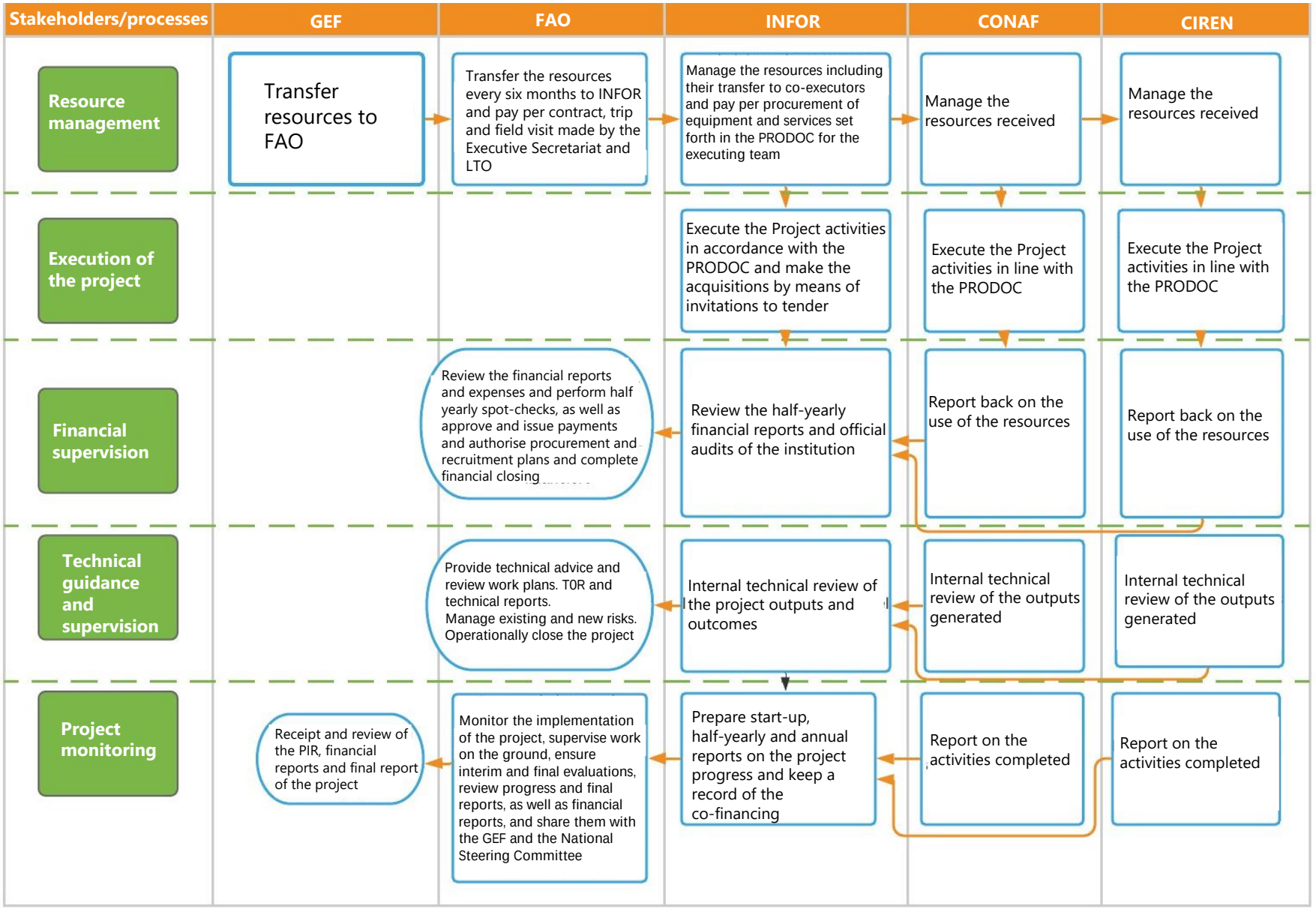
example, regarding the process of loading contracts into the system. In addition, according to the people interviewed, timely and effective attention was paid to the observations made, and a fluid and effective communication channel was maintained between INFOR and the ES, which facilitated the implementation of an efficient information exchange process. In addition, an interviewee mentioned that the completion of constant audits has helped to have more order and transparency in the management of resources.

113. In relation to the integration of the project progress reports, INFOR, CONAF and CIREN provided detailed information on the project progress and, in coordination with the ES, have prepared the half-yearly reports. They have shared these reports with the executive authorities of FAO (budget holder and LTO) to be sent to the GEF. In addition, the executing partners provided inputs for the PIR. Regarding the project monitoring and progress reports, their assessment will be analysed more in the M&E section.

114. Taking into account the opinions of the people interviewed, the results of the spot-checks and of the audits and the project progress reports, it can be confirmed that the fiduciary risk level assigned to INFOR regarding its capacities for the management of the project was correct. In other words, it is confirmed that INFOR has a low level of fiduciary risk. Similarly, it can be stated that the appointment of INFOR as an executing partner of the project has benefited the completion of the project. The aforementioned is due to the fact that INFOR has empowered itself with said appointment, which has placed it on an equal standing to be able to engage in direct technical dialogue with CIREN and CONAF and achieve effective interinstitutional coordination to fulfil the project objectives. Nevertheless, as previously mentioned, reaching agreements on the conceptualisation of the SIMEF Platform, the methodologies to use and the activities that each institution should perform in the framework of the project required considerable time which substantially delayed the realisation of the project.

115. In general terms, it is important to highlight that the OPIM modality contributed greatly to the appropriation of the project and to the sustainability of its benefits, as it will be possible to appreciate in the sustainability section.

Figure 6: Responsibilities of the implementers, executors and co-executors of the project in OPIM modality



Source: evaluation team

FAO performance

116. In its role as implementing agency under the OPIM modality, FAO provided monitoring, supervision and technical advice to the project executing team. More details about its role can be found in Figure 6. Firstly, it is worth mentioning that the Representative of Chile participated actively in the project, which promoted the involvement of high ranking government officials in the project. This led to the government fully appropriating the project. Similarly, another point worth highlighting is the role that FAO had as a neutral stakeholder and facilitator to achieve interinstitutional coordination, and the ES Coordinator was able to strategically reach out to the key civil servants for the project.

117. With regard to the technical support provided both by the LTO and by the ES, the national government authorities acknowledged the support and technical backing provided and FAO, in turn, acknowledged the high technical capacity of these authorities. According to the interviews, this support was provided in a prompt and satisfactory manner. The foregoing was verified in the technical quality of the outputs generated and, mainly, in the content and operation of the SIMEF Platform.

118. With regard to the monitoring and supervision of the project, the LTO, the ES and the administrative area of FAO-Chile mainly took care of completing these tasks. With regard to the monitoring and the financial supervision, FAO-Chile satisfactorily fulfilled its responsibilities by completing spot-checks and reviewing the half-yearly financial reports.

119. With regard to monitoring the project progress, the fulfilment of most of the main M&E activities established in the PRODOC is highlighted, above all with regard to the development of the required reports and to the supervision and communication activities. However, limitations were identified concerning FAO in terms of ensuring effective monitoring of the outcome and output indicators of the Framework of outcomes, partly resulting from problems in the project design. Limitations were equally identified in the half-yearly reports and in the PIR, which were complemented and/or reviewed by the ES, the LTO and the GEF portfolio manager at the RLC. The M&E section contains a more detailed analysis of the project monitoring limitations.

120. In general terms, the governance structure facilitated and contributed to the fulfilment of the project objectives. Particularly noteworthy is the technical connection that FAO had with INFOR, CIREN and CONAF, by means of the Coordinator, the Training Coordinator, Regional Committees and Administrative Assistant of the ES and of the LTO, during the implementation of the project. Additionally noteworthy is the commitment and the work performed by INFOR as executing partner and CIREN and CONAF as co-executors. The participation of high ranking individuals in the SC, as well as the relevance of the project for the country, also contributed to its appropriation and facilitated decision-making. The number and operation of the RPC had their limitations as discussed in the section regarding effectiveness. Similarly, the participation of the ATC was significant in some of the project activities; however, the frequency of its meetings and its formation prevented it from having more active participation and a more substantial contribution to the technical development of the project. It is also appropriate to mention that this project is the first of FAO-Chile that is financed by the GEF, which has opened up other opportunities for collaboration with the GEF.

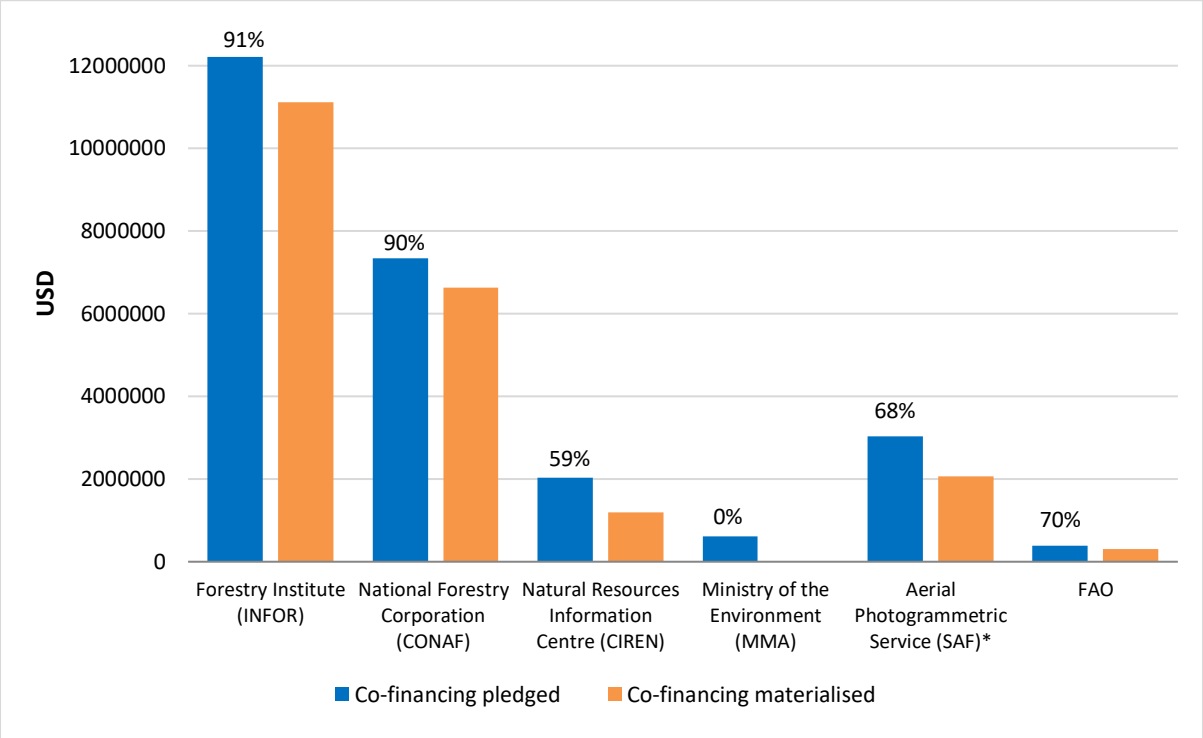
3.5 Co-financing

The co-financing criterion is rated as satisfactory.

Finding 10: Eighty-three percent of the co-financing pledged has been materialised. The co-financing is very clearly translated in the PRODOC into activities that the partner authorities should perform, which has facilitated and given focus to its reporting.

121. The co-financing pledged by the relevant stakeholders and partners of the project is USD 25 608 931. In accordance with the data provided by FAO-Chile, 83 percent of the co-financing has materialised, which equates to USD 21 308 130. Figure 7 shows the co-financing pledged and materialised. With the exception of the co-financing materialised provided by the Aerial Photogrammetric Service (SAF), the amounts of which correspond to June 2018, the amounts reported by the other authorities correspond to June 2019.

Figure 7: Pledged and materialised co-financing



Source: FAO-Chile

122. As can be seen in Figure 7, INFOR and CONAF are very close to meeting the co-financing pledged, with 91 and 90 percent, respectively. CIREN shows a lower fulfilment, of 59 percent. In accordance with the interviews performed and the clarifications sent, CIREN could reach co-financing of up to 78 percent at the end of the project, indicating that no activities will be left incomplete and that perhaps the co-financing pledged had some shortcomings in its planning. FAO has materialised 79 percent of co-financing and it was stated that 100 percent will be reached by the end of the project. Due to the change in authorities at SAF and in its priorities, it is considered that SAF will no longer participate in the project. The MMA recently carried out workshops to identify and agree upon a set of indicators that make it possible to extract strategic information from the SIMEF biodiversity

inventory, which will probably be reported as co-financing provided to the project, which as at June 2019 has been null.

123. The partners report on the co-financing using a form that FAO sends every year to be completed, along with the PIR form to report on the activities performed as well. The co-financing pledged is very clearly translated in the PRODOC into activities that the partner authorities should perform, which has facilitated and given focus to the reporting on co-financing.

124. Although it was not accounted or formalised as co-financing, INFOR also provided resources in kind, consisting of the time of its professionals and the financing of two workshops, to develop the project Identification Form (PIF) which was prepared together with FAO. Specifically, INFOR and FAO provided the time of their professionals for the design of the project.

3.6 Factors affecting efficiency

Design

The design criterion is rated as moderately unsatisfactory.

Finding 11. The project was designed by means of a participatory process. The areas for improvement identified in this phase can mainly be found in the Framework of outcomes. There is no horizontal logic between Outcome 3.1, which involves the use of information from the SIMEF, and its targets. Its targets are impact targets and as such the achievement of the outcome cannot be measured.

Finding 12. The Framework of Outcomes does not have indicators, mid-term targets or assumptions for the outputs. Some targets are lacking a baseline or are not very precise, which makes it difficult to measure them.

125. The project was designed by means of a participatory process in which the relevant stakeholders of MINAGRI and of FAO contributed to its preparation to address an urgent national problem. The areas for improvement identified in this phase can mainly be found in the Framework of outcomes.

126. In the first instance, a lack of horizontal logic is identified between Outcome 3.1 and its targets. This outcome aims for national institutions that are key for forest policy and regional governments to use the information from the SIMEF to include biodiversity and carbon stocks conservation, as well as REDD+ considerations, in land use planning and in sustainable forestry management. However, the targets proposed for this outcome are impact targets that establish percentages for the reduction in degradation rates, the increase in the zones under forestry management and the reduction of GHG, as well as the stabilisation of threatened species. These targets have variable deadlines, some should be fulfilled at the end of the project and others in five or 20 years. However, it is clear that these targets could not be fulfilled by using the information from the SIMEF alone, as pointed out in the outcome, but that the SIMEF will contribute to the fulfilment of these in the mid and long term.

127. To this end, the ToC of the project (Figure 2) states that this could effectively contribute to these targets, provided that when the policy instruments are implemented the aim is to

influence with the project and manage to encourage a change in conduct among the key stakeholders. The foregoing cannot be achieved in the lifetime of the project and, consequently, the fulfilment of Outcome 3.1 cannot be measured. More information in this regard can be found in the sections about the achievement of outcomes of the project and the progress towards impact.

128. In addition, it is worth noting that some of these targets are a lot more ambitious than those proposed in the GEF monitoring tool indicators. This is the case of the target that aims to reduce the rate of forest degradation by 20 percent by end of project. In this regard, the GEF monitoring targets only propose reaching a surface of 2 000 ha under SFM and not a reduction of the rate of degradation. This target is also included in the Framework of outcomes of the project, but at output level (Output 3.1.5).

129. The lack of information for some targets is also identified. The Outcome 3.1 target, which indicates a 10 percent increase in core areas and 10 percent increase in average areas of patches five years after end of project, does not specify the areas it refers to, which will hinder an adequate measurement. Another target of this same outcome, which addresses the stabilisation of threatened species, does not provide information as to when or how it can be considered that a species has stabilised.

130. Other areas for improvement of the Framework of outcomes can be found in the indicators, intermediate targets and assumptions for the outputs, as their absence makes it difficult to monitor the project achievements. The column of indicators of the framework includes the outcomes and outputs expected and not the indicators individually. It is worth pointing out that an indicator must measure a strategic aspect of the outcome or output aimed at, in terms of quantity, quality or time, and use such to indicate whether these were fulfilled or not. The lack of intermediate targets also makes monitoring the project difficult as there is no clear and specific measurement to determine the achievement of the project halfway through its execution. In addition, the lack of assumptions for the outputs expected of the project limits the support that the Framework of outcomes should provide to the implementers to know which situations or external events must arise or be fulfilled to ensure the expected outputs are obtained.

131. Another area of opportunity can be found in the identification of risks. The project risk matrix includes *climate change risks*, and it is pointed out that due to climate change, variations in temperature and rainfall in the north and south of Chile are predicted. This risk is inherent for the conservation and management of forest ecosystems, but it is not a risk *per se* that could affect the implementation of the project. Given the above, its inclusion as a project risk is not appropriate. A risk that was presented in the project and that was not included in the PRODOC is the presence of adverse weather conditions that delayed, in some cases, the collection of data on the ground.

132. The PRODOC also identifies the lack of clarity and emphasis on the need to develop a M&E system for the project that provides timely monitoring of the output and outcome indicators, in accordance with the Framework of outcomes. Although the M&E section of the PRODOC mentions the need for a M&E system, it is considered insufficient, as its relevance reduces due to this indication not being integrated into the M&E Plan included in this section.

Monitoring and Evaluation

The M&E criterion is rated as moderately satisfactory.

Finding 13. Approximately 90 percent of the M&E reports and activities were realised. However, the detailed monitoring of the indicators of the outputs and outcomes, the identification of risks and the completion of half-yearly reports and the PIR show some opportunities for improvement. These areas for improvement result from problems in the design of the framework of outcomes, the lack of a monitoring plan and a M&E system, and the failure to fulfil 35 percent of the MTR recommendations.

133. Table 4 provides the main M&E reports and activities and their level of fulfilment. Overall, these elements constitute the baseline monitoring plan, which is standard for all FAO-GEF projects. The level of completion of these reports and activities is generally high. Among the areas for improvement identified, a report on the initial workshop is missing containing that described in the PRODOC, which should have included a detailed monitoring plan, among other aspects listed in Table 4. Similarly, it can be observed that in the review workshops realised, an emphasis was mainly placed on the planning and coordination of activities and not so much on the assessment and monitoring of the project outputs and outcomes.

Table 4: Main M&E reports and activities and their level of fulfilment

M&E activity	Parties responsible	Time period/frequency	Activities performed
Start-up workshop	NDP, ES/Coordinator; OP with the LTO, budget holder (BH) and the FAO-GEF Coordination Unit	Two months from the start of the project	The workshop took place on 18 and 19 August 2015
Project start-up report	NDP, ES/Coordinator; OP approved by the LTO, BH and the FAO-GEF Coordination Unit	Immediately after the initial workshop	There are minutes that generally and succinctly summarise the results of the workshop. However, there is no report that describes the institutional duties and responsibilities, the work plan and the annual budget, as well as a detailed monitoring plan.
Monitoring of the fulfilment of outcomes and outputs (annual project review workshops)	Coordinator/ES, Heads of Programmes/ES	Ongoing	Seven workshops have been completed. However, the main emphasis was on planning activities and not actually on a discussion about the fulfilment of outcomes and outputs.
Visits to supervise and assess the progress in the project Progress Report (PPR) and the APERR	NDP, ES/Coordinator, FAO (OP, BH, LTO, UTP, FAO-GEF Coordination Unit)	Annually, or as required	The LTO made three visits: two to the city of Valdivia and one to Temuco. The project coordinator made several trips to supervise the project activities, among others
Project progress reports (PPR)	NDP, Coordinator/ES	Half-yearly	Nine half-yearly reports have been prepared, which were reviewed and approved by FAO

M&E activity	Parties responsible	Time period/frequency	Activities performed
			and the FAO-GEF Coordination Unit.
Annual project execution review reports (APERR)	FAO (LTO and OP) with the support of the UTP and NDP and Coordinator/ES. Approval and submission to the GEF by the FAO-GEF Coordination Unit	Annually	Three PIR were drafted that cover the following years: 1st PIR: 1 July 2016-30 June 2017 2nd PIR: 1 July 2017-30 June 2018 3rd PIR: 1 July 2018-30 June 2019 The PIR were reviewed and approved by FAO and the FAO-GEF Coordination Unit.
Co-financing reports	NDP, Coordinator/ES with inputs from other co-financiers	Annually	The project partners report the co-financing materialised annually. There is co-financing data up to June 2019.
Technical reports	NDP, Coordinator/ES and FAO (LTO, OP, UTP)	As required	Technical reports were prepared on specific topics of the project to present the results of consultations or the progress of activities.
External audits	Independent external auditor	Annually	Five annual external audits were performed, contracted by INFOR, and FAO carried out six spot-checks
Independent interim evaluation (IIE)	External consultant, FAO Independent Evaluation Unit in consultation with the project team, including the GEF Coordination Unit and other stakeholders	Halfway through the implementation of the project	The evaluation covered the period from the start of the project up to May 2018. The evaluation report was delivered on the same date.
Final Independent Evaluation (FIE)	External consultant, FAO Independent Evaluation Unit in consultation with the project team, including the FAO-GEF Coordination Unit and other stakeholders.	At the end of the implementation of the project	In progress
Final report	NDP, Coordinator/ES, OP, BH, LTO, Trade Standards Compliance Report Unit (TSCR)	Two months before the date of termination of the execution agreement	Will be realised towards the end of the project

134. Although most of the activities have been realised and the reports completed, some areas for improvement have been identified in the M&E of the project. In the first instance, the Framework of outcomes shows some design shortcomings that are connected to the lack of intermediate targets and indicators; and the inconsistency of Outcome 3.1 with its targets, which overall made it difficult to monitor the project.

135. The lack of indicators made it difficult to monitor the fulfilment of the targets given that there was no strategic aspect to monitor; instead there was an output or an outcome that contained varied information on what was expected to be obtained from the project. For its part, the lack of intermediate targets prevented the quantification of the progress in the fulfilment of the outputs and outcomes, whose targets would be expected to be met at the end of the project. Consequently, visibility of these was lost on being reported in the reports as "Not applicable" (NA). In addition, a lack of horizontal logic was identified between Outcome 3.1 and its targets, which are impact targets, and that even fulfilling that detailed in said outcome would not be able to be fulfilled in the lifetime of the project.

136. In combination with the above, a monitoring system was lacking that would provide timely monitoring of the project. In this regard, the PRODOC states the following: "*The M&E system of the project will serve to monitor the output and outcome indicators, the project risks and the mitigation measures*". Although the Framework of outcomes did not include indicators *per se,* it did contain targets that could be monitored in terms of their progress towards their fulfilment. The lack of this system prevented the clear identification of the impact that the project delays had on activities and indicators, above all on Component 3.

137. Although the PRODOC mentions that the half-yearly and annual reports would monitor the project progress, these reports do not make it possible to precisely identify the delays in the fulfilment of the project activities and their effects on other activities. In particular, in the PIR, it is considered that the ratings given on the progress of the project were not very objective. For example, in the 2017 PIR the project progress was rated as satisfactory and included comments such as "*the project was executed on time*" and "*the project fulfilled most of its targets and objectives in the mid-term*". However, the MTR completed six months after the submission of this PIR, concluded that "approximately one third of the project indicators and targets showed substantial delays". The same PIR gave one of the Outcome 3.1 targets, which specifies a rate of reduction of forest degradation - in other words is an impact target - a rating of satisfactory. The 2018 PIR also classifies the progress of the project as satisfactory, even when the development of the SIMEF Platform was just starting and, in accordance with the PRODOC, the platform for this year must have been working and supplying information for the development of the Outcome 3.1 activities.

138. According to agreement 22 of the minutes of the sixth meeting of the Steering Committee, the decision was made to maintain and reinforce, until the end of the project, the operation of only six RPC, when the target was to establish 15. This decision constituted a change in the Outcome 1.1 and Output 1.1.4 target, which was not reported in the section *project strategy adjustments* of the 2019 PIR. This decision is only mentioned in the description of the progress of the project in the PIR of that same year.

139. In relation to the risks of the project, the PIR found that they were being correctly monitored. It is worth highlighting the monitoring of the risk of the lack of sustainability of the project, due to the lack of an agreement to ensure the continuity of the SIMEF once the project has ended. An agreement was eventually reached before the end of such. More

details about the agreement reached can be found in the sustainability section. In addition, the risk that the change in government in 2018 could have was effectively monitored, and it was also mitigated.

140. In relation to the identification and management of new risks, it was found that the new risks identified during the execution of the project lacked a detailed analysis that could note the effect that these could have had on some of the project activities. For example, in the 2017 PIR, the lack of an agreement on the harmonisation of methodologies to monitor soil use and carbon pools was reported as a new risk. However, it was not reported that that lack of an agreement was causing other risks linked to the delay in other activities of the project linked to that activity. Another example, in the 2018 PIR, is that a risk identified in 2017 that reported a delay in the progress of the project was reformulated due to the administrative processes. However, this materialised due to the development of the Platform registering substantial delays, just like some of the Component 3 activities. In reality, the risk should have been the failure to fulfil the Component 3 targets, for which mitigation measures would have been proposed in time. In general, it can be reported that some new risks were actually events that had already arisen. For example, the risk "incorporation of the information from the Platform has been very slow", was actually something that was happening and that was identified in the MTR; in this case, the risk would have been "the SIMEF Platform is not used for the development of the outputs 3.13, 3.1.4 and 3.1.5".

141. In the end, these delays together with others linked to the administrative processes of some partners and the increased complexity of the SIMEF Platform, led to the extension of the project by one more year, to the Platform not being ready on time to be used in the development of outputs 3.1.3, 3.1.4 and 3.1.5, and the failure to fulfil some targets of those outputs. In fact, the possible failure to fulfil some targets was not considered a risk due to the decision to make the SIMEF Platform more sophisticated.

142. In addition, the PIR report the fulfilment of intermediate targets when the PRODOC does not include intermediate targets, rather milestones to reach in each year of the project. Consequently, there is conceptual confusion between milestones and targets. In addition, some progress is rated as highly satisfactory, but there is no precise explanation of which activities, additional to those contemplated, took place to give them that rating, or rather, it is not explained that the progress had no shortcomings.

143. With regard to the half-yearly reports (PPR), these offer many details on the project activities performed and the level of progress is reported and assessed in comparison to that planned in the AOP and not in relation to that expected in the PRODOC. With regard to the monitoring of risks, these can be found in higher number and in more detail compared to the PIR. However, the identification of the new risks was not very assertive, and focused mainly on the budgetary underutilisation and not on the delay of activities that the possible non-fulfilment of targets might lead to. This situation continued to prevail after the MTR, which identified substantial delays in the achievement of the project.

144. It is important to mention that the PPR and the PIR are instruments for reporting on the progress of the project. Due to the above, these instruments do not, under any circumstances, substitute the creation of a M&E system designed *ex profeso* to complete the timely monitoring of the project outcome and output indicators, and of the risks and mitigation or adaptation measures implemented to minimise them. Similarly, it is noted

that the AOP are not the right instruments for monitoring the progress of the project, as they are planning instruments and, as such, they are not designed to measure the progress of the output and outcome indicators.

145. It is considered that the lack of the M&E system impeded the more effective identification of risks and the timely implementation of mitigation measures to avoid the failure to fulfil the targets. This is the case of Outcome 3.1, which registers the failure to fulfil the targets of outputs 3.1.3 and 3.1.4. This could partly result from the lack of clarity and emphasis given to this system in the PRODOC, as already mentioned in the design section, and to the lack of fulfilment of the MTR recommendations.

146. To this end, it is important to mention that the MTR identified problems of coherence of Outcome 3.1 with the project, and as such the recommendation was to reconsider the "indicators" and the targets of this outcome. However, this topic was not discussed by the SC and no action was taken to resolve this issue. It is estimated that 65% of the MTR recommendations were addressed, including the need to define the governance of the SIMEF, reinforce the technical teams and define the outputs of each instrument in the Platform and formalise the inclusion of the MBN in the project. The other recommendations that were not fulfilled include the definition of the use of the drone information to be used by INFOR to feed the SIMEF, and to make SIMEF the monitoring instrument for the forest policy targets.

3.7 Involvement of the stakeholders

The criterion regarding the involvement of stakeholders is rated as satisfactory.

Finding 14. Most of the relevant stakeholders identified in the PRODOC got involved, in different degrees, in the project. Above all, the regional representatives of the national authorities got more involved in the RPC activities, and the local stakeholders participated more actively in the activities performed in the pilot sites. Participation by the private sector was very limited, participation by beekeepers and public-private local organisations was identified.

Finding 15. The Ministry of National Assets joined the project as a new stakeholder, contributing to the implementation of rehabilitation activities in the pilot sites. The MMA participated to a limited extent in the project and the Regional and Administrative Development Subsecretariat did not participate in such.

147. During the integration and implementation of the RPC and during the execution of the activities at the pilot sites of O'Higgins and Los Ríos, it was possible to involve most of the stakeholders identified as relevant in the PRODOC. The RPC were formed mainly of regional authorities, including the Regional Ministerial Secretariat (SEREMI) of MINAGRI and INFOR, which respectively acted as President and Executive Secretary of the RPC created, and CONAF. Other government members that participated to a lesser extent were INDAP and INIA and some regional and local governments. In particular, the RPC of Coquimbo includes a wider range of stakeholders, additionally including agricultural community associations, Universidad de la Serena and the Regional Irrigation Committee. This more diverse membership contributed to the greater dissemination of the SIMEF. The private sector was not represented in the RPC, although its participation would have been relevant for its awareness-raising and to promote its participation in the SFM activities.

148. A new stakeholder that participated in the RPC of Aysén and O'Higgins is the MBN, which has the mission of acknowledging, administering and managing the taxable assets of Chileans as well as keeping the taxable property registry graphic updated, among other responsibilities.[12] The RPC of Aysén prepared an agreement with this ministry to promote the SFM of a plot under its supervision. To this end, the MTR identified this Institution as a potential user of the information from the SIMEF and as such recommended formalising its inclusion in the project for the piloting of SFM processes and to receive training on the topics of the project, which was not achieved in the end.

149. The pilot site of O'Higgins had the participation mainly of INFOR and CONAF, and a wider range of local stakeholders who were consulted to define the activities to be performed, including some representatives of public-private associations. These stakeholders included: the agricultural school Escuela Agrícola de San Vicente de Paul, the municipal library of Doñihue, representatives of civil organisations such as the Community Environmental Organisation "De Quillayquen al Poqui", beekeepers associations, local public-private organisations, environmental authorities of the municipalities of Doñihue, Las Cabras and Coltauco as well as former members of Bosque Modelo Cachapoal (a full breakdown of the interested parties is shown in Annex 5). These local stakeholders benefited from some of the activities proposed and from the training provided. For example, they were given workshops on raising awareness about caring for the forest and, according to some interviews, their vision of the forest has changed, now the importance of conserving it is clearer to them. The project also enabled them to organise themselves to carry out joint work to favour the forest and generate management plans to care for it with a technical and legal basis, and networks of citizens concerning forest conservation. They also received support to create, in some areas, ecotourism routes with a substantial educational component.

150. The development of the pilot sites therefore contributed to promoting the greater participation of local stakeholders in the areas where they were implemented. In particular, the project promoted the establishment of the Cantillana Sur Ecotourism Network, composed of 20 members, including a representative of an ecotourism company called Parque en el Aire, a beekeeper and former members of the association Bosque Modelo Cachapoal. The agricultural school Escuela Agrícola de San Vicente de Paul also participated. In addition, the National Tourism Service was also involved in this pilot. Members of the Panguipulli commune, many of whom belong to the Mapuche indigenous community and basic education schools, which received environmental education courses, were involved in the Los Ríos pilot, as well as Universidad Austral de Chile, with which a co-research agreement was signed. In addition, work was completed jointly with members of Bosque Modelo Panguipulli.

151. The MMA is co-financier of the project and acts as a permanent member of the SC. In accordance with the attendance lists of the RPC of Los Ríos, Los Lagos and O'Higgins, the SEREMI of the MMA also participated in these RPC. It is considered that given the relevance of the topics the project addresses (e.g. biodiversity and climate change), its participation in this could have been more active to ensure greater synergy and compatibility of the SIMEF with its own databases. With this, the MMA could obtain greater benefits to fulfil its own national and international targets in these topics (e.g. commitments taken on by

[12] *Source: Ministry of National Assets website: http://www.bienesnacionales.cl/?page_id=1567*

means of the Convention on Biological Diversity). As at June 2019, the MMA had not reported any contribution to the co-financing it pledged to give and that was established in the PRODOC. The MTR reported this low participation and as such recommended the more active involvement of the technical personnel of the MMA at a central and regional level, which was not fully addressed. In accordance with the interviews, the MMA organised a series of workshops at the end of 2019 to identify and agree upon a set of biodiversity indicators to be included in the SIMEF. It is hoped that in a second stage of strengthening of the SIMEF it will be possible to formalise a more active involvement by this ministry in the integration and use of the Platform.

152. The participation of the Regional and Administrative Development Subsecretariat (SUBDERE) was set forth in the PRODOC as a stakeholder to be invited to the SC, as a member of the RPC and as a user of the SIMEF Platform. However, it did not participate in the project as its involvement was linked to the RLUP which were no longer valid as a result of being contingent upon the approval of the national land use policy, which was not approved in the prior Government and the current one has not contributed to completing the process by means of the enactment of the Law and its regulation. The ES started a new dialogue to explore the possibility of completing joint training but there was no affinity in the focus the training should have. Annex 5 shows the list of all of the stakeholders involved in the project, specifying their categories and roles in such.

3.8 Gender and indigenous communities

The gender criterion is rated as moderately unsatisfactory.

Finding 16. It is considered that the project's contribution to reducing the gender gap in the forestry sector, historically dominated by men, has been limited. Although the project design does not include a strategy for the incorporation of the gender perspective, it does contain gender-sensitive elements, activities and targets. In particular, it established the target of reaching a proportion of 40 percent women participants in the training courses. To date, a proportion of 28.3 percent women participants has been achieved. The project communication strategy did not promote the participation of women in its activities, as was indicated in the PRODOC. The design and teaching of the diploma on forest ecosystems and land use with a gender-sensitive approach was the only formal action that the project completed to incorporate this topic into its activities.

Finding 17. It is considered that it was not necessary for the project to request FPIC from FAO, as a result of its Policy on Indigenous and Tribal Peoples, for the participation of members of the Mapuche indigenous community in the pilot activities in Panguipulli. The above was confirmed by the RLC expert in the matter. This assertion is based on the fact that at the time of designing the project, the manner in which to apply the FAO policy in the matter was still unclear, and it is also based on the low risk identified in the social and environmental safeguards.

153. The PRODOC design did not foresee the formulation of a strategy to include the gender perspective in the project, given that the GEF and FAO[13] still did not include this topic as a requirement for the projects. However, the PRODOC contains some gender-sensitive elements, activities and targets. Generally speaking, the PRODOC states that the General Coordinator of the ES should ensure the application of correct approaches during the

[13] The FAO gender policy was published in 2013 and the PIF was submitted in 2012.

implementation of the project, including gender-sensitive approaches. In addition, it establishes that the MTR and the final evaluation should pay special attention to gender equality among the project beneficiaries, particularly in the capacity-building, ecosystem monitoring, RPC and pilot site activities. In addition, it is pointed out that the project communication strategy should take gender equality into account and promote the participation of women in training activities and distribute gender-sensitive information.

154. In this regard, Outcome 1.2, linked to the strengthening of capacities for the implementation of the SIMEF, proposes training 286 civil servants, RPC members and brigades, of which at least 40 percent should be women, as one of its targets. As a result of the aforementioned, the need to have data on the participants, disaggregated by gender, was indicated.

155. In accordance with the half-yearly reports of the project and, in particular on the basis of registration records of training and education activities, the ES monitored the participation of women and men in the training sessions. According to the figure updated in March 2020, the proportion of women participants in all of the training courses provided by the project is 28.3 percent,[14] which falls below the target. In this regard, it is appropriate to mention that this project works mainly at an institutional level and the gender ratio of the professional civil servants from the area addressed has affected the percentage of participation of women, as it is a predominantly male sector. However, as will be seen further ahead, the lack of a gender-sensitive communication strategy made it impossible to make progress with an awareness-raising process in the sector, to start to gradually narrow the gender gap.

156. Based on the results of the first survey conducted to assess the development of capacities, it is the trained women who state that they have learned more and who frequently had the chance to transfer their knowledge in the reference organisation.

157. According to that stated in the PRODOC, the training activities should have been accompanied by a communication strategy that would promote the participation of women in the training and in other activities of the project. To this end, the SIMEF project communication proposal, dated November 2015, does not include women among its target audience. In March 2018, another strategic proposal and graphic line was submitted to support the SIMEF communication strategy, which also did not incorporate gender-sensitive topics. The project has therefore not had communication materials and initiatives that promote the participation of women, including in the announcements of the training courses.

158. The project has not done any kind of assessment on the topic of gender, although the ES did arrange an initiative for the RLC gender expert to give training on the topic to the project team. However, the course was cancelled by the project team due to other priorities that executing such required. At the request of a member of the ES, the regional expert only provided information on the use of gender-sensitive language in the communication and distribution of information, which, as mentioned previously, was not considered. The gender-sensitive activities completed on the initiative of the ES include the realisation of participatory meetings to jointly define the activities to be performed at the pilot site in

[14] Pursuant to the database provided by the project team, 978 people were trained, 277 of which are women.

O'Higgins. These meetings promoted the participation of women by organising parallel activities to look after the children of the women who participated in the meetings.

159. A more formal action has been the incorporation of the topic of gender in the diploma *Forest ecosystems in land use: tools for sustainable management*, geared towards civil servants of the communes to strengthen their skills and ensure the use of the SIMEF. Specifically, one of the diploma units provides lessons on gender-sensitive participatory tools. This section provides basic concepts on gender perspective, and training is given as to how to lead participatory processes by facilitating and promoting the participation of women, by means of the proposal of appropriate schedules, offering alternatives for childcare, and understanding the role of women in said processes, among other aspects. To date, the diploma has been taught on two occasions.

Indigenous communities

160. The Mapuche indigenous community, whose members actively participated in the pilot activities that included awareness-raising workshops and subsequently environmental education activities and the development of a master plan for forest zone management, live in the region of Los Ríos, in which the Panguipulli pilot was implemented. In accordance with the interviews conducted with different stakeholders belonging to different sectors (government, civil and private), these activities that were performed on the ground were agreed upon with the key stakeholders in the area, including the members of this indigenous community who participated in the development of the masterplan for management, and no comments were generated on the work of the project. However, it is worth pointing out that, given the health crisis it was not possible to directly interview members of the Mapuche community but the information obtained was triangulated to ensure its veracity.

161. FAO policy on indigenous and tribal communities was published in 2010 and in 2015, the manual was published that establishes the procedure for applying FPIC. As a result of the aforementioned, it is understood that this consent was not requested, combined with the low level of risk identified regarding the environmental and social safeguards. On considering that the masterplan for management will result in specific management plans, which will more than likely be developed once the project has ended given the COVID-19 pandemic, it is hoped that the Mapuche community will continue to participate in the development of the specific plans so that they can endorse any changes that may affect their activities in the area.

3.9 Sustainability

The sustainability criterion is rated as moderately satisfactory.

Finding 18. The SIMEF is, at present, a regular programme of the Chilean State with a governance system and with a permanent annual budget established in the country Budget Department. Given the foregoing, the sustainability of the achievements made in the project can be maintained and continue to be strengthened. This is considered a great achievement that contributes to the global environmental benefits established by the GEF.

Finding 19. Different degrees of appropriation of the SIMEF were identified. On the one hand, the appropriation of the SIMEF at national level is evident and successful. However, at local and regional level, limited appropriation has been registered due to the project delays and, mainly, to not having an operational SIMEF Platform that could be used from the third year of the project as planned, and due to the COVID-19 pandemic.

162. On 9 March 2020, the Subsecretariat of Agriculture, CONAF, INFOR and CIREN signed, in the last meeting of the SIMEF Steering Committee, a *Framework agreement on collaboration to give continuity to the project entitled "Integrated National Monitoring and Assessment System on Native Forest Ecosystems (SIMEF)."* The general objective of the Agreement is geared towards "sustainably providing and maintaining an information system called SIMEF, with information and data mainly from the spatial data infrastructure programmes maintained by CIREN, the INFOR Extended National Forest Inventory (NFI), the register of forest resources and land use (hereinafter register) and the evaluation of land use changes both provided by CONAF, all of which are pre-existing MINAGRI programmes developed by the institutions referred to". The aforementioned constitutes evidence of the appropriation of the SIMEF at national level and of its sustainability once the project has ended.

163. The fact that INFOR was one of the institutions that devised and designed the project facilitated its appropriation at all national institutional levels, from executive management to the researchers and field brigades. The project managed to create the capacities and motivation to continue operating and improving the SIMEF over time, given that this meets the prevailing needs of participating institutions.

164. In addition, the appointment of INFOR as an operating partner contributed to increasing the appropriation of the outcomes and to strengthening the skills of other national entities, as this institution has the responsibilities of completing the work entrusted, as well as widely recognised technical prestige. The aforementioned helped to generate trust to make the transfer of information effective and to promote the development of the capacities of other institutional actors and of the territories. In addition, its presence on the ground was very clear and pronounced, and ensured that the project was a government initiative. An area of opportunity identified is the use of highly technical language in the strengthening of local capacities, which complicates the transfer of information and knowledge to certain types of stakeholders, limiting their degree of appropriation of such.

165. However, according to the interviews, there is still limited appropriation of the SIMEF at regional and local level. The interviews showed that there was no initiative to uniformly and periodically report to and consult with the members of the RPC and the participants of the pilot sites of O'Higgins and Los Ríos on the development and content of the Platform. Consequently, the level of knowledge about the SIMEF Platform is varied. Some

stakeholders who participated in the O'Higgins pilot mentioned in the interviews that they did not know of the SIMEF Platform and that they had instead used the information from INFOR. Participants of the pilot in Los Ríos mentioned that they knew about a preliminary version of the Platform and highlighted its use for their region. The low level of local and regional appropriation can also be explained by the delay that there was in the development of the Platform. In the fifth year of the project, the official launch of the Platform has not yet taken place, and training has also not been provided on the use of such in the regions. This delay has been increasing steadily due to the social and health crisis that has affected Chile since October 2019.

166. As part of the activities of the project established in Component 3, use of the SIMEF information has been promoted to feed the development of reports presented before the UNFCCC and also to support the updating or development of some legal, planning and SFM instruments. Section 3.2 provides more details on the use of the SIMEF information. It is foreseen that this use will be extended and diversified to other authorities in the short and mid-term, by means of the finalisation of courses in the training programme that are still pending, and of the strengthening of the programme to distribute and transfer the SIMEF. To ensure the usage of the SIMEF, the Platform has a tool to monitor and assess the visits made to the different web sections or tools (Output 3.1.1), which will provide inputs to ensure the quality and relevance regarding the usability of the Platform in an ongoing manner.

167. With regard to the financial sustainability, it is known that CIREN, CONAF and INFOR completed an exercise to determine their additional budgetary needs to deal with the operation of the integrated system as a government programme. The total amount of resources proposed by the three institutions – which includes their needs in terms of human resources, technical inputs, equipment and operational expenses – was requested from the government and was accepted. Given the aforementioned, it can be considered that the SIMEF resources will be sufficient, at least for the first budget cycle. The financial and political risk identified is related to the change in priorities of the State, as occurs with any other state initiative. However, this is considered a limited or low risk, as the SIMEF programme is formalised in the Budget Department, which gives it stability. If the usage of the SIMEF is extended and consolidated, the level of probability of this risk materialising will be even lower.

168. In terms of sustainability, it is again worth mentioning the fact that this project was the first by FAO-Chile to be financed by the GEF, which has led to more opportunities to collaborate with the GEF and greater involvement of FAO in environmental and climate change matters.

3.10 Progress towards impact

The progress towards impact criterion is rated as moderately unsatisfactory.

Finding 20. Due to the design problems and delays with the project that hindered the specification of the outputs linked to the use of the information from the SIMEF, very limited progress was made towards the expected impact of the project. In accordance with the information available, the evaluation team found that three aspects of the project monitoring instruments show target fulfilment levels of between 0.4 and 27 percent.

Finding 21. However, the project has established solid foundations that improve the monitoring of the conditions of forest ecosystems and, consequently, generate more robust information and with greater frequency. Using this information, some management instruments have been developed that, once implemented, will begin to generate results that will lead to the sustainable management of these ecosystems in the mid or long term. As a result of the aforementioned, it is considered that the project has marked out the correct route. However, additional effort is needed to formalise this route and therefore ensure the progress towards impact. It is foreseen that formalising this route to be followed will not be difficult due to the project having managed to put the topic of native forests on the political agenda, and as such there is political will and priority.

169. The GEF tracking tools measure the progress in achieving the impact and outcomes established in its portfolio of projects, by means of a set of information that is requested from the project. Of this requested information, the evaluation team selected three aspects of these tools in two focal areas of the GEF which are biodiversity and SFM/REDD+, although it is worth mentioning that the project also includes the focal area of climate change.

170. Based on the information provided by the project, it was possible to estimate the status of these three aspects: i) SFM applied in the pilot demonstration sites, included in the biodiversity monitoring tools and REDD+; ii) conservation of biodiversity integrated into the RLUP and the PLADECO and zoning and usage regulations and stabilisation of threatened species, including just in the biodiversity instrument; iii) restoration and rehabilitation of degraded forests, indicator of the focal area of REDD+.

171. Figure 8 shows, for each of these indicators, the amounts proposed to be achieved by the end of the project (target) and the amounts encountered by the evaluation team taking into account the evidence available.

172. The *Sustainable forest management applied to pilot demonstration sites* aspect measures the surface in which management practices are applied as part of the project activities. As can be appreciated in Figure 8a, this indicator shows a fulfilment level of 16 percent in the final evaluation. This progress corresponds to the surface of 314.97 ha which cover the instruments the project developed (e.g. land use or management plans) which are being implemented,[15] and for which there is evidence of their implementation. This consideration is based on the aspect of the monitoring tool, which makes reference to the management practices applied and not planned. According to this tool, the management practices can include the application of organic agriculture practices, forestry management agencies applying the guides of a forest certification system, artisan fisherfolk practising sustainable fishery management or industries complying with international standards. As can be seen, no reference is made to planned activities but to activities that are being implemented. It is important to mention that the executing team of the project includes in the estimation of this indicator areas that are covered by some type of instrument, whether management plans, masterplans, land use plans or environmental compensation mechanisms, with different stages of development. These stages of development include implemented and approved plans but also plans that have not yet been approved or implemented. Given the limited progress in this indicator, and to guarantee the expected impact, it is essential to

[15] The plans taken into account by the evaluation team are: **O'Higgins region**: CONAF extensionist: 248 ha and **Ñuble region**: CONAF extensionist: 66.97 ha.

implement the instruments developed by the project, and as such it will be essential to monitor them once the project ends.

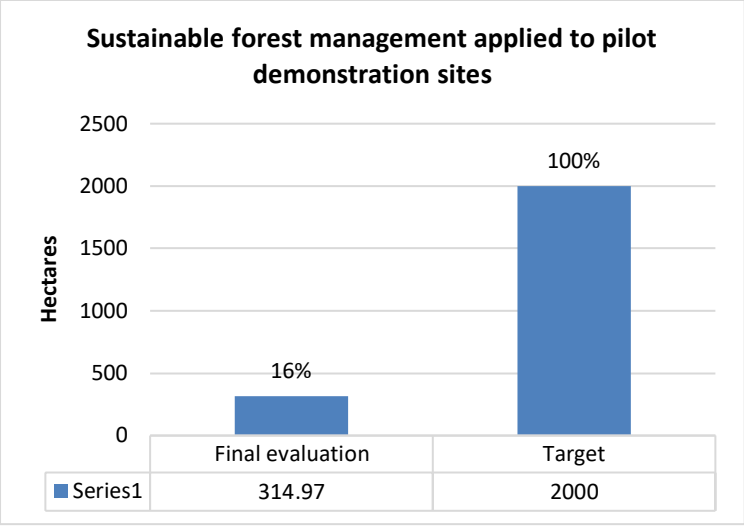
173. The *Conservation of biodiversity integrated into the RLUP and the PLADECO and zoning and usage regulations as well as stabilisation of threatened species* aspect takes into account the area of land encompassing four PLADECO and two RLUP, which have been worked on by the project and, consequently, contain information about the value and conservation of the carbon pools and biodiversity. As mentioned in the effectiveness section, the project did not manage to make an impact on any RLUP due to it being an instrument that is still uncertain in legal terms. With regard to the PLADECO, the project managed to effectively include the topics of biodiversity and climate change in the PLADECO of the commune of Pinto, which encompasses 116 400 ha. In the communes of Coltauco, Las Cabras and Doñihue, a draft document was established that incorporated the aforementioned topics, as the current local governments of these three communes recently initiated their management. As a result of the aforementioned, the evaluation team only takes into account the surface area that encompasses the PLADECO of the commune of Pinto, which corresponds to 116 400 ha. This surface area contributes 27 percent to the fulfilment of the indicator target (Figure 8b). In this regard, it is important that INFOR and CONAF exert political pressure so that the new governments of the communes Las Cabras, Coltauco and Doñihue adopt the document developed which involved approximately one year of work, with a high level of participation by the community and relevant government authorities, and incorporate it into their respective PLADECO to achieve the expected impact.

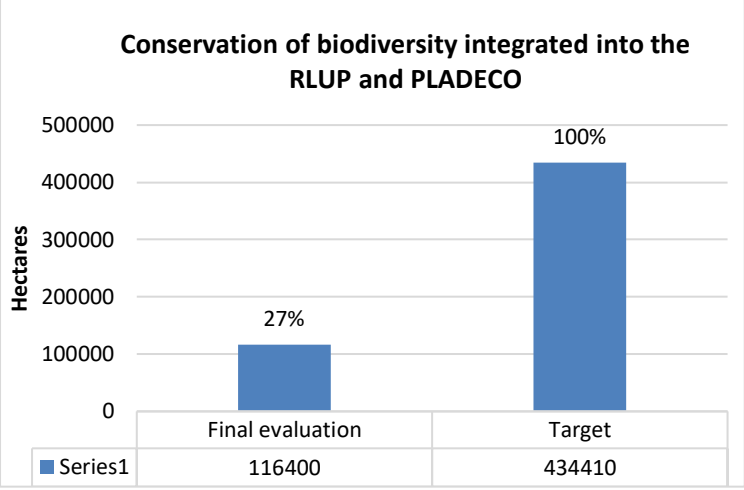
174. The *restoration/rehabilitation of degraded forests* aspect measures the surface under restoration or rehabilitation promoted by the project. Based on the information available, a surface area of 82.32 ha is registered that is under rehabilitation promoted by the project.[16] This amount corresponds to 1.9 percent progress in the target, which is 4 300 ha (Figure 8c). It is worth noting that the amount encountered only includes rehabilitation activities that are being implemented, due to the GEF indicator itself making reference to good forestry management practices applied to existing forests. Given this scenario, it is essential that in the time left of the project, INFOR, CONAF and FAO guarantee the implementation of the instruments developed and complete the pledged area so that the project manages to contribute to the expected impact.

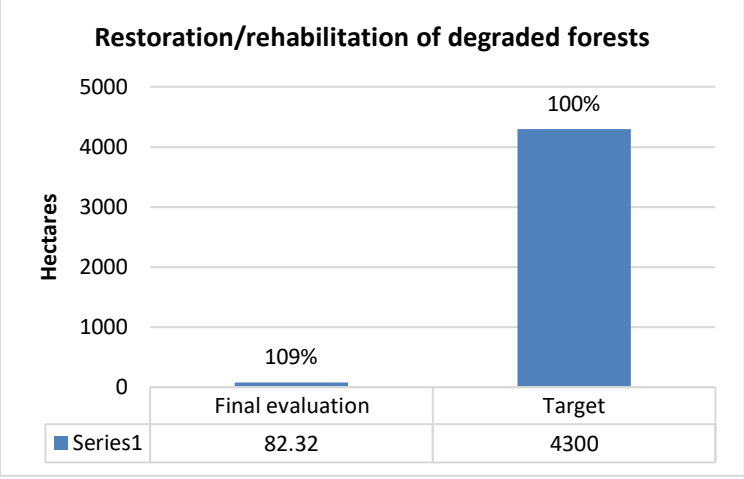
175. One of the key indicators of the project monitoring tools, which corresponds to the focal areas of climate change and REDD+, is the amount of GHG emissions avoided due to the reduction in forest degradation and the amount of carbon sequestered by means of restoration. The targets proposed by the project are approximately 40 million tonnes of avoided emissions and 13 million tonnes of CO_2eq sequestered, to be met 20 years from end of project. To this end, the executing team could not give an estimation of the progress towards the fulfilment of this target, and as such it is not possible to assess its shift towards impact.

[16] This surface area includes: the O'Higgins region: Parque en el Aire: 5 ha with Chilean palm forest; Ñuble region: demonstration units of 1.2 ha in the commune of Pinto; region of Los Ríos and Los Lagos: restoration in the watersheds of Liquiñe and Coñaripe, 20 ha. In accordance with the National project Director, the following areas are in the process of plantation: Minico Aysen 15 ha; Coyhaique 4.12 ha; Malleco National Reserve and Tolhuaca National Park 26 ha as well as China Muerta National Reserve 11 ha.

Figure 8: Progress in the fulfilment of the targets of some GEF indicators







Source: National project director, INFOR and half-yearly reports

176. With regard to the impact targets proposed by Outcome 3.1, the project executing team made an effort to estimate the shift in some of these at the request of the evaluation team. The results of this exercise are presented in Table 5.

Table 5: Progress in the fulfilment of the impact targets included in Outcome 3.1

Targets of Outcome 3.1	Comments
a) 10% increases in core areas and 10% increases in the average area of patches five years from the end of the project.	The project team completed an estimation of the surface area of the core areas and of patches in O'Higgins and Los Ríos using a more complete and rigorous methodology, compared to that used to estimate the baseline included in the Framework of outcomes. In addition, the methodology was based on the new definition of forest resulting from the Native Forest Law and its modifications. As a result of the aforementioned, the baseline estimated in the PRODOC for this target remained obsolete and cannot be used as a reference to determine any shift. Given that it relates to an impact target and, in accordance with the status of the aforementioned management plans, it is not currently possible to identify any effect of the project in the current situation in the core areas and patches of the two regions. The effect will be evident in the mid and long term, once the management plans have been implemented. The estimations made by the project could constitute the new baseline to determine the impact of the project in 5 years in a more robust and frequent manner.
b) Rate of forest degradation reduced by 20% compared to the baseline with a 15% margin of error at the end of the project.	INFOR has records of degraded surfaces for the following periods: 2001–2010; 2010–2015 and 2015–2017. The area of degradation of the last period was estimated based on the land use maps improved and updated by the project, as well as the improved information of the CFI. Given that the methodology was also different to that used to generate the baseline detailed in the Framework of outcomes, which was based solely on the use of wood, it is also not possible to use it as a reference to see the progress the project has made regarding the reduction of the rate of degradation. Consequently, the amount estimated by the executing team could also be considered as the baseline. The project's contribution towards improving the methodologies and the frequency of measurement, which will now take place every two years, and towards positioning the topic of native forests on the political agenda, is noteworthy.
c) 4 300 ha of degraded forests in the process of restoration by end of the project and 100 000 ha in the process of restoration 20 years from end of project.	The progress made in the fulfilment of this target is the same as that reported for the aforementioned indicator c).
d) 40.8x106t CO_2eq in avoided emissions from forest degradation and 13.58x106t CO2eq sequestered by forest rehabilitation resulting in a net carbon balance of -54.28x106t CO_2eq 20 years from end of project (38% uncertainty).	It was not possible to have an estimation of the progress made in the fulfilment of this target.
e) Populations of key threatened species stabilised through passive restoration with: avellanita (*Avellanita bustillosii*), southern belloto (*Beilschmiedia berteroana*) northern belloto (*Beilschmiedia miersii).* *Instead of avellanita, larch and araucaria trees were worked with, the latter at the request of the SC.	As stated in the design section, this target has design problems, due to the fact that it does not define a reference value to consider when and under which characteristics the stabilisation could have been achieved. In any case, the project made progress in the development of the baseline for the species: ● Southern belloto (*Beilschmiedia berteroana*) ● Northern belloto (*Beilschmiedia miersii)* ● Larch (*Fitzroya cupresoides*) ● Araucaria (*Araucaria araucana*) There is a management plan for the Cerro Poqui Nature Sanctuary that includes restoration with populations of southern bellotos. Araucaria seeds were also gathered from all of the populations of the species and 60 000 plants were propagated for safeguarding by means of *ex situ* conservation. It is worth mentioning that due to its condition of health, it was not possible to opt for active restoration.

177. It is observed that the project established the correct route to achieve the impact expected, although this progress is still very limited. The foundations have been laid to generate reliable and robust information but the approval and implementation of the instruments developed that use it must be ensured, and efforts must be complemented with additional actions to achieve said impact. This limited progress is a consequence of the project design problems and the considerable delay in the project, which impeded the specification of outputs 3.1.3, 3.1.4 and 3.1.5 of Component 3.

4. Conclusions and recommendations

4.1 Conclusions

Conclusion 1. Relevance. The project remains in line with the Chilean government climate and forest policy. The 2018–2022 Government Plan, national strategies on biodiversity and climate change and the appropriation of the SIMEF as a government programme support said relevance. In addition, it is aligned with the lines of work of the *Chile 2019–2022 Country Programming Framework* of FAO-Chile and the initiatives of the focal areas of the GEF on biodiversity, climate change and REDD+.

Conclusion 2. Achievement of the project outcomes. On average, the project managed to fulfil around 83 percent of its targets. It is worth pointing out the establishment of an interinstitutional structure to support the development of the project, consisting primarily of a Steering Committee made up of relevant government institutions, which is expected to continue operating once the project is completed, as well as the establishment of six Regional Participation Committees. In addition, a digital platform was created using five tools that contain information on carbon flow and stocks, biodiversity of forest ecosystems, land use changes and forest degradation. The most limited achievements can be found in the use of the information to contribute to legal, planning and management instruments, due mainly to the project delays.

Conclusion 3. Development of capacities. The project has mainly developed individual capacities relating to participatory monitoring, the use of drones, the use of data and land use systems and platforms. The evaluation of these training activities is generally positive, but opportunities for improvement have been identified in areas such as the selection of participants and in the development of support activities at institutional level to contribute to a favourable environment for the application of the knowledge acquired. There are still courses pending which are essential for the transfer and use of the SIMEF Platform, that will also help to broaden their usage. These courses have not been given yet due to the project delays and to the social and health crisis the country is facing.

Conclusion 4. Knowledge management. The project has contributed significantly to the generation of new knowledge about forest ecosystems that includes technical data, protocols and methodologies. In addition, it has contributed to its integration with pre-existing knowledge and to its distribution and use, by means of the development of a Platform that organises and analyses the integrated knowledge.

Conclusion 5. Efficiency, implementation and execution of the project. The project has shown problems of budgetary underutilisation and delay in the realisation of activities that led to its extension by one more year. At present 96 percent of the budget has been implemented. The execution of the project under the operative partners implementation modality was successful, with a transparent management of the resources and an effective governance and coordination structure. The performance of the National Forestry Institute and of FAO was rated as satisfactory and effective, with some areas for improvement detected for FAO-Chile in relation to monitoring the project. However, the management of risks and the proposal of measures to adapt to the situations faced by the project have not been very effective. The project consequently failed to fulfil some targets, mainly those that represented progress towards the achievement of the impact.

Conclusion 6. Co-financing. A high percentage of the co-financing pledged has been materialised, amounting to 83 percent as at June 2019. It is expected that the figure will increase towards the end of the project, which reflects the high commitment by the National Forestry

Institute, and by the National Forestry Corporation and the Natural Resources Information Centre as co-executing authorities, as well as of its partners, such as FAO and the Aerial Photogrammetric Service.

Conclusion 7. Factors affecting efficiency: design. The project addresses a priority national problem, whose solution was designed in a participatory manner. The areas for improvement in this phase can mainly be found in the Framework of outcomes. A lack of horizontal logic was identified between Outcome 3.1 and its targets, in the Framework of outcomes. In addition, the Framework lacked indicators, mid-term targets and assumptions for the outputs; and included targets that were not very precise.

Conclusion 8. Factors affecting efficiency: monitoring and evaluation. Approximately 90 percent of the M&E reports and activities were realised. However, the detailed monitoring of the indicators of the outputs and outcomes, the identification of risks and the completion of half-yearly reports and of the programme implementation review show some opportunities for improvement. These areas for improvement result from problems in the design of the Framework of outcomes, the lack of a monitoring and evaluation system, and the failure to fulfil 35 percent of the mid-term review recommendations.

Conclusion 9. Involvement of the stakeholders. The project has implemented several participatory processes that have made it possible to involve different civil associations such as the Doñihue Communal Association of Neighbours' Councils; people from the communes, including members of the Mapuche indigenous community; small and medium forest owners; regional and local authorities; and universities and schools such as the agricultural school Escuela Agrícola de San Vicente de Paul and Universidad de la Serena, most of these stakeholders were identified in the project document. The Ministry of Natural Assets joined as a new stakeholder and had relevant participation with regard to land use in the region of Aysén. More active participation by the Ministry of Environment would have been expected due to its competences and commitments in terms of biodiversity and climate change. The private sector, by means of local public-private authorities, ecotourism companies and beekeepers associations, participated to a more limited extent, focusing on the activities linked to the development of management plans in the pilot sites of Los Ríos and O'Higgins. The Regional and Administrative Development Subsecretariat did not participate in the project.

Conclusion 10. Gender. The project design included gender-sensitive elements, particularly in relation to the training and communication activities. The communication strategy did not address the topic of gender as was foreseen in the project document, which explains why the participation of women in the project was not promoted more, and why there was no substantial contribution to reducing the gender gap in the forest sector, which is dominated by men. The percentage of participation of women in the capacity-building activities reached 25 percent (when the target was 40 percent).

Conclusion 11. Indigenous communities. It was considered that it was not necessary for the project to request free, prior and informed consent from FAO, as a result of its *Policy on Indigenous and Tribal Peoples*, for the participation of members of the Mapuche indigenous community in the pilot activities in Panguipulli. The aforementioned was confirmed by the expert in the topic of the FAO Regional Office for Latin America and the Caribbean. This assertion is based on the fact that at the time of designing the project, the manner in which to apply the FAO policy in the matter was still unclear, and it is also based on the low risk identified in the social and environmental safeguards.

Conclusion 12. Sustainability. The sustainability of the project benefits is ensured due to the fact that the SIMEF is, at present, a regular programme of the Chilean State, with a governance system and with a permanent annual budget established in the country's Budget Department. However, the appropriation of the SIMEF at regional and local level is still weak. Political and financial risks are identified in all of the state programmes but these are low at the moment.

Conclusion 13. Progress towards impact. The project set out the correct path to contribute to achieving the foreseen impact, mainly by contributing to generating robust and reliable information. However, this route needs to be ensured by means of the formalisation and implementation of the instruments developed in the framework of the project. Three outcome and impact indicators of the Global Environmental Facility show fulfilment levels of between 0.4 and 27 percent. It is foreseen that consolidating the route to be followed will not be difficult due to the project having managed to put the topic of native forests on the political agenda.

4.2 Recommendations

Recommendation 1. To the Ministry of Agriculture, to the Forestry Institute, to the Natural Resources Information Centre and to the National Forestry Corporation. For the second phase of the SIMEF as a government programme, the following is recommended:

i. The Steering Committee should complete a self-assessment of its performance and use its results as a basis to consolidate its operation and composition. Some of the aspects that can be taken into account include the incorporation of new members such as the Ministry of Natural Assets.

ii. To ensure greater synergy and collaboration with the Ministry of Environment to make progress towards an interoperability between environmental databases and the SIMEF.

iii. To strengthen the evaluation component of the SIMEF that will lead to the analysis and cross-checking of information contained in the Platform and endorses a positioning on the state of forest ecosystems in Chile.

iv. That the government authorities participating in the SIMEF, in accordance with their respective competences, continue to exert pressure to authorize or implement the legal proposals and land use or management instruments that are developed in the project, and therefore ensure the contribution to the impact expected in the mid and long term.

v. To establish and formalize the responsibilities and mechanisms for the validation of information products that are uploaded onto and presented on the SIMEF Platform.

vi. To conduct a structured and broad survey of the needs for SIMEF products and types of maps among different public and private sector users, therefore strengthening the use of the vast amount of information that SIMEF has and that can be analyzed and configured into new maps and products.

vii. To progressively generate the technical capacities for the field survey and analysis of information from the extended continuous forest inventory, in different headquarters of Chile's National Forestry Institute, by means of a specific training programme, suited to the institutional structure and that makes it possible to strengthen the institution at national level in the aspects related to the SIMEF.

viii. To use the existing government protocols to include the opinions of the Mapuche community in the development of the individual management plans that will result from the masterplan prepared.

Recommendation 2. To the executor and co-executors of the project and to FAO. In the time left of the project and in the face of another possible extension of the project due to the health crisis, the following is suggested:

i. Include an introductory text that describes the SIMEF and its two components "monitoring and evaluation" in the SIMEF Platform; standardize the logotypes that appear on the Platform with the SIMEF logo and include the term "evaluation" in it.

ii. Resume the activities that were left pending in Component 1 of the project relating to training; in Component 2 relating to the development of missing thematic maps; and in Component 3 monitor the management and planning instruments developed in the framework of the project to ensure the initiation of their implementation and to not lose the inertia the project has established.

Recommendation 3. To FAO and the FAO-GEF Coordination Unit. Upon taking into account the importance of having a complete, robust and effective Framework of outcomes for the correct implementation, monitoring and evaluation of a project, it is suggested that the FAO-GEF Coordination Unit should not approve projects that have Frameworks of outcomes that are incomplete, lack indicators, assumptions and mid-term targets. Similarly, it is also recommended that the FAO-GEF Coordination Unit, FAO-Chile and the FAO Regional Office for Latin America and the Caribbean design projects with a Framework of Outcomes based on the conceptual and technical foundations to build logical framework matrices.

Recommendation 4. To FAO. On considering the recurring lack of a monitoring and evaluation system in the implementation of the projects that, among other aspects, makes it possible to identify risks and implement mitigation measures in a timely manner, it is recommended that FAO explicitly include the development of a monitoring and evaluation system in the monitoring and evaluation plan table included in the project documents. This will make it possible to highlight the importance of this system and distinguish it from the monitoring and evaluation plan for the benefit of the executors of the projects.

Recommendation 5. To FAO and the FAO-GEF Coordination Unit. Given that in the mid-term and final evaluations an assessment is requested, in most cases, of the incorporation of the gender perspective in the projects prior to GEF-7, where its incorporation was not a requirement, it is recommended that the GEF-6 projects be encouraged to perform an assessment of the gender perspective and to contribute more effectively to the incorporation of this topic in their activities.

Recommendation 6. To FAO, to the FAO-GEF Coordination Unit and to the Forestry Institute. On considering that this project contains extremely ambitious targets, it is recommended that the design of the projects be accompanied by the preparation of a theory of change that makes it possible to more clearly visualise the logic of the outcomes and outputs, define and understand the possible complexity of the change desired and identify interactions, barriers and assumptions to be fulfilled to achieve the expected impact. Based on this analysis, the times and resources of the project could be adjusted or, vice versa, the outputs and outcomes proposed could be adjusted taking into account the resources and time available.

Recommendation 7. Yo FAO and to the Forestry Institute. With regard to the development of capacities, improvements are recommended in the processes to select participants of the capacity-building activities, by defining and complying with the profiles of the participants and, if necessary, applying diagnosis tests and selecting stakeholders who would effectively apply the new knowledge acquired. It is also recommended that activities be included to support institutions to

strengthen aspects that enable the people who have been trained, to apply the knowledge and skills acquired.

Recommendation 8, to the executor and co-executors of the project and to FAO. Given the uncertainty about when the mobility restrictions implemented due to COVID-19 will be lifted in Chile and the proximity of the end date of the project, it is recommended that a virtual strategy be designed to launch the SIMEF Platform and perform the training on how to use it online, in such a manner that it can be used by the stakeholders participating in the project and that the activities set forth in the project document can be fulfilled. To design and implement the virtual strategy, it is recommended that the project be extended by four additional months, until December 2020, at no extra cost for the project.

5. Lessons learned

Lesson 1. Given that some of the targets proposed for Outcome 3.1 were more ambitious than those included in the GEF monitoring instruments, their achievement could not be quantified, and as such caution is required with the level of ambition to give the project. The targets of the Framework of outcomes must be backed by robust assessments and by a ToC, in which the best information available is used.

Lesson 2. The planning instruments (e.g. AOP) or project progress reports should not be used to provide timely monitoring of the fulfilment of the project outputs and outcomes. A M&E system should be used for this, and can consist solely of an Excel worksheet.

Lesson 3. In accordance with the interviews and the assessment of the evidence, the following practices or aspects are considered favourable for contributing to a successful implementation of the project under the OPIM modality:[17]

i. The low fiduciary risk of the operating partner. It is worth highlighting the effectiveness of the fiduciary evaluation performed to assign INFOR its role as an executing agency, which rated it as low risk. The aforementioned was corroborated in this evaluation.
ii. The availability of a project budget assigned to FAO for the recruitment and trips of the project Coordination Unit and the Head of the RPC.
iii. The level of technical involvement and consultancy of FAO in the project. FAO reviews the project outputs, the ToR and participates in the tender process for consultations over 15 000 USD, and provides technical consultancy when required.
iv. The location of the General Coordinator of the Executive Secretariat at FAO has facilitated closer monitoring of the project by the Organization and its Representation.
v. The location of the communication expert of the Executive Secretariat at INFOR, where the NDP is also located.
vi. The completion of spot-checks and external audits has contributed to having orderly and transparent resource management.
vii. The high relevance of the project for the Chilean Government.
viii. The interference of FAO or of a third party (e.g. an international consultant) to resolve discrepancies on methodological aspects where it was difficult for the executors and co-executors to reach an agreement.

Lesson 4. Given that the priorities of the Chilean Government are harmonised with the importance of climate change and biodiversity and that the GEF priorities maintain their focal areas in these topics, FAO-Chile must continue to promote these topics and broaden its portfolio of projects with this financier.

Lesson 5. Include a well-structured final evaluation of the courses provided and organise the information generated immediately after it is taught (e.g. final ratings, signed attendance lists and email addresses of all of the participants). The surveys conducted could not be sent to each of the participants as there were no attendance lists or the email addresses were illegible.

Lesson 6. The involvement of government authorities with competences to register Chile's property (e.g. MBN) turned out to be positive, as well as the donation of land to implement rehabilitation activities.

[17] It is worth mentioning that the implementation of the project under OPIM took place before the MS 701 format was published. However, all of the provisions of this format were fulfilled in this project due to the fact that there were already preliminary versions of the MS 701 format.

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Appendix 1. GEF criteria ratings table

FAO-GEF ratings table	Rating	Brief comments
1) RELEVANCE		
General reference to the project.	HS	The project is aligned with the priorities of the current Chilean Government, which led to the project becoming a government programme. The project has opened up more opportunities to FAO-Chile to push the environmental and climate change agenda even more. The global environmental benefits expected of the project will contribute to the fulfilment of the GEF objectives.
2) ACHIEVEMENT OF THE PROJECT OUTCOMES (EFFECTIVENESS)		
General evaluation of the project outcomes	S	On average, around 80% of the project output and outcome targets were met and the project is now a government programme with its own resources.
Outcome 1.1: An interinstitutional coordination and management structure that that works as a permanent basis for the operation of the SIMEF.	MS	The inter-institutional structure was established and it has worked effectively. The decision was made to establish six RPC instead of 15, and the GEF was not suitably informed. Knowledge of the SIMEF was limited in regions where the RPC were not integrated.
Outcome 1.2: Technical capacities and knowledge strengthened at national and regional level for the implementation of the SIMEF.	S	The required protocols were developed, some targets were exceeded in relation to the training of civil servants and RPC, although the target for trained brigades was only partially fulfilled.
Outcome 2.1: The CFI expanded to a geospatial model populated with data on 13.7 million ha of native forest ecosystems covering the whole country and including an additional 3.5 million ha of native forest not included in the previous CFIs.	S	The CFI was expanded with 3.5 million additional ha and there is a geospatial model loaded with data on 13.7 million ha of forest ecosystems.
Outcome 2.2: Information system on carbon stocks and flows, biodiversity of forest ecosystems and land use changes and operational socioeconomic drivers and providing information to interested users and stakeholders.	HS	An integrated forest ecosystem monitoring system was generated contained in a digital online platform with five tools, which exceeded that established in the PRODOC, which only stipulated web mapping.
Outcome 3.1: Institutions with decision-making powers on the national regulatory and legal framework and two regional governments (covering 45 local governments) use the information generated by the SIMEF to incorporate the conservation of biodiversity and carbon stocks, and REDD+ considerations into the land use planning and SFM.	UA	The targets for this outcome are not in line with such. The targets refer to impact, which can be measured in the mid and long term.

3) EFFICIENCY, IMPLEMENTATION AND EXECUTION OF THE PROJECT		
General quality of the adaptive management and implementation (implementation agency).	MS	The financial monitoring and technical consultancy provided were highly acknowledged. Three areas for improvement were identified in the monitoring and supervision of the project, including risk identification and assessment.
Quality of execution (execution agencies).	MS	Great commitment was identified towards the execution of the project and the transparency in the use of the resources. This was in addition to a high degree of satisfaction among the beneficiaries, although problems were identified with the interinstitutional coordination at the start of the project that led to substantial delays.
Efficiency (including the cost-effectiveness ratio and punctuality).	S	Although a substantial delay and underutilisation problems were registered with the development of the activities at the start of the project, its implementation under the OPIM modality was successful.
4) MONITORING AND EVALUATION		
General quality of the M&E.	MS	Most of the PRODOC M&E Plan reports and activities were fulfilled. Areas for improvement were identified in the project monitoring.
M&E design at the start of the project.	UA	A monitoring plan was not developed in the framework of the initial workshop.
Plan for the implementation of the M&E system.	MS	It was based on the plan set forth in the PRODOC, although the development of the monitoring system was lacking.
5) SUSTAINABILITY		
General sustainability	MS	By means of an interinstitutional agreement, the SIMEF project is now a regular programme with a government budget. However, the appropriation of the project at local level is still in its early stages.
6) INVOLVEMENT OF THE STAKEHOLDERS		
General quality of the involvement of the stakeholders.	S	Participatory processes were developed that made the effective involvement of most of the relevant stakeholders possible. A new government stakeholder joined with a positive impact.

Appendix 2. Ratings table

PROJECT OUTPUTS AND OUTCOMES

The project outcomes are rated based on the extent to which the objectives have been achieved. A scale of six points is used to rate the general outcomes:

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

It is possible that during the implementation phase the Framework of outcomes of some projects will be modified. In cases where the modifications of the impact, the outcomes and the outputs have not reduced their general scope, the evaluator must rate the achievement of the outcomes based on the Framework of outcomes. In those cases where the scope of the project objectives and outcomes has reduced, the magnitude and need of the reduction will be taken into account, and despite having achieved the outcomes in line with the revised Framework of outcomes, a lower rating will be assigned to the effectiveness of the outcomes where relevant.

IMPLEMENTATION AND EXECUTION OF THE PROJECT

The quality of the implementation and of the execution will be rated separately. The quality of the implementation is related to the duties and responsibilities carried out by the GEF agencies that have direct access to the GEF resources. The quality of the execution is related to the duties and responsibilities of the country or of the regional counterparts that have received GEF funds from GEF agencies and have completed the financed activities on the ground. The performance will be rated on a scale of six points:

Rating	***Description***
Highly Satisfactory (HS)	*There were no shortcomings and quality of **implementation/execution** exceeded expectations.*
Satisfactory (S)	*There were no or minor shortcomings and quality of **implementation/execution** meets expectations.*
Moderately Satisfactory (MS)	*There were some shortcomings and quality of **implementation/execution** more or less meets expectations.*
Moderately unsatisfactory (MU)	*There were significant shortcomings and quality of **implementation/execution** somewhat lower than expected.*
Unsatisfactory (U)	*There were major shortcomings and quality of **implementation/execution** substantially lower than expected.*
Highly Unsatisfactory (HU)	*There were severe shortcomings in quality of **implementation/execution.***
Unable to Assess (UA)	*The available information does not allow an assessment of the quality of **implementation/execution.***

MONITORING AND EVALUATION

The quality of the project M&E will be assessed in terms of:

i. Design

ii. Implementation

Rating	***Description***
Highly Satisfactory (HS)	*There were no shortcomings and quality of **M&E design/M&E implementation** exceeds expectations.*
Satisfactory (S)	*There were no or minor shortcomings and quality of **M&E design/M&E implementation** meets expectations.*
Moderately Satisfactory (MS)	*There were some shortcomings and quality of **M&E design/M&E implementation** more or less meets expectations.*
Moderately unsatisfactory (MU)	*There were significant shortcomings and quality of **M&E design/M&E implementation** somewhat lower than expected.*
Unsatisfactory (U)	*There were major shortcomings and quality of **M&E design/M&E implementation** substantially lower than expected.*
Highly Unsatisfactory (HU)	*There were severe short comings in **M&E design/M&E implementation**.*
Unable to Assess (UA)	*The available information does not allow an assessment of the quality of **M&E design/M&E implementation**.*

SUSTAINABILITY

The sustainability will be assessed taking into account the risks related to the sustainability of the financial, sociopolitical, institutional and environmental outcomes of the project. The evaluator will also be able to take into account other risks that could affect sustainability. The general sustainability will be rated on a scale of four points:

Rating	***Description***
Likely (L)	*There is little or no risk to sustainability.*
Moderately Likely (ML)	*There are moderate risks to sustainability.*
Moderately Unlikely (MU)	*There are significant risks to sustainability.*
Unlikely (U)	*There are severe risks to sustainability.*
Unable to Assess (UA)	*Unable to assess the expected incidence and magnitude of risks to sustainability.*

Appendix 3. Evaluation matrix

Evaluation criteria	Key evaluation questions	Sub-questions	Indicators	Methods	Sources of information
Relevance	Have the project outcomes been (and do they continue to be) consistent with the spheres of activity/operational strategies of the GEF programme, the national priorities and the FAO CPF?	● To what extent do the project objectives contribute to the fulfilment of the GEF strategy in terms of biodiversity, climate change, SFM and REDD+?	Level of consistency (high, medium and low) between the operational strategies of the GEF programme and the project objectives.	Documentation analysis and review, and interviews.	PRODOC, GEF strategies in terms of biodiversity, climate change, SFM REDD+, CPF of FAO-Mexico, National biodiversity and climate change strategies, and interviews with relevant stakeholders.
		● To what extent do the project objectives contribute to the fulfilment of the FAO-Chile CPF?	Level of consistency (high, medium and low) between the FAO-Chile CPF and the project objectives.		
		● To what extent do the project objectives contribute to the fulfilment of the national biodiversity and climate change strategies?	Level of consistency (high, medium and low) between the national priorities and the project objectives.		
Achievement of the project outcomes (Effectiveness)	What outcomes (both intended and unintended) has the project achieved and to what extent did these contribute to the achievement of the project's environmental and development objectives?	● What outcomes (both intended and unintended) were achieved? ● What is the quality of the outputs and outcomes obtained?	● Level of quality (high, medium or low) of the outputs and outcomes generated.	Interviews, direct observation during the field visits and documentation analysis and review.	PIR, half-yearly progress reports, testimonies of the national, regional and local stakeholders interviewed; visualisation of the tools and platforms developed, project publications and material for distribution.
		● What percentage of the Framework of outcomes indicator targets were met?	● Percentage of targets met, not met and partially met		
Development of capacities and	● Were the capacity-building activities based	● How was the training to be provided to the	● Level of satisfaction (high, medium, low) with the training received (perception).	Interviews, direct	PIR, half-yearly progress reports, testimonies of the

Evaluation criteria	Key evaluation questions	Sub-questions	Indicators	Methods	Sources of information
management of knowledge (under achievement of outcomes)	on real needs, were they relevant to the sector/beneficiaries and did they capitalise on existing capacities?	relevant stakeholders defined? ● Did the training sessions provided contribute to improving their institutional or work performance?		observation during the field visits and documentation analysis and review.	national, regional and local stakeholders interviewed; visualisation of the databases and platforms developed.
	● Did the capacity-building activities have an integrated approach (individual, organisational and favourable environment level)?	Were the capacity-building activities designed and implemented taking this integrated approach into account?	Level of interaction (high, medium, low) between the three levels of capacity-building (individual, organisational and favourable environment level).		
	● What evidence is there that the beneficiaries acquired more capacities for gathering, analysing and using data, and that the institutions make informed decisions in relation to forest and land use policies?	Did the stakeholders gain new knowledge, learn new types of conduct or acquire new skills to gather, analyse and use data in relation to land use and forestry policies?	Evidence of the use of skills generated to gather, assess and use data in the topic of forestry and land use policies.		
		Have the institutions to which the trained stakeholders belong improved their mandates or processes, or do they make better informed decisions on the topic of forestry and land use policies?	Evidence of the use of capacities generated by the institutions to improve processes, mandates or make better informed decisions.		
		Are there new or improved work frameworks or policies in said institutions regarding forestry and land use policies?	Existence of new or improved policies or work frameworks in said institutions regarding forestry and land use policies.		

Evaluation criteria	Key evaluation questions	Sub-questions	Indicators	Methods	Sources of information
	● Have knowledge management activities and outputs been produced and shared, and has this improved the contribution to the outcomes?	● Did the project generate new knowledge? ● Which platforms, systems or databases were developed to integrate, organise and spread the knowledge?	Number of platforms, systems, reports or databases developed.		
		● What is the level of use of the platforms, systems, reports or databases (high, medium, low) to strengthen regulatory and legal frameworks and forestry management, communal development and land use plans or any other forestry policy instrument?	Level of use of the platforms, systems, reports or databases (high, medium, low) to strengthen regulatory and legal frameworks and forestry management, communal development and land use plans or any other forestry policy instrument.		
Efficiency, implementation and execution of the project	● Have the modalities and quality of implementation/execution, the institutional structure and the governance of the project, the financial, technical and operational resources and procedures available helped or hindered the achievement of the project outcomes and objectives?	● What is the quality of the implementation of the project?	Level of satisfaction (high, medium, low) of the project beneficiaries with the quality of the implementation of the project (perception).	Interviews, direct observation during the field visits (if possible) and documentation analysis and review.	PIR, half-yearly progress reports, financial reports, AOP, minutes of the SC, ATC and RPC meetings. Testimonies of the national, regional and local stakeholders interviewed; if possible attend a committee meeting to make an active or passive observation of the performance of the stakeholders.
		● To what extent did the institutional structure and governance of the project facilitate or limit its execution?	● Number and type of barriers that limited the implementation of the project. ● Number and type of drivers that facilitated the implementation of the project. ● Level of satisfaction with the performance of the committees and the authorities created for the project.		
		● Were the project resources sufficient for their satisfactory implementation?	● Percentage of the level of implementation of the budget per year and component. ● Percentage of the level of outputs and outcomes achieved by the project. ● Perception of the sufficiency of the resources among the key stakeholders.		

Evaluation criteria	Key evaluation questions	Sub-questions	Indicators	Methods	Sources of information
		● What has the performance of FAO and the project executors and co-executors been (not just in terms of the project execution but also in terms of technical accompaniment and monitoring for the achievement of outcomes)?	● Level of satisfaction of the project beneficiaries regarding the performance of FAO (including the Representation, Executive Secretariat, LTO, RLC and FLO) and of the project executors and co-executors.		
		● To what extent have the risks been managed and new risks been identified?	● Level of effectiveness (high, medium and low) in the management and identification of risks.		
		● What adaptation measures have been implemented to mitigate the risks materialised? ● How effective were they?	● Level of effectiveness (high, medium and low) in the implementation of adaptation measures.		
		● How was the OPIM modality implemented in the project? ● What were the benefits and limitations of the use of the OPIM modality for the project?	● Benefits generated by the implementation of the OPIM modality for the project.		
			● Limitations generated by the implementation of the OPIM modality for the project.		
		● Were good practices identified in the implementation of the OPIM modality in FAO and INFOR?	● Good practices identified by FAO and INFOR in the implementation of the OPIM modality.		
Co-financing	To what extent has the foreseen co-financing	● What is the percentage of the co-financing	● Percentage of co-financing materialised compared to what was pledged.	Documentation analysis	PIR, half-yearly progress reports, financial reports,

Evaluation criteria	Key evaluation questions	Sub-questions	Indicators	Methods	Sources of information
	materialised and how has lower than expected co-financing affected the project outcomes?	materialised compared to that pledged in the PRODOC?		and review, and interviews.	AOP, minutes of the SC, ATC and RPC meetings. Testimonies of national, regional and local stakeholders interviewed.
		● What has the effect of co-financing been on the project, and in particular, was the co-financing lower than expected?	● Number and type of activities financed by the project partners in response to the co-financing they pledged to offer. ● Number and type of activities that were not realised due to the lack of fulfilment of the co-financing pledged by the project partners.		
Monitoring and Evaluation	To what extent has the M&E plan and its implementation been efficient and contributed to the project outcomes?	● To what extent was the M&E plan met?	● Number of elements of the M&E plan implemented compared to the total.	Documentation analysis and review, and interviews.	PIR, half-yearly progress reports, minutes of the SC, ATC and RPC meetings. Testimonies of national, regional and local stakeholders interviewed
		● Is there an M&E system to monitor the achievement of the project outcomes? ● If this is the case, has the M&E system been effective in providing suitable monitoring of the relevant aspects of the project and in making the necessary adjustments to ensure that it meets its objectives?	● Level of effectiveness (high, medium and low) of the M&E system implemented to provide timely monitoring of the fulfilment of the project objectives, outcomes and outputs; to organise and compile the project outcomes; to monitor the risks identified and the adaptation measures implemented to mitigate them; and to have a precise record of the budget expenditure and the co-financing materialised.		
Involvement of the stakeholders	Have other stakeholders been involved (such as civil society, indigenous communities or the private sector) in the design or the implementation of the project, and how has this		● Number of additional stakeholders to those included in the PRODOC involved in the project. ● Level of contribution (high, medium, low) of these stakeholders to the project outcomes. ● Number of mechanisms/initiatives implemented to involve additional stakeholders.	Documentation analysis and review, and interviews	PIR, half-yearly progress reports, financial reports, AOP, minutes of the SC, ATC and RPC meetings. Testimonies of national, regional and local stakeholders interviewed.

Evaluation criteria	Key evaluation questions	Sub-questions	Indicators	Methods	Sources of information
	affected the project outcomes?				
Gender	To what extent have gender-sensitive considerations been taken into account in the design and implementation of the project?		● Number of actions or strategies included to incorporate the gender perspective into the project design. ● Number of actions or strategies implemented to incorporate the gender perspective during the execution of the project.	Documentation analysis and review, and interviews	PRODOC, PIR, half-yearly progress reports, announcements issued, ToR of consultations, minutes of the SC, ATC and RPC meetings. Testimonies of national, regional and local stakeholders interviewed.
	To what extent has the project ensured equality in terms of participation and benefits, contributing to the empowerment of women, youth and other vulnerable groups?	● What strategies has the project implemented to ensure the equality of women, youth and other vulnerable groups in the project activities and the benefits that such offers?			
		● How effective have these strategies been?	● Percentage of women, youth and other vulnerable groups who participate in relevant activities of the project. ● Percentage of women, youth and other vulnerable groups who are beneficiaries of the project.		
Sustainability	How sustainable are the outcomes achieved to date, in environmental, social, financial and institutional terms?		● Level of appropriation (high, medium and low) of the SIMEF Platform by key stakeholders at local, regional and national level (perception). ● Level of resources (sufficient or insufficient) available for the operation of the SIMEF. ● Level of use of the SIMEF by key stakeholders. ● Level of use of the SIMEF for the fulfilment of the duties of the participating institutions and to improve the forest regulations and policies, as well as SFM practices and REDD+. ● Level of access of the beneficiaries of the project to local, regional and national markets.	Documentation analysis and review, and interviews	PIR, half-yearly progress reports, minutes of the SC, ATC and RPC meetings. Testimonies of national, regional and local stakeholders interviewed.
Progress towards impact	What preliminary signs of impact can be identified as	● What is the trend in the increase in patches in the	● Percentage increase in patches in the core areas and average surface.	Documentation analysis	PIR, half-yearly progress reports, own estimations or

Evaluation criteria	Key evaluation questions	Sub-questions	Indicators	Methods	Sources of information
	a result of the contribution of the project?	core areas and average surface?		and review, expert knowledge of the national consultant and interviews.	calculations. Testimonies of national, regional and local stakeholders interviewed.
		● What is the trend in the reduction of the rate of forest degradation?	● Level of reduction of the rate of forest degradation compared to the baseline.		
		● What progress has been made in the restoration of degraded forests?	● Number of hectares of forest in the process of restoration.		
		● What is the trend in emissions of GHG due to forest degradation and CO2eq sequestration?	● Number of tonnes of CO2eq avoided due to forest degradation.		
			● Number of tonnes of CO2eq sequestered by means of forest restoration.		
		● What is the trend in the populations of key threatened species stabilised through passive restoration?	● Level of stabilisation of the populations of key threatened species, by means of passive restoration.		
Lessons learned	What lessons can be learned from the design, implementation and management of the project that can be useful for the future of the SIMEF (and for its use) at a national and local level or other current and future projects?		● Number of lessons learned about the design, implementation and management of the project.	Documentation analysis and review, expert knowledge of the evaluation team, field visits and interviews.	PIR, half-yearly progress reports, evaluation team, testimonies of national, regional and local stakeholders interviewed, direct observation on the ground.

Appendix 4. List of people interviewed

	Name	Surname	Position	Affiliation
1	Carlos	Abarca	Head of the Environmental Unit	Coltauco Municipality
2	Lucía	Abello	Regional Coordinator of Public Libraries	Doñihue Municipality
3	Abraham	Albornoz	Member of the Technical Team of Land Use Change Maps.	CONAF
4	Luis	Albornoz	Member of the O'Higgins Pilot Cantillana Sur Ecotourism Network	O'Higgins region
5	Fanny	Alcántara	Member of the O'Higgins Pilot Cantillana Sur Ecotourism Network	O'Higgins region
6	Lucas	Alcayaga	Executive Secretariat Assistant	FAO-Chile
7	José	Antonio Prado	Head of the Climate Change Unit	CONAF
8	Hugo	Aros	Head of the Environmental Unit	Doñihue Municipality
9	Joaquín	Arriagada	Regional Secretary of the Ministry of Agriculture and President of the O'Higgins RPC	O'Higgins region
10	Alberto	Ávila	Biobío Headquarters Researcher	INFOR
11	Carlos	Bahamóndez	Inventory Department Research Coordinator	INFOR Valdivia
12	Cecilia	Ballesteros	Regional Participation Committees and Training Manager	FAO-Chile
13	Vicente	Barrientos	SEREMI of Agriculture	Ministry of Agriculture
14	Eduardo	Becker	Deputy Executive Director	CIREN
15	Beatriz	Brito Carrasco	Photosynthesis Consultant	O'Higgins region
16	Luis	Carrasco	Forestry Promotion and Development Manager	CONAF
17	Francisco	Castillo	Head of Native Forest Department, Ñuble Region.	National Forestry Corporation
18	Alejandra	Contreras	Agricultural Development Institute	INDAP
19	Fernanda	Cortés	Member of the Technical Team of Land Use Change Maps.	CONAF
20	Eve	Crowley	FAO Representative in Chile	FAO-Chile
21	Héctor	Damián Alonso Pichun	Consultant and Coordinator of Bosque Modelo Panguipulli	Los Ríos region
22	Sandra	Elizabeth Gacitúa Arias	Deputy Head of Diaguitas de Coquimbo	INFOR
23	Macarena	Faundez	Head of the Forestry Policy Secretariat Management Unit	CONAF
24	Daniel	Felipe Álvarez Latorre	Biodiversity and Natural Resources Div. Professional	Ministry of the Environment
25	Katherine	Garcés	Forest project - Panguipulli School	Los Ríos region
26	José	Gerstle	Photosynthesis Consultant	O'Higgins region

	Name	Surname	Position	Affiliation
27	Mauricio	Gómez Carrasco	Head of the Department of Forest Ecosystem Monitoring	CONAF
28	Daniela	González	Head of Strategic Management of Production and Development	CIREN
29	Patricio	González	Head of the Metropolitan Headquarters	INFOR
30	Marlene	González	Researcher of the Metropolitan Headquarters	INFOR
31	Patricio	González	Head of the Provincial Native Forest Unit	CONAF Cachapoal
32	María	Graciela Barrera	Head of the SDI MINAGRI Unit	CIREN
33	Hans	Grosse	Deputy Director of INFOR	INFOR
34	Felipe	Guzmán Vargas	Consultant Computing Engineer	INFOR Valdivia
35	Rodrigo	Henríquez	Head of the ICT Unit	CIREN
36	Moira	Henzi	SEREMI of Agriculture	Ministry of Agriculture
37	Teddy	Holmberg	Head of Environmental Monitoring	CONAF
38	Elke	Huss	Head of Ecosystem Monitoring and Information Updates Section	CONAF
39	José	Ignacio Pinochet Olave	Deputy Secretary of Agriculture	Ministry of Agriculture
40	Armando	Larenas	Administration and Finance Manager	INFOR
41	Montserrat	Larrosa	Head of the Planning and Environment Department	O'Higgins Regional Government
42	Claudia	Lobos	Member of the O'Higgins Pilot Cantillana Sur Ecotourism Network	O'Higgins region
43	Alex	Madariaga	Chief of Staff of the Executive Office	CONAF
44	Jaime	Márquez	President of the Community Environmental Organisation "De Quillayquen al Poqui"	Coltauco Municipality
45	Carolina	Massai	National Coordinator of the Climate Change Unit	CONAF
46	Jorge	Méndez	Member of the O'Higgins Pilot Cantillana Sur Ecotourism Network	O'Higgins region
47	María	Mercedes Proano	Policy Officer - Specialising in Climate Finance	RLC
48	Daniel	Montaner	MRV Team Coordinator	CONAF
49	Paola	Montoya	Head of the Finance and Budget Unit	CIREN
50	Jorge	Moya Rossi	Member of the Technical Team of Land Use Change Maps.	CONAF
51	Iván	Moya	Head of the Patagonia Headquarters Aysén	INFOR
52	Rodrigo	Mujica	Research and Development Manager	INFOR
53	Sabine	Muller-Using Wenzke	National project Director. Researcher	INFOR
54	Cristian	Núñez	Provincial Chief of CONAF Cachapoal	CONAF Cachapoal

	Name	Surname	Position	Affiliation
55	Hivy	Ortiz	Lead Technical Officer (LTO)	FAO SLM - FAO Subregional Office for Mesoamerica
56	Jemael	Pérez	President of the Cantillana Sur Ecotourism Network	O'Higgins region
57	Cristian	Pertuze	Administration and Finance Manager	CIREN
58	Verónica	Pomfrett	Head of the Land Development and Planning Division (DIPLAN)	O'Higgins Regional Government
59	Francisco	Pozo	Forestry Policy Secretariat Coordinator	CONAF
60	Jorge	Quezada	Forestry Development and Promotion Department Regional Office/Bosque Modelo Coordinator	Los Ríos region
61	Fernando	Raga	Director	INFOR
62	Marcelo	Ramírez	Director of INDAP	INDAP
63	Jorge	Razeto	University professor	Universidad de Chile
64	René	Reyes	Researcher - Socioeconomic Module	INFOR Valdivia
65	Mariel	Riffo	Administrative Manager of the SIMEF project at INFOR	Consultant
66	Yasna	Rojas	Head of the Climate Change Unit	INFOR Valdivia
67	Andrea	Sáez	Budget Holder (deputy)	FAO-Chile
68	Rodrigo	Sagardia	Continuous Inventory Manager	INFOR Valdivia
69	Jaime	Salinas	Patagonia Researcher. Aysén	INFOR
70	Alejandra	Schueftan	INFOR Manager Los Ríos Headquarters	INFOR
71	Arnoldo	Shibar Torres	Head of the Forestry Development and Promotion Department of the region of los Ríos and Panguipulli pilot	CONAF Los Ríos
72	Marcelo	Silva	Director of the agricultural school Escuela Agrícola de San Vicente de Paul	O'Higgins region
73	Yanira	Soto	Administrative Assistant	FAO-Chile
74	Álvaro	Sotomayor	Biobío Region Manager	INFOR
75	Miguel	Stutzin	GEF Focal Point and member of the Steering Committee	Ministry of the Environment
76	Leonel	Tapia	GEF project Portfolio Manager	FAO RLC - Regional Office for Latin America and the Caribbean
77	Gerardo	Valdebenito	Forestry Diversification project Director and Researcher	INFOR
78	Jaime	Valdés	Executive Secretariat Coordinator	FAO-Chile
79	Alfonso	Vargas	Deputy Secretary for Defence (former Deputy Secretary for Agriculture)	Ministry of Defence of Chile
80	Richard	Velásquez	Head of Participatory Processes	INFOR Valdivia
81	Gerardo	Vergara	Researcher - Biodiversity Module	INFOR Valdivia

Appendix 5. GEF co-financing table

Name of co-financier	Type of co-financier [18]	Type of co-financing[19]	Co-financing at the start of the project (USD)			Co-financing materialised as at June 2019 (USD)		
			In kind	**In cash**	**Total**	**In-kind**	**In cash**	**Total**
CONAF	National Government	Use of infrastructure and human resources	5 709 620	1 631 320	7 340 940	5 154 074	1 472 593	6 626 667
CIREN	National Government		489 951	1 542 339	2 032 290	426 240	773 691	1 199 931
MMA	National Government		611 956	-	611 956	-	183 587	183 587
INFOR	National Government		8 297 487	3 907 754	12 205 241	7 555 991	3 558 541	11 114 532
SAF	National Government		3 026 504	-	3 026 504	2 057 000	-	2 057 000
FAO	International Agency		325 000	67 000	392 000	250 000	60 000	310 000
Overall total			**18 460 518**	**7 148 413**	**25 608 931**	**15 443 305**	**6 048 412**	**21 491 717**

Sources: 2019 PIR; SAF GDYP ATC N.° 05/191

[18] Some examples of categories include: local, provincial or national government; semi-governmental autonomous institutions; private sector, multilateral or bilateral organisations; educational and research institutions; NGO; civil society organisations; foundations; beneficiaries; GEF agencies; and others (please clarify).
[19] Grants; loans; contributions by beneficiaries (individuals) in cash; guarantees; material contributions in kind; and others (please clarify).

Annexes

Available in the Spanish language of the original report:

Anexo 1. Cuadro de efectividad
http://www.fao.org/3/cb1523es/cb1523es.pdf

Anexo 2. Informe de inicio
http://www.fao.org/3/cb1524es/cb1524es.pdf

Anexo 3. Informe de las encuestas sobre desarrollo de capacidades
http://www.fao.org/3/cb1525es/cb1525es.pdf

Anexo 4. Listado de publicaciones derivadas del proyecto
http://www.fao.org/3/cb1526es/cb1526es.pdf

Anexo 5. Listado de actores involucrados en el proyecto
http://www.fao.org/3/cb1527es/cb1527es.pdf

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E-mail: evaluation@fao.org
Web address: www.fao.org/evaluation

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