

**Validated Terminal Review of the UNEP-GEF Project**

**“Protecting Biodiversity and Multiple Ecosystem  
Services in Biological Mountain Corridors in Chile”**

**(GEF ID 5135)**

**2016 – 2022**



**UNEP/GEF Biodiversity and Land Degradation unit**

**May, 2023**



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This report has been prepared by an external consultant as part of a Terminal Review, which is a management-led process to assess performance at the project's operational completion. The UNEP Evaluation Office provides templates and tools to support the review process and provides a formal assessment of the quality of the Review report, which is provided within this report's annexed material. In addition, the Evaluation Office formally validates the report by ensuring that the performance judgments made are consistent with evidence presented in the Review report and in-line with the performance standards set out for independent evaluations. As such the project performance ratings presented in the Review report may be adjusted by the Evaluation Office. The findings and conclusions expressed herein do not necessarily reflect the views of Member States or the UN Environment Programme Senior Management.

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GFL-11207-14AC0003-SB-004356

Protecting Biodiversity and Multiple Ecosystem Services in Biological Mountain Corridors in Chile

GFL-11207-14AC0003-SB-004356

05/23

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## ACKNOWLEDGEMENTS

This Terminal Review was prepared for UNEP Ecosystems Division/GEF Biodiversity and Land Degradation unit by Robert Hofstede.

The reviewer would like to express their gratitude to all persons met and who contributed to this review, as listed in Annex 3.

The reviewer would like to thank the project management unit (PMU) and in particular Marianne Katunarić and Jaime Rovira for their contribution and collaboration throughout the review process. The reviewer is grateful for all the collaboration received from all PMU members, through a series of informative conversations, data and publications provided and additional contacts to be interviewed. Also, the PMU provided administrative and logistical support. Sincere appreciation is also expressed to the Steering Committee who took time to provide comments to the draft report. The reviewer would also like to thank the Ministry of Environment for its collaboration during the review.

In addition, the reviewer extends his thanks to the staff from different national and local government bodies for the time they dedicated and the valuable information they provided. Also, the reviewer sincerely appreciates the numerous representatives of the non-governmental and private institutions and individual informants who gave up their time to be interviewed, to talk about their experiences and express their opinions and/or to accompany the review consultant during the review process. Finally, the oversight and technical, operative and administrative support from the task manager (Robert Erath) and programme assistant (Gloritzel Frangakis Cano) at UNEP-ROLAC was highly appreciated.

The review consultant(s) hopes that the findings, conclusions and recommendations will contribute to the successful finalisation of the current project, formulation of a next phase and to the continuous improvement of similar projects in other countries and regions.

## BRIEF EXTERNAL CONSULTANT(S) BIOGRAPHY

Robert Hofstede is an accomplished conservation programme and project evaluator based in Quito, Ecuador. He is well acquainted with civil society organizations in Latin America, especially regarding conservation, protected area management, forestry, climate change and integrated land management. He brings subject matter expertise in a variety of fields, including ecosystem services, policy development, environmental planning and knowledge dissemination. He has worked extensively as a consultant for several international agencies focusing on project and programme development and evaluation, and environmental studies. During his professional career, Mr. Hofstede directed the Climate Change programme at the International Development Research Centre (IDRC, Canada) and the South America regional programme for the International Union for the Conservation of Nature (IUCN). He also held management positions at CGIAR and the University of Amsterdam.

## ABOUT THE REVIEW

**Joint Review:** No

**Report Language(s):** English.

**Review Type:** Terminal Review

**Brief Description:** This report is a management-led Terminal Review of a UNEP/GEF project implemented between 2016 and 2022. The project's overall development goal was to consolidate public-private initiatives to conserve globally significant biodiversity and multiple ecosystem services in the mountain areas of Chile's Mediterranean Ecosystem in the Metropolitan Region. The review sought to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The review has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP's Regional Office for Latin America and the Caribbean (ROLAC) and Ministry of Environment (MMA) of Chile.

**Key words:** Biodiversity, Chile, Corridors, Land Degradation, Land Use Planning, Local Environmental Governance, Mountains, Mainstreaming, Monitoring, Municipal Protected Areas, Restoration, Sustainable Forest Management, Sustainable Land Management

**Primary data collection period:** 1-22 December 2022

**Field mission dates:** 6-15 December 2022

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## ABBREVIATIONS

ASCC	Sustainability and Climate Change Agency ( <i>Agencia de Sostenibilidad y Cambio Climático</i> )
BD	Biodiversity
CEO	Chief Executive Officer
CEPA	Centre for political environmental studies ( <i>Centro de Estudios Político Ambientales</i> )
CONAF	National Forestry Corporation ( <i>Corporación Nacional Forestal</i> )
CONDESAN	Consortium for the Sustainable Development of the Andean Eco-Region
CORFO	National Production Development Corporation ( <i>Corporación Nacional de Fomento de la Producción</i> )
CPA	Clean Production Agreements
CSO	Civil society organizations
EA	Executing Agency
ELP	Ecological Landscape Planning
FAO	Food and Agriculture Organization of the United Nations
FMs	Financing Mechanisms
GBIF	The Global Biodiversity Information System
GEF	Global Environmental Facility
GLORIA	Global Observation Research Initiative in Alpine Environments
IA	Implementing Agency
INDAP	Institute of Agricultural Development ( <i>Instituto de Desarrollo Agropecuario</i> )
IUCN	International Union for the Conservation of Nature
LD	Land Degradation
LEM	Local Environment Management
M&E	Monitoring and Evaluation
MECS	Municipal Environment Certification System
MINAGRI	Ministry of Agriculture ( <i>Ministerio de Agricultura</i> )
MMA	Ministry of Environment ( <i>Ministerio de Medio Ambiente</i> )
MTR	Mid Term Review
MTS	Medium Term Strategy
NGO	Non-Governmental Organization
NPC	National Project Coordinator
ONU	United Nations Organization ( <i>Organización de las Naciones Unidas</i> )
PIR	Project Implementation Review
PMU	Project Management Unit
POW	Programme of Work
PPG	Project Preparation Grant
Prodoc	Project document
REDD	Reducing Emissions from Deforestation and Forest Degradation
RENAMU	Municipal Nature Reserve ( <i>Reserva Natural Municipal</i> )
ROLAC	Regional Office for Latin America and the Caribbean
RQ	Review Question
SAG	Agriculture and Livestock Service ( <i>Servicio Agrícola y Ganadero</i> )
SBAP	Biodiversity and Protected Areas Service ( <i>Servicio de Biodiversidad y Áreas Protegidas</i> )
SC	Steering Committee
SEREMI	Ministerial Regional Secretariat ( <i>Secretaría Regional Ministerial</i> )
SFM	Sustainable Forest Management
SIMBIO	Biodiversity Information and Monitoring System ( <i>Sistema de Información y Monitoreo de la Biodiversidad</i> )
SLM	Sustainable Land Management
SMART	Specific, Measurable, Achievable, Relevant, Timely
SO	Strategic Objective

SUBDERE	Sub-secretary for Rural Development and Administration ( <i>Subsecretaría de Desarrollo Regional y Administrativo</i> )
TC	Technical Committee
TNC	The Nature Conservancy
ToC	Theory of Change
ToR	Terms of Reference
TR	Terminal Review
TT	Tracking Tools
UNEP	UN Environment (United Nations Environment Program)
WCS	Wildlife Conservation Society

**PROJECT SUMMARY TABLE<sup>1</sup>**

<b>GEF project ID:</b>	5135	<b>IMIS number:</b>	GFL-11207-14AC0003-SB-004356
<b>Focal Area(s):</b>	Biodiversity, Land Degradation	<b>GEF OP #:</b>	BD 1 Improve Sustainability of Protected Area Systems BD 2 Mainstream Biodiversity Conservation and Sustainable Use into Production Landscapes/Seascapes and Sectors
<b>GEF Strategic Priority/Objective:</b>	BD 1, 2	<b>GEF approval date:</b>	4 May 2015
<b>UNEP approval date:</b>	28 June 2016	<b>Date of first disbursement*:</b>	4 July 2016
<b>Actual start date:</b>	28 June 2016	<b>Planned duration:</b>	June 2016 – June 2021 60 months
<b>Intended completion date:</b>	June 2022	<b>Actual or Expected completion date:</b>	December 2022
<b>Project Type:</b>	FSP	<b>GEF Allocation:</b>	USD 5,657,201
<b>PPG GEF cost:</b>	USD 150,000	<b>PPG co-financing:</b>	USD 155,500
<b>Expected MSP/FSP Co-financing*:</b>	USD 26,952,400	<b>Total Cost*:</b>	USD 32,915,101 (with PPG included)
<b>Mid-term Review/eval. (planned date):</b>	1 <sup>st</sup> semester 2020	<b>Terminal Evaluation/ Review (planned date):</b>	2 <sup>nd</sup> semester 2022
<b>Mid-term Review/eval. (actual date):</b>	July 2020	<b>No. of revisions*:</b>	#7 budget revisions
<b>Date of last Steering Committee meeting:</b>	December 2020	<b>Date of last Revision:</b>	29 June 2022
<b>Disbursement as of 30 June 2022:</b>	USD 5,453,502.76	<b>Date of planned financial closure:</b>	30 June 2023
<b>Date of planned completion:</b>	December 2022	<b>Actual expenditures reported as of 30 June 2022:<sup>2</sup></b>	USD 5,453,502.76
<b>Total co-financing realized as of 31 December 2022:</b>	USD 44,788,424	<b>Actual expenditures entered in IMIS as of 31 December 2021:</b>	
<b>Leveraged financing:<sup>3</sup></b>			

<sup>1</sup> Data from PIR FY18

<sup>2</sup> See above note on co-financing



## EXECUTIVE SUMMARY

### *Introduction*

1. This document presents the report of the Terminal Review (TR) of the UN Environment (UNEP)/Global Environmental Facility (GEF) project "Protecting Biodiversity and Multiple Ecosystem Services in Biological Mountain Corridors in Chile" (hereafter called "GEF Montaña" or "the Project"). The review was executed during November and December 2022, by a review consultant, Robert Hofstede. The TR was undertaken at operational completion of the Project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the Project, including their sustainability. The TR had two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP's Regional Office for Latin America and the Caribbean (ROLAC) and Ministry of Environment (MMA) of Chile. The target audience for the results of this review are UNEP staff related to GEF projects, regional offices and the evaluation office. Among project stakeholders were the participating ministries and government institutions and municipalities in the project intervention sites, other project partners (academy, NGO) and beneficiaries (individual land and forest-owners, civil society organizations).

2. The objective of the GEF Montaña project was to consolidate public-private initiatives to conserve globally significant biodiversity and multiple ecosystem services in the mountain areas of Chile's Mediterranean Ecosystem in the Metropolitan Region. The Project was implemented through three components, each of which with its expected outcome and outputs: (1) Local environmental governance capacity development and knowledge management on biodiversity conservation and sustainable land use; (2) implementation and promotion of best practices for the sustainable management of landscapes for biodiversity and ecosystem services conservation; (3) pilot-scale application of Integrated Conservation Districts for Soils, Forest and Water legislation. The project was implemented between June 2016 and December 2022. The Ministry of Environment (MMA) of Chile was Executing Agency (EA) for the project and established a Project Management Unit (PMU). During the implementation of the project, several national governmental agencies were involved in activities and municipal agencies were an important participant and beneficiary of the project.

### *Main findings*

3. The review noted a high relevance of the Project to local, national and international priorities. Several aspects of the project approach are innovative for various levels of Chilean government and society, such as the focus on the ecosystems of the Mediterranean region, its connectivity through corridors, mainstreaming biodiversity in productive land use and supporting municipal level environmental management. The Project was well aligned with policies and plans of the GEF, UNEP and national public agencies. The Project tried to complement and collaborate with different previous and existing initiatives of project partners, which was successful in some cases, particularly at the level of GEF projects implemented by the MMA. The Project was well designed with a good vertical and horizontal logic, inclusion of stakeholders and consideration environmental impacts for project beneficiaries. The indicators were only presented at the output level, which were aggregated at the outcome and objective levels. Because the Project covered a time span of a full decade between its PIF development and its finalization, it included four administrative cycles that affected collaboration with other agencies both positively and negatively.

4. The Project was considered effective: it achieved the vast majority of its planned products, both in quantity and quality. Most outputs, in all project component, were delivered as planned or even surpassed the indicator target value. For three outputs, the reviewer made observations because they are considered to be generated differently than planned. The Project contributed significantly to the establishment several municipal environmental departments, strengthened capacities of all municipalities and improved decision making, based on updated information on biodiversity and ecosystem services, adequate training and direct support to pilot projects (Outcome 1). Positive examples of good practices for the sustainable management of landscapes, were successfully implemented and well communicated, although most remained at the pilot level and are not yet brought to scale or supported by financial instruments. A

biodiversity monitoring system was successfully developed to support local environmental management and connected to the national-level biodiversity information and monitoring system (SIMBIO; Outcome 2). A Conservation District was established and supported by government agencies in San José de Maipo (Outcome 3). The consolidation of several initiatives at the local level and pilot scale is ensured and herewith, the generation of impact is likely. The participation of stakeholders in the generation of outputs, outcomes and early impact was satisfactory and effective. Final beneficiaries were directly involved in the design, implementation and benefits from the good practices and forest management.

5. Overall, the project was well implemented. It was managed professionally by a well-functioning team with high quality, committed staff. The financial management was according to planning and followed financial and operational standards of UN Environment. Because UNEP has no institutional presence in Chile, UNEP and the Chilean government agreed that funding would be channeled through independent fund administration agencies, which was considered transparent and efficient. The Project had a serious delay in its implementation, caused by its initial implementation modality, civil unrest and the covid pandemic. Therefore, the Project was extended for more than one year. In practice, this ensured the satisfactory finalization of outputs and generation of outcomes. The Project extension did not affect financing and the Project was overall cost-effective, compared to other, similar projects. The Project's detailed and well-arranged monitoring and evaluation plan was operational and informed project management and technical reporting adequately. A weak aspect of the project was the absence of a clear gender strategy, expertise, objectives and monitoring although in practice, the project did have a good gender equity and social inclusion and contributed to women empowerment.

6. The sustainability of the project is likely. The social and political basis for conservation and inclusion of biodiversity and ecosystem services-consideration in landscape management has been increasing in the project area, which constitutes a good basis for sustaining project results and progress towards impacts. While some good practices are financially profitable, others need enhanced financial incentives. There are public and private institutions committed to providing continued technical support and monitoring, but ongoing funding is needed, particularly for municipality agencies with few staff members or for work by NGOs and academia. The institutional sustainability at the municipal level has been strengthened and constitutes a positive enabling environment for sustenance of the results.

7. Overall, stakeholder participation at the local level was high, contributed strongly to good project outcomes and early impact. The key role of municipality participation in project implementation is the driver for country driven-ness. The participation of local governments and other partners in execution, such as NGOs, service providers and academia strengthened during implementation, which was evidenced by the progressive delivery of commitment letters. The participation of government agencies at the higher level (regions and nation) was suboptimal. The lower participation of national government agencies was because of a lack of coordination at the institutional level in project execution and governance and because of the dispersed responsibility of biodiversity management among Chilean institution. Also, the limited project implementation capacity of the MMA: without the long-awaited Biodiversity and Protected Areas Service Law in place, MMA has no executive service. Finally, changes in government administration affected ownership of national-level agencies.

#### *Main conclusions*

8. The reviewer concludes that the overall project performance is rated as "Satisfactory". In spite of some weaknesses, the project was conceptually and strategically well designed. The approach of the Project (mainstreaming biodiversity in local environmental management, informed by biodiversity and ecosystem services identification and monitoring) was innovative and ensured good participation and appropriation from local stakeholders. The good quality and high number of outputs formed the basis for a satisfactory achievement of outcomes, which led to initial positive impact on biodiversity conservation, improved soil management and generation of environmental services. While this is still at the pilot/local level, there is an enabling environment for replication and scaling. The sustainability of the project's results is rated as "Likely". In general, the project team achieved an adequate participation of relevant local stakeholders in project planning, decision making and implementation. Participation and coordination with national and regional governmental agencies were less, which was caused by factors mostly beyond the

control of the Project. Project execution was efficient although there were delays in activities due to the external context. This led to a project extension, which actually helped to consolidate project outcomes. The Project was well-managed by a highly professional project team, achieving more outputs than foreseen, even though some outputs were different than expected.

9. The main conclusions of the review are:

- In spite of some minor weaknesses, the GEF Montaña project was well-designed and relevant stakeholders were well involved in the design process.
- The Project satisfactorily generated a large number of diverse outputs, to a higher degree than planned. Some of the outputs were generated differently as planned, which was a result of adequate adaptive management.
- The Project effectively achieved the expected outcomes: it managed to improve local environmental management in a large number of municipalities in the Mediterranean region of Chile, to establish a regional-level biodiversity monitoring system connected to local environmental management, to successfully implement pilots for sustainable agricultural production, sustainable land and forest management, restoration and conservation, and to establish a Conservation District in San José de Maipo.
- The Project generated positive impacts at local level in terms of the conservation of biodiversity and ecosystem services. While not part of its objectives, the Project had a concrete impact on climate change mitigation and adaptation.
- The Project was managed efficiently with good use of time and financial resources. There were major delays in activities at project inception and later, due to the civil unrest and the Covid pandemic. This was absorbed by the Project through adequate adaptive management. A one-year project extension was awarded which contributed to good project performance and the consolidation of results
- Sustainability is likely: there is a positive enabling environment for the consolidation of project results and future impact generation because of increased social awareness, committed local institutions and adequate environmental land planning in most of the project area. Even though financial sustainability is not ensured, there is enough institutional interest and capacity. The approval of the Biodiversity and Protected Areas Service Law is required to remove important barriers to long term impact and overall effective environmental management
- The Project managed to include local project partner agencies and beneficiaries effectively with project activities, which was key to generating results, creating ownership and providing institutional sustainability. Although the participation of national and regional level public agencies has been continuous during the Project and important joint activities have been implemented, their engagement has been a challenge for the Project.

*Summarized rating table*

<b>Criterion</b>	<b>Rating</b>
A. Strategic Relevance	Highly Satisfactory
B. Quality of Project Design	Satisfactory
C. Nature of External Context	Moderately favorable
D. Effectiveness	Satisfactory
E. Financial Management	Satisfactory
F. Efficiency	Satisfactory
G. Monitoring and Reporting	Satisfactory
H. Sustainability	Likely
I. Factors Affecting Performance	Moderately satisfactory
<b>Overall Project Rating</b>	<b>Satisfactory</b>

### *Main lessons*

10. Observing the project experiences, good practices and successes which could be replicated in similar contexts, the reviewer identified the following lessons:

- Including indicators for social outcomes is key to monitor and report on all benefits and impact of in an environmental management project
- Without a clear application of a gender approach, opportunities are missed to strategically plan and monitor the participation and empowerment of women, youth and disadvantaged groups. At the same time, this does not mean that positive change cannot be generated
- Optimal stakeholder involvement in research, good capacity building and immediate application were key to generating academic-quality field research and monitoring systems, applied to local environmental management. Also, directed support and collaboration with municipality staff enhanced impact and sustainability
- Having an NGO as fund administration agency with a mission similar to the Project generates added value for the Project.

### *Main recommendations*

11. Based on the review findings and conclusions, the reviewer developed a series of recommendations for future activities or recommended practices to increase the sustainability of the project outcomes, the probability to achieve the impact or the replica to another geographical or temporary scales.

- *To MMA:* The EA has a crucial role for providing institutional sustainability. Considering the Project identified many needs and developed several activities for the sustainability of results but that there is no agreed sustainability plan, there is a risk of lack of continuity. Therefore, MMA should develop a sustainability plan through meetings with the main project partners to agree on tasks from each of the partners to sustain activities where needed, support the consolidation of results and activities for scaling to achieve impact
- *To MMA:* GEF Montaña clearly generated important environmental outcomes, but also many social outcomes (income generation, improved livelihoods, empowerment of women and youth). However, the Project has not shown how its generated these social benefits. Recognizing that social benefits, human rights and equity are well-known requisites for the consolidation and wider uptake of environmental benefits, it is recommended that MMA clearly identifies and communicates the generated social outcomes. Also, the above-mentioned sustainability plan should highlight how social benefits will be achieved in the future, through the ongoing or new initiatives.
- *To MMA:* Given the wealth of publications, communication products, videos, project results, etc. available on the project website, and the high number of visits to this website, MMA should ensure its continued availability and maintenance. It eventually could become a more general (not directly project related) environment portal for in the Mediterranean region.
- *To UNEP:* Some achievements and insights from the Project are of regional and global importance and contribute to the expected achievements of UN Environment. This includes the mainstreaming of biodiversity in different (productive) sectors, establishment of conservation district, practice of SFM in sclerophyll forest, and the biodiversity monitoring system, connected to environmental management plans.

### **Validation**

The report has been subject to an independent validation exercise performed by UNEP's Evaluation Office. The performance ratings for the GEF project 5135, set out in the Conclusions and Recommendations section, have been adjusted as a result. The overall project performance is validated at the 'Satisfactory' level.

## RESUMEN EJECUTIVO

### *Introducción*

12. Este documento presenta el informe del Examen Terminal (TR) del proyecto de ONU Medio Ambiente (UNEP)/Fondo para el Medio Ambiente Mundial (GEF) "Protección de la biodiversidad y los múltiples servicios ecosistémicos en corredores biológicos de montaña en Chile" (en adelante denominado "GEF Montaña" o "el Proyecto"). La revisión fue ejecutada durante noviembre y diciembre de 2022, por un consultor de revisión, Robert Hofstede. El TR se llevó a cabo al finalizar la operación del Proyecto para evaluar su desempeño (en términos de relevancia, efectividad y eficiencia) y determinar los resultados e impactos (reales y potenciales) derivados del Proyecto, incluida su sostenibilidad. El TR tenía dos propósitos principales: (i) proporcionar evidencia de resultados para cumplir con los requisitos de rendición de cuentas, y (ii) promover la mejora operacional, el aprendizaje y el intercambio de conocimientos a través de resultados y lecciones aprendidas entre la Oficina Regional del UNEP para América Latina y el Caribe (ROLAC) y el Ministerio de Medio Ambiente de Chile (MMA). El público destinatario de los resultados de este examen es el personal del UNEP relacionado con los proyectos del GEF, las oficinas regionales y la oficina de evaluación. Entre las partes interesadas del Proyecto se encontraban los ministerios participantes, las instituciones gubernamentales y los municipios en los sitios de intervención del Proyecto, otros socios del Proyecto (academia, ONG) y beneficiarios (propietarios individuales de tierras y bosques, organizaciones de la sociedad civil).

13. El objetivo del Proyecto GEF Montaña fue consolidar iniciativas público-privadas para conservar la biodiversidad de importancia mundial y los múltiples servicios ecosistémicos en las zonas montañosas del ecosistema mediterráneo de Chile en la Región Metropolitana. El Proyecto se ejecutó a través de tres componentes, cada uno de los cuales con sus resultados y productos previstos: (1) desarrollo de la capacidad de gobernanza ambiental local y gestión del conocimiento sobre conservación de la diversidad biológica y uso sostenible de la tierra; (2) implementación y promoción de mejores prácticas para la gestión sostenible de paisajes para la conservación de la biodiversidad y los servicios ecosistémicos; (3) aplicación a escala piloto de Distritos de Conservación Integrada para Suelos, Bosques y Aguas. El Proyecto se implementó entre junio de 2016 y diciembre de 2022. El Ministerio del Medio Ambiente (MMA) de Chile fue la Agencia Ejecutora (EA) para el Proyecto y estableció una Unidad de Gestión de Proyecto (PMU). Durante la ejecución del Proyecto, varios organismos gubernamentales nacionales participaron en las actividades y los organismos municipales fueron un importante participante y beneficiario del Proyecto.

### *Principales hallazgos*

14. La revisión observó una gran pertinencia del Proyecto para las prioridades locales, nacionales e internacionales. Varios aspectos del enfoque del Proyecto son innovadores para varios niveles del gobierno y la sociedad chilena, como el enfoque en los ecosistemas de la región mediterránea, su conectividad a través de corredores, la incorporación de la biodiversidad en el uso productivo de la tierra y el apoyo a la gestión ambiental a nivel municipal. El Proyecto estaba bien alineado con las políticas y planes del GEF, UNEP y los organismos públicos nacionales. El Proyecto trató de complementar y colaborar con diferentes iniciativas anteriores y existentes de los asociados del Proyecto, lo que tuvo éxito en algunos casos, en particular a nivel de los proyectos del GEF ejecutados por la MMA. El Proyecto fue bien diseñado con una buena lógica vertical y horizontal, la inclusión de las partes interesadas y la consideración de los impactos sociales y ambientales para los beneficiarios del Proyecto. Los indicadores sólo se presentaron a nivel de productos, que se agregaron a nivel de resultados y objetivos. Debido a que el Proyecto cubrió una década completa entre su desarrollo PIF y su finalización, incluyó cuatro ciclos administrativos que afectaron la colaboración con otras agencias tanto positiva como negativamente.

15. El Proyecto es considerado efectivo: logró la gran mayoría de sus productos planificados, tanto en cantidad como en calidad. La mayoría de los productos, en todos los componentes del Proyecto, se obtuvieron según lo previsto o incluso superaron el valor objetivo del indicador. Para tres productos, el revisor hizo observaciones porque se considera que se generan de manera diferente a la prevista. El Proyecto contribuyó significativamente al establecimiento de varios departamentos ambientales municipales, fortaleció las capacidades de todos los municipios y mejoró la toma de decisiones, sobre la base de información actualizada sobre diversidad biológica y servicios ecosistémicos, capacitación

adecuada y apoyo directo a proyectos piloto (Resultado 1). Ejemplos positivos de buenas prácticas para la gestión sostenible de los paisajes se implementaron con éxito y se comunicaron bien, aunque la mayoría se mantuvo en el nivel piloto y aún no se ha ampliado ni cuenta con el apoyo de instrumentos financieros. Se desarrolló con éxito un sistema de monitoreo de la biodiversidad para apoyar la gestión ambiental local y se conectó al Sistema de Información y Monitoreo de la biodiversidad (SIMBIO) a nivel nacional (Resultado 2). Se estableció un Distrito de Conservación apoyado por agencias gubernamentales en San José de Maipo (Resultado 3). Se garantiza la consolidación de varias iniciativas a nivel local y a escala piloto y, con ello, es probable que se genere impacto. La participación de los interesados en la generación de productos, resultados y efectos iniciales fue satisfactoria y eficaz. Los beneficiarios finales participaron directamente en el diseño, la implementación y los beneficios de las buenas prácticas y la gestión forestal

16. En general, el Proyecto fue bien implementado. Fue administrado profesionalmente por un equipo de buen desempeño, con personal comprometido y de alta calidad técnica. La gestión financiera se realizó de acuerdo con la planificación y siguió las normas financieras y operativas de ONU Medio Ambiente. Debido a que UNEP no tiene presencia institucional en Chile, se acordó que el financiamiento se canalizaría a través de agencias independientes de administración de fondos, lo que se consideró transparente y eficiente. El Proyecto tuvo un serio retraso en su implementación, causado por su lenta implementación inicial, disturbios civiles y la pandemia de Covid. Por lo tanto, el Proyecto se extendió por más de un año. En la práctica, esto garantizó la finalización satisfactoria de los productos y la generación de resultados. La prórroga del Proyecto no afectó a la financiación y el Proyecto en general considerado de buen beneficio/costo, en comparación con otros proyectos similares. El plan de monitoreo y evaluación del Proyecto era operacional e informaba adecuadamente la gestión adaptativa del Proyecto y la presentación de informes técnicos. Un aspecto débil era la falta de una estrategia clara, conocimientos especializados, objetivos y supervisión de género. Sin embargo, en la práctica el Proyecto tenía una buena equidad de género e inclusión social y contribuía al empoderamiento de la mujer

17. La sostenibilidad del Proyecto es probable. La base social y política para la conservación e inclusión de la diversidad biológica y los servicios de los ecosistemas: la consideración en la gestión del paisaje ha ido aumentando en el área del Proyecto, lo que constituye una buena base para mantener los resultados del Proyecto y avanzar hacia los impactos. Si bien algunas buenas prácticas son financieramente rentables, otras necesitan mayores incentivos financieros. Hay instituciones públicas y privadas comprometidas a proporcionar apoyo técnico y monitoreo continuo, pero se necesita continuidad de financiamiento, particularmente para las agencias municipales con pocos miembros del personal o para el trabajo de las ONG y la academia. La sostenibilidad institucional a nivel municipal se ha fortalecido y constituye un entorno propicio positivo para el sustento de los resultados.

18. En general, la participación de las partes interesadas a nivel local fue alta, contribuyó en gran medida a los buenos resultados del Proyecto y al impacto temprano. El papel clave de la participación municipal en la implementación del Proyecto es el motor de la impulsión del país. La participación de los gobiernos locales y otros asociados en la ejecución, como las ONG, los proveedores de servicios y el mundo académico, se fortaleció durante la ejecución, lo que se evidenció en la entrega progresiva de cartas de compromiso. La participación de los organismos gubernamentales en el nivel superior (regiones y nación) fue subóptima. La menor participación de las agencias gubernamentales nacionales se debió a la falta de coordinación a nivel institucional en la ejecución y gobernanza de proyectos y debido a la responsabilidad dispersa de la gestión de la biodiversidad entre las instituciones chilenas. Además, la limitada capacidad de implementación de proyectos de la MMA: sin la esperada Ley de Servicio de Biodiversidad y Áreas Protegidas instalada, MMA no tiene servicio ejecutivo. Por último, los cambios en la administración gubernamental afectaron a la propiedad de los organismos nacionales.

#### *Principales conclusiones*

19. El revisor concluye que el rendimiento general del Proyecto se califica como "Satisfactorio". A pesar de algunas debilidades, el Proyecto fue conceptual y estratégicamente bien diseñado. El enfoque (integración de la diversidad biológica en la gestión ambiental local, basada en la identificación y el seguimiento de la diversidad biológica y los servicios de los ecosistemas) fue innovador y garantizó una buena participación y apropiación de los interesados locales. La buena calidad y el elevado número de

productos constituyeron la base para un logro satisfactorio de resultados, que condujeron a un impacto positivo inicial en la conservación de la diversidad biológica, la mejora de la gestión del suelo y la generación de servicios ambientales. Si bien esto todavía se encuentra a nivel piloto / local, existe un entorno propicio para la replicación y el escalado. La sostenibilidad de los resultados del Proyecto se califica como "Probable". En general, el equipo del Proyecto logró una participación adecuada de las partes interesadas locales pertinentes en la planificación, toma de decisiones e implementación del Proyecto. La participación y coordinación con los organismos gubernamentales nacionales y regionales fue menor, lo que fue causado por factores en su mayoría fuera del control del Proyecto. La ejecución del Proyecto fue eficiente, aunque hubo retrasos en las actividades debido al contexto externo. Esto condujo a una extensión del Proyecto, que en realidad ayudó a consolidar los resultados del Proyecto. El Proyecto fue bien administrado por un equipo de proyecto altamente profesional, logrando más resultados de los previstos, aunque algunos resultados fueron diferentes de lo esperado.

20. Las principales conclusiones de la revisión son:

- A pesar de algunas deficiencias menores, el Proyecto GEF Montaña estaba bien diseñado y los interesados pertinentes participaban activamente en el proceso de diseño.
- El Proyecto generó satisfactoriamente un gran número de productos diversos, en un grado superior al previsto. Algunos de los productos se generaron de manera diferente según lo previsto, lo que fue resultado de una gestión adaptativa adecuada.
- El Proyecto generó efectivamente los resultados esperados: logró mejorar la gestión ambiental local en un gran número de municipios de la región mediterránea de Chile, establecer un sistema de monitoreo de la biodiversidad a nivel regional conectado a la gestión ambiental local, implementar de manera efectiva proyectos piloto para la producción agrícola sostenible, manejo sostenible de tierras y bosques, restauración y conservación, y establecer un Distrito de Conservación en San José de Maipo.
- El Proyecto generó impactos positivos a nivel local en términos de conservación de la biodiversidad y servicios ecosistémicos. Si bien no forma parte de sus objetivos, el Proyecto tuvo un impacto concreto en la mitigación y adaptación al cambio climático.
- El Proyecto se gestionó de manera eficiente con un buen uso del tiempo y los recursos financieros. Hubo retrasos en las actividades al inicio del Proyecto y más tarde, debido a los disturbios civiles y la pandemia de Covid. Esto fue absorbido por el Proyecto a través de una gestión adaptativa adecuada. Se otorgó una extensión del Proyecto de un año que contribuyó al buen desempeño del Proyecto y a la consolidación de los resultados.
- La sostenibilidad es probable: existe un entorno propicio positivo para la consolidación de los resultados del Proyecto y la generación de impactos futuros debido a una mayor conciencia social, instituciones locales comprometidas y una planificación ambiental adecuada de la tierra en la mayor parte del área del Proyecto. Aunque no se garantiza la sostenibilidad financiera, hay suficiente interés y capacidad institucional. Se requiere la aprobación de la Ley del Servicio de Biodiversidad y Áreas Protegidas para eliminar barreras importantes para el impacto a largo plazo y la gestión ambiental efectiva en general.
- El Proyecto logró incluir a los organismos locales asociados y a los beneficiarios de manera efectiva en las actividades del Proyecto, lo que fue clave para generar resultados, crear apropiación y proporcionar sostenibilidad institucional. Aunque la participación de las agencias públicas a nivel nacional y regional ha sido continua durante el Proyecto y se han implementado importantes actividades conjuntas, su compromiso ha sido un desafío para el Proyecto.

### Tabla de calificación resumida

<b>Criterio</b>	<b>Clasificación</b>
A. Relevancia estratégica	Altamente satisfactorio
B. Calidad del diseño del Proyecto	Satisfactorio
C. Naturaleza del contexto externo	Moderadamente favorable
D. Efectividad	Satisfactorio
E. Gestión financiera	Satisfactorio
F. Eficiencia	Satisfactorio
G. Monitoreo e informes	Satisfactorio
H. Sostenibilidad	Probable
I. Factores que afectan el desempeño	Moderadamente satisfactorio
<b>Calificación general del Proyecto</b>	<b>Satisfactorio</b>

### Principales lecciones

21. Al observar las experiencias, buenas prácticas y éxitos del Proyecto que podrían reproducirse en contextos similares, el revisor identificó las siguientes lecciones:

- Incluir indicadores de resultados sociales es clave para monitorear e informar sobre todos los beneficios e impactos de un proyecto de gestión ambiental.
- Sin una aplicación clara de un enfoque de género, se pierden oportunidades para planificar y supervisar estratégicamente la participación y el empoderamiento de las mujeres, los jóvenes y los grupos desfavorecidos. Al mismo tiempo, esto no significa que no se pueda generar un cambio positivo.
- La participación óptima de las partes interesadas en la investigación, el buen desarrollo de capacidades y la aplicación inmediata fueron clave para generar sistemas de investigación de campo y monitoreo de calidad académica, aplicados a la gestión ambiental local. Además, el apoyo dirigido y la colaboración con el personal municipal mejoraron el impacto y la sostenibilidad
- Tener una ONG como agencia de administración de fondos con una misión similar al Proyecto genera valor agregado para el Proyecto.

### Principales recomendaciones

22. Sobre la base de los resultados y conclusiones de la revisión, el revisor desarrolló una serie de recomendaciones para actividades futuras o prácticas recomendadas para aumentar la sostenibilidad de los resultados del Proyecto, la probabilidad de lograr el impacto o la réplica a otras escalas geográficas o temporales.

- *Para MMA:* La EA tiene un papel crucial para proporcionar sostenibilidad institucional. Considerando que el Proyecto identificó muchas necesidades y desarrolló varias actividades para la sostenibilidad de los resultados, pero que no existe un plan de sostenibilidad consensuado, existe el riesgo de falta de continuidad. Por lo tanto, MMA debe desarrollar un plan de sostenibilidad a través de reuniones con los principales socios del Proyecto para acordar las tareas de cada uno de los socios para mantener las actividades donde sea necesario, apoyar la consolidación de los resultados y las actividades para escalar para lograr impacto.
- *Para MMA:* GEF Montaña claramente generó importantes resultados ambientales, pero también muchos resultados sociales (generación de ingresos, mejores medios de vida, empoderamiento de las mujeres y los jóvenes). Sin embargo, el Proyecto no ha demostrado cómo ha generado estos beneficios sociales. Reconociendo que los beneficios sociales, los derechos humanos y la equidad



son requisitos bien conocidos para la consolidación y una mayor aceptación de los beneficios ambientales, se recomienda que la MMA identifique y comunique claramente los resultados sociales generados. Además, el plan de sostenibilidad mencionado anteriormente debe resaltar cómo se lograrán los beneficios sociales en el futuro, a través de las iniciativas en curso o nuevas.

- *Para MMA:* Dada la riqueza de publicaciones, productos de comunicación, videos, resultados de Proyectos, etc. disponibles en el sitio web del Proyecto, y el alto número de visitas a este sitio web, MMA debe garantizar su disponibilidad y mantenimiento continuos. Eventualmente podría convertirse en un portal ambiental más general (no directamente relacionado con el Proyecto) para la región mediterránea.
- *Para el PNUMA:* Algunos logros y perspectivas del Proyecto son de importancia regional y mundial y contribuyen a los logros esperados de ONU Medio Ambiente. Esto incluye la integración de la biodiversidad en diferentes sectores (productivos), el establecimiento de un distrito de conservación, la práctica de la OFS en bosques esclerófilos y el sistema de monitoreo de la biodiversidad, conectado a los planes de manejo ambiental.

## I. INTRODUCTION

23. This document presents the report of the Terminal Review (TR) of the UN Environment (UNEP)/Global Environmental Facility (GEF) project "Protecting Biodiversity and Multiple Ecosystem Services in Biological Mountain Corridors in Chile" (hereafter called "GEF Montaña" or "the Project"). The review covered implementation during the entire project execution period (from June 2016 to December 2022) and covered all activities of the Project. The total project budget, as presented in the project document (Prodoc), was USD 32,915,101 (incl- PPG stage) of which GEF contributed USD 5,812,701 (17.6%). The planned co-financing was USD26,952,400, of which USD 2,572,727 was expected to be in cash (7.9%).

24. The GEF designated UN Environment (UNEP) as the Implementing Agency (IA) for this Project following requests by the Government of Chile, through its national environmental authority (Ministry of Environment, MMA; for its Spanish abbreviation). The latter was the Executing Agency (EA) for the Project and established a Project Management Unit (PMU), supervised by a high-level staff member as Project Director. The Project was approved by GEF on 5 May 2015 and formally started 28 June 2016, when UNEP and MMA signed their cooperation agreement. It was accepted as a multi focal area-project by GEF, contributing to strategic objectives in biodiversity, land degradation and sustainable forest management (SFM).

25. In line with the UNEP Evaluation Policy<sup>4</sup> and the UNEP Programme Manual<sup>5</sup>, this Terminal Review (TR) was undertaken at operational completion of the Project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the Project, including their sustainability. The TR had two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP's Regional Office for Latin America and the Caribbean (ROLAC) and Ministry of Environment of Chile (MMA). Therefore, the Review identified lessons of operational relevance for future project formulation and implementation. In 2020, the Project received a Mid-Term Review (MTR). The present TR refers to this MTR in several instances, particularly to assess if the performance significantly changed and if and how recommendations were implemented.

26. A key aim of the TR is to encourage reflection and learning by UNEP staff and key project stakeholders. Therefore, the target audience for the results of this review are UNEP staff related to GEF projects, regional offices and the evaluation office. Among project stakeholders were the participating ministries and government institutions and municipalities in the project intervention sites. Others included project partners (Non-Governmental organization - NGO, research partners, service providers) and beneficiaries (agricultural producers in the intervention areas, private sector). Most recommendations to ensure the sustainability of project results and progress towards long term impacts target the responsible governmental agencies at different levels, as well as local beneficiaries. Finally, the executing agency and other partners in the implementation will benefit from the results of this review for their future initiatives.

27. The review was executed during November and December 2022, by an external review consultant, Robert Hofstede (hereafter referred to as "the reviewer"). In November, an inception report was developed, containing a thorough review of the project context and its project design quality, the review framework and a tentative review schedule<sup>6</sup>. During inception, initial conversations with the MMA Project Management Team and the UNEP Task Manager took place to plan for the data gathering of the review. Fieldwork for data-gathering was undertaken from 6 to 16 December 2022 in Chile, plus additional (online) interviews between 19 and 22 December.

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<sup>4</sup> <https://www.unenvironment.org/about-un-environment/evaluation-office/policies-and-strategies>

<sup>5</sup> <https://wecollaborate.unep.org>

<sup>6</sup> Inception report available at UN Environment Evaluation Office

## II. REVIEW METHODS

28. The methodology that was applied to this TR consisted of a combination of methods and tools to collect qualitative and quantitative data necessary to answer the review questions in an objective manner, based on evidence. The TR included seven phases: inception, document review, stakeholder interviews, field visits, information processing, elaboration of findings, conclusions and recommendations, and report elaboration.

- *Inception stage.* During inception, the review consultant focused on familiarizing with the project, planning the review process and developing the exact review questions and the present report. Therefore, he made an initial review of the project design documents, the MTR report and Project Implementation Review (PIR). Initial conversations were held with the PMU and executing and implementing agencies (MMA and UNEP) about the scope and logistics of the review. An inception report was presented before the field mission
- *Review of Documents.* The review consultant undertook a thorough review of the available documentation. The PMU provided all project-related documents and the review consultant complemented this with third-party documents. The various types of documents provided information for different review criteria and questions. The review framework (Annex 1) showed what type of documentation was used to explore which question. The full list of documents consulted is included in Annex 2.
- *Stakeholder Interviews.* The reviewer made a series of semi-structured interviews with a representative number of stakeholders. During inception, the EA delivered a list of 26 stakeholders. This list was revised and complemented in agreement with the PMU and EA and based on this, a final list was made aimed at establishing a complete list of key informants (project managers, IA, steering committee members, focal points in public agencies, local champions and beneficiaries) and a representation of all stakeholders. The reviewer continued to identify interviewees through implementation of the review. In addition, during the planned field observations, additional direct beneficiaries were contacted.

In total, 49 people were interviewed (20 women), in 28 interviews (with 1 or 2 persons) and 2 group conversations (three persons or more). These consisted of one representative from IA, 12 from national government agencies, 14 from municipalities, 11 beneficiaries<sup>7</sup>, 8 members of the project management team (PMU), and four other stakeholders (fund administration agencies, consultant for MTR and a former MMA director; see Annex 3 for full list). Interviews were semi-structured, following a protocol (Annex 4). Although interviews and group conversations were not accompanied by representatives from the IA or PMU, during the entire review process, contact with the PMU was maintained to validate some specific information obtained, or to adjust review sub-questions or the interviewed population in order to triangulate and verify information.

- *Field Observations.* Several project progress and performance indicators were validated through visits to the intervention areas of the Project, with direct observations and conversations with the local beneficiaries. Because of logistical restrictions, the reviewer could not visit all sites but in agreement with the IA and PMU decided to visit a series of sites in five municipalities where project activities were taking place. This selection was based on three criteria: the environmental, social and institutional context, the number of implemented activities and the availability of examples of both positive and negative performance indicators. During the field missions, the reviewer focused on obtaining direct information on the result indicators. Apart from direct evidence, the perceptions of local decision makers and beneficiaries were assessed in conversations. Regarding the sites that were not visited, the reviewer made additional online interviews with local stakeholders (municipality staff) to validate the general narrative of these

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<sup>7</sup> Beneficiaries not pertaining to a national or local government agencies that are also part of the project beneficiaries.

sites. In the detailed overview of the review mission (Annex 5) the specific field sites that were visited are presented.

- *Processing and Validation of Data.* Once the data was gathered from the document review, and stakeholder interviews and field visits were completed, this information was organized according to the criteria and review questions. Information that supported indicators was compared with the project reporting on these indicators, to validate the reported information. In the cases where the data from certain interviews demonstrated a trend of coincidence and complementarity, this was used directly to support findings. In the cases where this did not coincide, information was validated through a process of corroboration (with the PMU and partner agencies) or triangulation (with additional informants).
- *Elaboration of Findings, Conclusions and Recommendations.* Based on the data compiled during the information gathering phases and its processing, the reviewer identified preliminary findings. Each finding was a partial answer to the review questions and is strictly evidence-based (data found during information gathering). On December 21, initial findings were presented to IA and PMU. Based on the feedback received, the reviewer refined the final findings and the conclusions of the review. The conclusions support the rating of review criteria according to the scale<sup>8</sup> mentioned in the Terms of Reference (ToR). As final elements of the review, and referring to findings and conclusions, the reviewer identified a series of lessons and recommendations. The lessons learned during the execution of the Project are good (or not-so-good) practices in the design, implementation, governance or in the context of the Project that are worth being considered in future similar projects. The recommendations are directed towards agencies of implementation and execution and refer to the immediate corrective actions, future activities or recommended practices to increase the sustainability of the project outcomes, the probability of achieving the impact or replication in another geographical area or at an increased scale.
- *Report Development and Revision.* In line with the ToR for this review, the reviewer submitted a draft report to the UNEP task manager, who reviewed it and shared the cleared draft report with the Project Manager and Task Manager, for them to identify any factual errors or substantive omissions. Comments were shared with the reviewer for his response and a subsequent draft shared with all those who had been interviewed for any further comments and/or corrections of facts.

29. The reviewer developed a review framework for this TR, presented in a matrix of detailed review questions, indicators and sources of verification (Annex 1). In general, the review questions were distilled from the ToR for this review, from the example questions managed by UNEP<sup>9</sup> and arranged around the review criteria. During the inception stage, review questions from the ToR and UN Environment examples were adapted to the specific context of the Project. Where possible, indicators from the Project's results framework were included and where these were not available, the review consultant proposed new indicators. Review indicators have been analyzed using the Project's own reporting mechanism (Project Implementation Review; PIR) and have been validated through a careful revision of both documents and products and through the stakeholder interviews.

30. There have been few limitations to the implementation of this review. The IA and PMU have been collaborative and transparent in terms of providing the reviewer with all required information and all stakeholders have been open to be interviewed. Three (minor) limitations were identified. Due to time constraints, the review consultant could not visit all implementation sites so there was less detail of gathered information (direct observations and number of interviewed stakeholders) in some municipalities than in others. This was mitigated by making several additional calls to stakeholders from the sites that were not visited. Also, the review was executed after project closure. While this is positive from a review-technical point of view (providing a truly ex-post review), it did present some logistical challenges for

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<sup>8</sup> <https://wedocs.unep.org/bitstream/id/c6598799-b95b-4c0a-aae5-74b603e0a22c/2EvaluationCriteria17.04.18.doc>

<sup>9</sup> <https://wedocs.UN Environment.org/bitstream/handle/20.500.11822/27348/20PossibleEvaluationQuestions.pdf?sequence=1&isAllowed=y>

instance with the contracting of the reviewer, organizing logistics in the field and contacting (past) staff. This was mitigated by a senior PMU member who was made fully available to assist during the review visit. Finally, during project implementation, Chilean national and local administration changed several times and therefore, several agency staff had changed. This was mitigated by interviewing where possible, both previous and incoming agency staff. The review consultant judges that the limitations did not affect the reliability and usefulness of the review: in general, a sufficiently representative sample of project partners was consulted and the gathered information was sufficient to develop robust findings.

### **III. PROJECT DESCRIPTION**

#### *A. PROJECT CONTEXT*

31. Chile is one of the few places in the world with a Mediterranean climate; areas recognized not only for their high levels of richness and endemism in plant and animal species, but also for being regions with high risk of extinction. The Mediterranean ecosystems are expected to suffer the highest proportional change in biodiversity by the year 2100 because of its high level of sensitivity to changes in land use and its vulnerability to the impacts of climate change. The Chilean Mediterranean eco-region is located in the heart of the country's Central Zone, and the area covered by this Project includes the Metropolitan Region and part of the Valparaíso Region. The eco-region has a total surface area of 1.2 million (M) hectares (ha), including mountainous areas (the Andean foothills and the Coastal Mountain Range), ravines, and Central Valley lowlands that includes the wetlands and the Maipo River basin. The region's soils and forests play an important role in terms of generating other key ecosystem services such as habitats for biodiversity, regulation of hydraulic balance, flood and erosion control, filtering in organic and inorganic substance processes, air quality and recreational landscapes, among others. All the ecosystems in both Regions fall into the conservation category of Endangered (EN) according to the Geobiota analysis (2012).

32. According to the Project Document (Prodoc), the threats and environmental degradation factors in the Chilean Mediterranean Eco-Region are mostly a result of human activities, which play a key role in the advancing deterioration of the ecosystem functions and habitats and consequently, affect the recovery capacity of the forests and biodiversity. The main factor is habitat loss and fragmentation, caused by agricultural and urban expansion and forest fires. The Mediterranean region of Chile covers the national Capital (Santiago) and the most densely populated area of the country. While even in the Metropolitan Region, only 7% of the area is urban, the encroachment of industry, road and energy infrastructure, and particularly amenity urbanization (recreation homes) directly affect the natural areas. At the same time, agricultural activities continue to stress the natural ecosystems. Overgrazing, a non-sustainable practice of livestock production, which involves high densities of livestock and grazing on fragile soils, leads to the conversion of native forest into pastures and matorrals, accelerating the processes of soil degradation and desertification. Also, there is an increasing demand of export fruit (avocados). Other threats are increases in forest fires, related to recent extreme dry spells, probably related to climate change. The increase in invasive species (dogs, cats, rabbits and hare); deforestation of native species, extraction of forest soil, and the scarce legal protection given to the ecosystem.

33. The root causes of biodiversity loss, deforestation and land degradation in the Mediterranean region are the persistent unsustainable use of natural resources and human pressure on endangered Mediterranean habitat. This derives from the fact that Chile's economy is greatly dependent on exploiting natural resources, the most important productive activities in both Regions being mining, agriculture and livestock. Exploiting natural resources is a response to macroeconomic factors such as population growth and the increase in land values; the high profit levels of productive activities; as well as the national and regional policies, which promote the establishment of mining and hydroelectric infrastructure, among others. The increase in population leads to urban expansion and its effects on consumption models, increasing human pressure on natural resources, either for domestic consumption or for production. Other causes have to do with the climate, changes in precipitation and temperature patterns, which, because of the characteristics of Mediterranean biodiversity - of limited distribution but extended over different altitudes and latitudes within the country - must be taken into account.

34. According to the Prodoc, the main barriers impeding the conservation of critical Andean ecosystems, hence of biodiversity and carbon stocks, are:

- Insufficient territorial environmental information available for assisting decision-making and land use planning
- Minimal local concern for the importance of conserving biodiversity
- At the local level, political and institutional factors which cause local governance problems toward effective management and conservation of biodiversity and the forests, such as the limited availability of technical, financial and human resources
- Deficient legal protection for the ecosystem, mainly due to the fact that most land is privately owned
- Poor coordination between municipalities, other stakeholders and the private sector
- Lack of coherence among cross-sectoral policies that undermine the conservation of ecosystems and critical environmental services.

35. There is a growing political commitment and associated core investments being made by in Chile, related to biodiversity protection and ecosystem conservation:

- According to Chile's Constitution, it is the State's duty to protect and preserve nature. These principles are established in Law 19,300, the General Environment Base Law of 1994, which was modified by Law 20,417 (2010), that establishes the MMA, whose mandate is to design and apply environment policies and programs. The general objective of the MMA's National Biodiversity Strategy (NBDS) is to conserve Chile's biodiversity, promoting its sustainable management; as well as guaranteeing conservation and restoration of habitats and ecosystems, maintaining viable flora and fauna populations, and promoting sustainable productive practices, among others. In addition to the NBDS, Chile also drew up Regional Biodiversity Strategies (RBDS) for each of its Regions.
- Within the framework of the UNCCD, Chile established a National Action Program to Combat Desertification and Drought (PANCD 1997), and the National Consultative Committee on Combating Desertification and Drought, the National Forestry Corporation (CONAF) being the coordinating entity and headquarters. The MMA defined the National Strategy for Climate Change (2006), identifying objectives for adaptation, mitigation, and establishing and promoting institutional capacities regarding climate change. Additionally, it set up the National Climate Change Action Plan 2008 – 2012, which establishes lines of action in the realm of adaptation, mitigation, and establishing and promoting institutional capacities regarding climate change. The Metropolitan Region has available a Regional Plan for Adapting to Climate Change (2012). In 2013, the MMA established the Action Plan for Biodiversity Protection and Conservation, in a Context of Adaptation to Climate Change. This plan proposes transversal strategic initiatives for Chile, and strategic initiatives for concrete conservation targets.
- The Agriculture Ministry, through the CONAF, establishes the National Strategy for Forests and Climate Change and the Platform for Generation and Sale of Carbon Units for Chile's Forestry Sector (2012). This platform will make it possible for owners of forests and lands susceptible to forestry planting to utilize Agriculture Ministry incentive instruments to complement their income.
- The National Council for Clean Production, an entity under the Ministry of the Economy, through its Clean Production Agenda defines strategic actions establishing clean production, and reduced energy and water consumption through clean production programs, including Clean Production Agreements (CPA).
- The Regional Government has established the "Metropolitan Regional Development Strategy for 2012 – 2021", a regional planning framework document which proposes in one of its strategy lines (Sustainable and Clean Region), to lead in the implementation of a system of regional biodiversity corridors in the Metropolitan Region.

## B. PROJECT OBJECTIVES AND COMPONENTS

36. The Project Objective is to consolidate public-private initiatives to conserve globally significant biodiversity and multiple ecosystem services in the mountain areas of Chile's Mediterranean Ecosystem in the Metropolitan Region. The Project was implemented through three components, each of which with its expected outcome and outputs (Table 1).

**Table 1.** Project components, outcomes and outputs

<b>Component</b>	<b>Expected outcomes</b>	<b>Outputs</b>
Component 1. Local environmental governance capacity development and knowledge management on biodiversity conservation and sustainable land use.	Outcome 1: Municipal environmental departments apply updated information on the biodiversity components and ecosystem services at a local scale for decision making in land use planning	Output 1.1: Local scale land use plans developed and linked to GIS system of the project area. Output 1.2. Local-scale assessments on the biodiversity components and ecosystem services of the project area Output 1.3: Carrying out a pilot project to enhance personnel capacities in the environmental departments of 36 municipalities Output 1.4: Coordination mechanisms set in place for municipalities in the mountain areas Output 1.5: Strategy for strengthening and promoting LEM schemes for management and conservation of soils, forests, biodiversity and its ecosystem services, on the municipal level
Component 2. Implementation and promotion of best practices for the sustainable management of landscapes for biodiversity and ecosystem services conservation.	Outcome 2: The scenario for conservation of biodiversity and key ecosystem services is improved in biological corridors by means of the implementation of best practices for the sustainable management of landscapes and financial incentive mechanisms, emphasizing SLM/SFM and the need to combat desertification	Output 2.1. Monitoring system for biodiversity conservation and SLM/SFM with private and public stakeholders in the project area. Output 2.2. Strategy for improved dissemination and application of existing financial resources as incentives for biodiversity conservation among private land owners in the project area. Output 2.3. Compliance label for good productive practices in SLM/SFM for the protection of ecosystem services. Output 2.4. Support program to explore market options for best practice compliant products from the Project area Output 2.5. Education program on the need to conserve biodiversity and combat desertification for relevant local stakeholders
Component 3. Pilot-scale application of Integrated Conservation Districts for Soils, Forest and Water legislation.	Outcome 3: Integrated Conservation Districts for soils, forest and water effectively established and implemented in some 500,000 hectares of production/conservation pilot areas	Output 3.1. Declaration of one pilot-scale areas as soil, forests and water conservation districts Output 3.2. Conservation plans and activities for the pilot-scale areas Output 3.3. Dissemination of lessons learned in the implementation of the pilot-scale areas.

37. The Project was developed for the 5th replenishment period of GEF (GEF-5) and there were no GEF core indicators targets defined at CEO endorsement. The following GEF-7 core indicators are identified retrospectively and progress against them was assessed:

- Core indicator 4. Area of landscapes under improved practices (hectares; excluding protected areas). Sub indicators: Component Sub-Indicators:
  - 4.1. Area of landscapes under improved management to benefit biodiversity (qualitative assessment, non-certified).
  - 4.2. Area of landscapes that meet national or international third-party certification and that incorporates biodiversity considerations.
  - 4.3. Area of landscapes under sustainable land management in production systems.
- Core indicator 11. Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment

### C. STAKEHOLDERS

38. The Project Document (ProDoc) of the GEF Montaña project included a clear stakeholder analysis (section 2.5), which provides an overview of different institutions that are related to and would collaborate with the Project. That list is complete, focusing on project execution rather than the impact or benefit of the Project for stakeholders. The present review includes several questions on the participation of stakeholders and benefit of rural communities and farmer families, including gender aspects, and will assess how the Project performed on these aspects.

39. The project stakeholders pertain to the following categories

- *Local communities and producers:* Small-scale forestry-agriculture-livestock producers and tourism; medium and large-scale forestry-agriculture-livestock producers; ski resorts and mining companies; other (non-agricultural) landowners within mountain areas; civil society organizations (CSO) and organized producer communities; women, youth and adolescent groups. These groups would participate in the processes of training in best practices, financial instruments, and in awareness campaigns and be beneficiaries for implementation of pilot projects in best practices.
- *Government agencies (national level):* Environment Ministry (MMA; Natural Resources and Biodiversity Division, Education and Local Environment Management Division, Environmental Economy and Studies Division), Ministry of Agriculture (MINAGRI) Chilean National Forestry Corporation (CONAF; MINAGRI), Council for Clean Production (Ministry of the Economy), Institute of Agricultural Development (INDAP), Under-Secretariat for Regional Development (SUBDERE, Ministry of Public Properties, Chilean National Production Development Corporation (CORFO; Ministry of Economy), Chilean National Tourism Bureau (Ministry of the Economy). MMA is the Ministerial Counterpart in all the Project's stages and participates in the project Steering Committee. MMA and others provide co-financing, support project implementation, promote good practice, support policy development, support to subnational agencies, developing standards and models and supplying information.
- *Governmental Agencies (local Level):* Municipalities within the Project area, provincial governments, local public institutions (San Antonio Municipal Museum of Natural Science and Archeology). These are implementing local environment protection legislations, provide political support, training of personnel, providing information, supporting environmental education, support in coordinating initiatives.
- *National NGOs:* Sendero de Chile, Sustainable Chile Program, Foundation for Overcoming Poverty "Servicio País", Foundation Chile, Forestry Engineers' pro-Native Forest Society, Adapt-Chile. NGOs provide relevant information, cofinancing, support to public agencies (incl training), support professionals for implementing activities provide technical support. Sendero de Chile manages the funds for the Project.



- *International NGOs:* The Nature Conservancy (TNC) Wildlife Conservation Society (WCS) EPIC program (IUCN); providing information technical support.
- *Academic Institutions:* Universidad de Chile (Faculty of Agronomic Sciences, Dept. of Environmental Sciences, Forestry Sciences Faculty, Center for Wildlife Studies), Institute of Ecology and Biodiversity (IEB), Universidad Mayor, Center for Research on Natural Resources (OTERRA, Center for Eco-Toxicological Research (CIE ), Center for Advanced Research in Arid Zones (CEAZA), Pontificia Universidad Católica de Chile (Center for Advanced Research on Ecology and Biodiversity (CASEB), Center for Sustainable Urban Development (CEDEUS) Dept. of Agrarian Economy). These institutions would be providing information, data, technical support and training.

40. The rural population in the project intervention areas form the main beneficiary group of the project and the public agencies (national and subnational) the main project partners. According to the MTR, the spaces for participation of the different stakeholder groups were valued as satisfactory. There was nevertheless space for improvement of the inclusion of project partners and other interested parties in strategic and operational decision-making.

41. The present TR recognized the different groups of stakeholders and placed specific attention on (a) the benefits received by the main target groups (b) the level of participation by the different agencies associated with countries and intervention zone's environment and development and (c) the communication between the project, its stakeholders (participating in implementation) and beneficiaries.

#### *D. PROJECT IMPLEMENTATION STRUCTURE AND PARTNERS<sup>10</sup>*

42. Following requests by the Government of Chile, through their respective national environmental authorities, the IA for the project was the United Nations Environment Programme (UN Environment; UNEP). In this capacity, UNEP had overall responsibility for the implementation of the project, project oversight, and co-ordination with other GEF projects. During the entire implementation of the project, the person with the position as regional focal point for GEF biodiversity and land degradation for Latin America was the project Task Manager at UNEP and he represented the organization in the project's Steering Committee.

43. The Ministry of Environment (MMA) of Chile was Executing Agency (EA) for the project and established a Project Management Unit (PMU), supervised by a high-level staff member as Project Director. The PMU was led by a National Project Coordinator (NPC) in charge of the Project's technical and administrative direction, coordination and operational planning, and coordinating with the executing and implementing agencies. The PMU was further composed of three thematic area coordinators; the Local Environment Management (LEM), Biodiversity (BD), and Sustainable Forest Management (SFM)/Sustainable Land Management (SLM), in charge of executing and monitoring all activities within their technical area. There was also a Communication Manager and supporting professionals.

44. In the implementation of the project, several governmental agencies were involved in activities, particularly agencies of the Ministry of Agriculture (MINAGRI): the Agriculture and Livestock Service (SAG), Institute of Agricultural Development (INDAP) and the Chilean National Forestry Corporation (CONAF), as well as the regional Secretariats (SEREMI) of the Ministries of Agricultural and Environment. Municipal agencies were an important participant and beneficiary of the project.

45. For the execution stage, a project Steering Committee (SC) was established, between MMA and UNEP, who meet once every year. The SC's main functions were to assure compliance with the Project's objectives, carry out tracking of its activities, offer strategic guidance and supervise compliance with the annual work plans. Others were to collaborate in inter-institutional coordination, and guarantee the active participation and compliance with the commitments acquired by the institutions they represent, as well as revising the reports of Project evaluation, monitoring and tracking, at mid-term and at the end of the

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<sup>10</sup> See Appendix 10 of Prodoc for detailed description and graphical representation of project management structure

process. In addition, a technical committee was established, to present and discuss project activities, results and annual plans with a broad group of project partners.

#### E. CHANGES IN DESIGN DURING IMPLEMENTATION

46. There were three major changes in project design during implementation. The final project start was in June 2016, several years after project design took place. Therefore, it started with an inception which adjusted details of implementation model, staff and budget. Because the IA does not have an office in Chile, funds had to be managed by a third organization. According to the Prodoc, this task would be fulfilled by the Agency for International Cooperation. However, after GEF CEO endorsement, Chile asked for another administrative solution and agreed to invite an international NGO, the Consortium for the Sustainable Development of the Andean Eco-Region (CONDESAN), to manage the funds for the project. Later (2018), this position was transferred to the Sendero de Chile Foundation (see ¶184). Another major change was the project implementation extension from June 2021 to June 2022 (with administrative closure in December 2022). Minor changes (methodological approaches, specific activities, small changes between budget lines, forms of collaboration with partners, implementation period) were implemented as part of adaptive management.

#### F. PROJECT FINANCING

**Table 2.** Budget by Outcome (US\$)

Component/Outcome	GEF Budget	Co-financing	Total
1. Local Environmental Management (LEM)	\$2,034,140	\$7,483,235	\$ 9,517,375
2. Sustainable Land and Forest Management (SLM/SFM)	\$2,206,821	\$13,379,174	\$ 15,585,995
3. Conservation District	\$1,146,890	\$ 4,789,995	\$5,936,885
Project Management Cost	\$269,350	\$ 1,300,000	\$ 1,569,350
<b>Total project cost</b>	<b>\$5,657,201</b>	<b>\$26,952,404</b>	<b>\$32,609,605</b>

**Table 3:** Co-financing

Co financing (Type/Source)	UN Environment own Financing (US\$1,000)		Total (US\$1,000)	
	Planned	Actual	Planned	Actual
Grants			2,572	1,156
In-kind support	350		24,380	43,632
Other (*)				
<b>Totals</b>	350		26,952	44,788

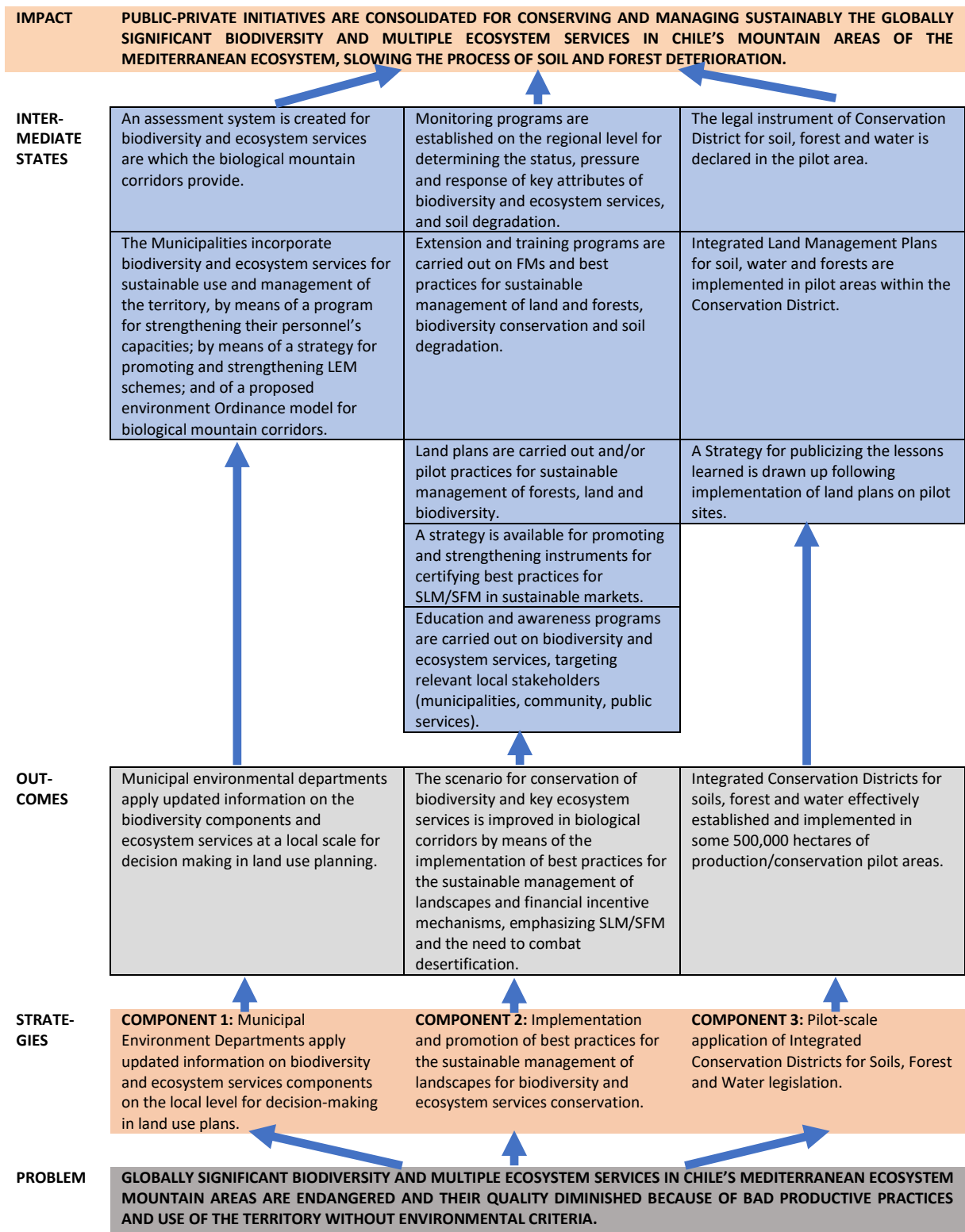
#### IV. THEORY OF CHANGE AT REVIEW

47. The Prodoc did not include a full-fledged Theory of Change (ToC), but presented an Objectives Tree (Appendix 16). This table included elements of a ToC such as strategies (the three project components), outcomes (from the results framework, appendix 4 to the Prodoc), drivers and assumptions (partly from the results framework), Intermediate States (reflecting project outputs) and an impact statement (project objective). During the MTR, a full-fledged ToC underlying the Project was reconstructed in order to enrich the analysis and synthesize the description of the progress of the results and the effects derived from the intervention (section 1.3 of MTR Inception Report). The review consultant notes that the reconstructed ToC shows a logical representation of the project through change pathways and intended impacts.

However, it does not match the elements (outcomes, impact) included in the results framework or the intermediate states, assumptions and drivers presented in the 'Objectives Tree' (Theory of Change) that was included in Appendix 16 of the Prodoc and therefore, has not been useful to review and assess the performance of the Project. For the present review, the elements of the Objective Tree are being used to develop a reconstructed Theory of Change and used for this Review (Figure 1).

48. The drivers and assumptions associated to this reconstructed theory of change are the following:

- The Public Services show a willingness to supply the existing data for evaluation and updating of Project environment components.
- Interest exists for utilizing the monitoring systems proposed by the Project, as well as for contributing pertinent information as feedback.
- The political will exists for declaring the Conservation District legislation, as well as for articulating and enhancing the existing financing mechanisms for implementing recovery practices for soil, water and forests.
- Landowners show support for facilitating access to their lands for the purpose of gathering data and evaluating Project environment components.
- The will exists on the part of the Public Services to discuss, validate and incorporate better techniques in biodiversity conservation and SLM/SFM into the existing financial incentives mechanisms.
- Landowners are motivated for elaborating and implementing Integrated Land Management Plans.
- Mayors from the municipalities involved show the political will to validate, utilize and incorporate management standards for conservation of biodiversity, ecosystem services and environmental territorial planning, in developing municipal ordinances for local environment management, before Project finalization.
- Clear and expedient channels are available for applying for FMs.
- The public services are committed to validate and implement the land plans.
- The MMA authorities show the will to incorporate conservation of biodiversity and ecosystem services into their own LEM instruments.
- The public services and competent institutions commit to supporting extension and implementation of the strengthened instruments.
- Financial mechanisms are implemented in an orderly fashion, making it possible to fulfill the conservation district management plan objectives.
- Mayors from the municipalities involved have the political will to adopt some of the LEM instruments, incorporating biodiversity management into their mandate.
- Local stakeholders are interested in improving their productive systems and implementing best productive practices compatible with project objectives.
- There are experiences of declared conservation district and implemented land management plans from which to draw lessons learned.
- The owners of private landholdings are committed to and are accompanied through the application process for implementing financial mechanisms.
- There is interest on the part of regional and local authorities for implementing the education and awareness programs in biodiversity and ecosystem services proposed by the Project.



## V. REVIEW FINDINGS

49. The findings presented in this section provide a summative analysis of all gathered and triangulated information relevant to the parameters of the review criteria. Review findings are objective and evidence-based and directly relate to the Review Questions (RQ) under each criterion (see review framework; Annex 1).

### A. STRATEGIC RELEVANCE

*Review Question (RQ): Were the objectives and implementation strategies consistent with: i) Regional, Sub-regional and National Environmental Priorities, (ii) UN Environment Medium Term Strategy<sup>11</sup> (MTS) and Programme of Work (POW), and (iii) GEF Strategic Priorities.*

*RQ. Were the objectives and implementation strategies complementary with relevant existing interventions from the project partners and /or other stakeholders?*

**Finding 1: The project approach (landscape-level conservation, decentralized management, sustainability mainstreaming) is a relevant innovation for various levels of government and society.**

**Finding 2: The project objectives and strategies are aligned with policies and plans of GEF, UN Environment and national public agencies**

**Finding 3: The institutional setting of environmental management in Chile is dispersed, which resulted in challenges for aligning the project with initiatives of public agencies. There was not enough inclusion of national public agencies from the project design.**

50. Several aspects of the project approach are innovative for the Chilean context. In the first place, the focus on Chilean biodiversity conservation and forest management has traditionally been placed on the exuberant southern landscapes, such as the Valdivian temperate rainforest and Patagonia. At the same time, the central portion of the country is most threatened and the National Biodiversity Strategy 2017-2030 (*Estrategia Nacional de Biodiversidad*, ENB <sup>12</sup>) identifies a concentration of endangered and critically endangered ecosystems in the Mediterranean region. The same source also considers the sclerophyll, dry deciduous forests and coastal wetlands as the most vulnerable to the effects of climate change. Even though actual expansion of agriculture has halted during the last decades, new threats causing forest degradation and fragmentation originating from urbanization, amenity migration and infrastructure are mostly occurring in the central region with high population density. At the same time, municipal representatives interviewed during this review, confirm that the focus has traditionally been on urban issues even though the largest portion of their territory is rural, covered mostly by natural ecosystems. An indication for this is that normally in the municipalities participating in the Project, the environmental agencies that are in charge of biodiversity conservation are titled "sanitation and decoration". Therefore, the Project focus on Mediterranean ecosystems, its connectivity through corridors and supporting municipal level environmental management, is innovative and timely.

51. The project goals and approach are a response to actual academic and policy-development debates at the time the Project was designed. Back then, the concept of forest landscape restoration was developed broadening existing concepts of ecological restoration and soil conservation to application of combined strategies to restore the ecological functions of the wider landscape and include human livelihoods as part of the concept (e.g. Bonn Challenge, 20x20 Initiative<sup>13</sup>). The Project aimed at providing key information and practical experience to this debate and was therefore highly relevant to the global and

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<sup>11</sup> UN Environment's Medium Term Strategy (MTS) is a document that guides UN Environment's programme planning over a four-year period. It identifies UN Environment's thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes, known as Expected Accomplishments, of the Sub-programmes.

<sup>12</sup> <https://faolex.fao.org/docs/pdf/chi176425.pdf> <https://faolex.fao.org/docs/pdf/chi176425.pdf> <https://faolex.fao.org/docs/pdf/chi176425.pdf>

<sup>13</sup> <http://www.bonnchallenge.org/content/forest-landscape-restoration>; <https://initiative20x20.org/>

regional institutions that supported it (UN Environment, GEF). Mainstreaming biodiversity in different sectoral policies was included in ENB 2017-2030, even though this was not widespread common practice. For instance, given the strong history of plantation forestry, the sustainable forest management (SFM) approach in Chile until recently was mostly focused on plantations and natural forests and only limited operational silviculture was applied to natural forests, even though there was considerable research to support it<sup>14</sup>. Therefore, applying biodiversity principles to silviculture as a strategy for forest restoration and conservation, but also, activities such as improved livestock management and agroecological approaches, are relatively innovative and in line with national policies

52. This TR confirms the findings of the Mid-Term Review (MTR) on the alignment of the Project with policies and plans of GEF, UN Environment and national public agencies. The design of the Project is aligned and relevant for the development of the strategic priorities established in the United Nations cooperation framework in Chile for the periods 2015 – 2018 and 2019 – 2022. At least five of the strategic priorities defined by UNEP for Latin America and the Caribbean are reflected in the design of the Project and its mid-term results have been relevant for its deployment in the country. The Project was developed while UNEP's Medium-Term Strategy (MTS) 2014-2018<sup>15</sup> was under implementation and the concrete contribution to the relevant UNEP Subprogramme's expected accomplishment was well described in Projects' Implementation Review (PIR). During most of project implementation (and at the time of MTR) the MTS for the period 2018-2021<sup>16</sup> was valid. Meanwhile, the MTS for the following period (2022-2025<sup>17</sup>) was accepted. The GEF Montaña project contributes directly to all three outcomes of the "nature action" subprogramme of the current MTS. It also contributes to Outcome 2 of the "climate action" subprogramme, even though the Project was not designed to contribute to the GEF Climate Change focal area (¶180). Finally, the design and actions of the Project are consistent with the priorities of the Chilean State in terms of local environmental management, protection and monitoring of biodiversity and sustainable management of land use. The Project design also considered aspects contained in current legislation and existing public policies, as well as in sectoral and intersectoral plans and strategies.

53. The Project is aligned with and contributes to the objectives and direct effects of the GEF-5 focal areas of biodiversity, land degradation and sustainable forest management. These have all been well included in the formulation of the Project. The Prodoc includes a table showing how the Project planned to generate national and global benefits<sup>18</sup>. This table shows how the indicators from the project results framework correspond to the focal area objectives and outcomes. The MTR rated this alignment both at design and implementation with the focal areas of Biodiversity, Land Degradation and SFM. Alignment of project design with 15 GEF Focal Areas direct effects was rated high; project implementation was rated high for ten outcomes in the three areas, moderate for three (SFM 1.3, LD2.4, LD 3.3) and poor alignment was found with one outcome (LD 1.4: generation of investments for sustainable land management). While the Project was developed for GEF5, because of its slow startup and long implementation period, it was mostly executed in the period of the sixth replenishment period of GEF (GEF6). The Specific Objectives of BD in GEF6 is similarly aligned to the Project; its BD4 (Mainstream biodiversity conservation and sustainable use into production landscapes and seascapes and sectors) is similar to BD2 of GEF5. In the area of LD, alignment was improved in GEF6, because of the focus on agro-ecology and climate smart agriculture (LD1) in the GEF Montaña project, even though it was not in its design. Also, LD2 and LD3 of GEF6 have a stronger landscape focus, aligned with GEF Montaña, although it reduced the focus on dry forest (as in GEF5). Also in the SFM/REDD focal area, the Project was more aligned to GEF6 than to GEF5 because it contributed not only to Outcome SFM 2.1 (similar to Outcome 1.3 in GEF5) but also to Outcome SFM 2.2 (increased contribution of sustained forest ecosystem services to national economies and local

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14 SALAS ET AL, 2016. THE FOREST SECTOR IN CHILE: AN OVERVIEW AND CURRENT CHALLENGES CHRISTIAN SALAS, PABLO J. DONOSO, RODRIGO VARGAS, CESAR A. ARRIAGADA, RODRIGO PEDRAZA, DANIEL P. SOTO. *JOURNAL OF FORESTRY*, VOLUME 114, ISSUE 5, SEPTEMBER 2016, PAGES 562–571, [HTTPS://DOI.ORG/10.5849/JOF.14-062](https://doi.org/10.5849/JOF.14-062)

15 <https://www.unep.org/resources/report/unep-medium-term-strategy-2014-2017>

16 <https://wedocs.unep.org/bitstream/handle/20.500.11822/7621/-UNEPmedium-termstrategy2018-2021-2016MTS2018-2021.pdf?sequence=3&isAllowed=y>

17 <https://wedocs.unep.org/bitstream/handle/20.500.11822/35875/K2100501-e.pdf>

18 Prodoc, Table11, pg 82

livelihoods of both women and men) and Outcome SFM 5.3 (integrated landscape restoration plans to maintain forest ecosystem services are implemented at appropriate scales by government, private sector and local community actors).

54. The Project tried to align with different previous and existing initiatives of project partners. This was successful in some cases, particularly at the level of GEF projects implemented by the MMA, but less so with others (¶190). The reason for the imperfect alignment of the Project with other agencies is the lack of coordination at the institutional level in project execution and governance (¶107, 110) but also because of the dispersed responsibility of biodiversity management among Chilean institutions. While biodiversity conservation is formally the task for the MMA, SAG is responsible for species management and CONAF is responsible for forests and protected areas. This was meant to be better organized with the establishment of the Biodiversity and Protected Areas Service (SBAP, for its Spanish acronym). However, even though the first law that creates this Service was filed in 2011 and approved by different government bodies in the following years, it is still not fully approved, the SBAP is not established and the dispersed responsibilities remain.<sup>19</sup> *"Chile lacks to date an organically established institutional structure in charge of protected areas. We have a dispersion of institutions that oversee matters of biodiversity, so the situation we have today [...] is quite poor"*<sup>20</sup>

***The criterion "Strategic Relevance" is rated as "Highly Satisfactory".***

***1. Alignment to MTS and POW: "Highly Satisfactory"***

***2. Alignment to UN Environment/GEF Strategic priorities: "Highly Satisfactory"***

***3. Relevance to regional, sub-regional and national environmental priorities: "Highly Satisfactory"***

***4. Complementarity with existing interventions: "Moderately Satisfactory"***

## **B. QUALITY OF PROJECT DESIGN**

*RQ: Was the Project well designed? Specifically: Have all stakeholders who are affected by or who could affect (positively or negatively) the Project been identified and explained in the stakeholder analysis? Did the main stakeholders participate in the design stages of the Project and did their involvement influence the project design? Are the economic, social and environmental impacts to the key stakeholders identified, with particular reference to the most vulnerable groups? Have the specific roles and responsibilities of the key stakeholders been documented in relation to project delivery and effectiveness?*

**Finding 4. The Project was well designed with a good vertical and horizontal logic, SMART indicators and M&E plan, inclusion of stakeholders and consideration of environmental impacts for project beneficiaries. The indicators were only presented at the output level, which were aggregated at the outcome and objective levels. Some outputs did fully reflect the activities to generate these.**

55. During the MTR the project design was assessed and rated as highly satisfactory. The vertical logic of the Project's logical framework matrix (the chain of activities - products - results - objectives) is internally coherent and allows to clearly identify the causal relationships between the different hierarchies of effects. The horizontal logic is also coherent: the results indicators and the associated targets comply with SMART criteria (specific, measurable, achievable, relevant, time bound), which facilitate the measurement of the progress towards the achievement of the expected effects in the different stages of the Project. The

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<sup>19</sup> <https://mma.gob.cl/biodiversidad/servicio-de-biodiversidad-y-areas-protegidas/>;

<sup>20</sup> <https://www.paiscircular.cl/biodiversidad/tras-10-anos-de-tramitacion-de-proyecto-de-ley-que-crea-el-sbap-y-pese-a-urgencia-climatica-su-aprobacion-aun-es-incierta/>

project document was accompanied by a clear stated problem and situation analysis, a solid and feasible workplan and budget and clear implementation arrangements. Its stakeholder analysis, risk analysis, and M&E plan are detailed and complete (see Project Document). The design was realistic, efficient and provided enough opportunity for stakeholder involvement. The Results Framework (RF; appendix 4 or Prodoc) is clear and detailed. The reviewer for this terminal review noted that indicators were only developed for the output level and that there are no specific indicators for the outcome and project objective: the indicators to measure these higher-level results are presented as an aggregate of the output indicators.

56. The MTR found a good level of ownership of the project design elements by the project team. This aspect was reinforced by the inclusion in the project team of persons that had been part of the Project design. At the time of the project's formation, some indicators of component 1 were underestimated which however, at mid-term did not affect project implementation. The project document did not present a full-fledged Theory of Change (not required at the time) but did include a table that can be considered as such, and logically connects strategies to outcomes and impact, considering intermediate states, drivers and assumptions<sup>21</sup>.

57. The reviewer of this terminal review considers that some outputs do not reflect the activities that should generate them. This is the case in output 2.2 that aims at developing a strategy for improved dissemination of financial resources but its activities are training and education and hardly consider financial resources. Also, output 2.5 is an education programme but its activities also include the Project's communication and outreach strategy. Finally, output 2.3 is mentioned in the Prodoc as " Program for Promoting, Strengthening and Implementing Financing Mechanisms (FMs) which Support Biodiversity Conservation and Sustainable Management of Soils and Forests" but in the CEO Endorsement Request and later, in all project reports it is composed as "Compliance label for good productive practices in SLM/SFM for the protection of ecosystem services", which has a very different meaning but the activities for this output remained the same.

58. The Project designed an alternative approach to components of the Project vs. thematic areas covered by the project management unit (PMU). Where in many projects, specific PMU staff is in charge of a single component of the Project, the GEF Montaña PMU included three technical area divisions (local environment management -LEM-, biodiversity -BD- and sustainable management of forests -SFM- and land -SLM-) with a small team, which together delivered the outputs of the three project components, bringing in complementary capacities. This worked out well for the delivery of outputs and the broad adoption of project activities by the PMU members (¶104).

59. The project design is strong on the identification of stakeholders and many different stakeholder groups were engaged during the design phase. The Prodoc includes a detailed and complete mapping of 40 stakeholder (groups), including their interests or synergies with the project and their potential contribution<sup>22</sup> It reported how many persons (disaggregated by gender) participated in design meetings.<sup>23</sup> Major stakeholders, particularly public agencies, have been included during project design in a 'directing board', that met several times during project preparation. According to interviewed persons who were involved in project design, the different agencies were adequately consulted on major issues of project design (project components, outcomes, outputs, intervention strategies and areas) although final decisions were taken by MMA. Even though there was a good involvement of agencies in the design, this was not a guarantee for their involvement in the final implementation model and the foreseen involvement and collaboration of many identified stakeholders at the national and regional level in project execution or implementation did not take place (¶110). There was no direct involvement of final beneficiaries (producers, land owners) in project design, because these were involved in the design of individual activities during execution (¶109).

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<sup>21</sup> ProDoc, Appendix 16

<sup>22</sup> ProDoc, Table 8

<sup>23</sup> ProDoc, Table 12



***The criterion "Quality of project Design" is rated as "Satisfactory"***<sup>24</sup>

**C. NATURE OF EXTERNAL CONTEXT**

*RQ. Did the (political, environmental, social, institutional) context change during project implementation and how did the Project adapt to this?*

- *Strategic Question*<sup>25</sup>. *What changes were made to adapt to the effects of COVID-19 and how might any changes affect the Project's performance?*

**Finding 5. Administration changes in government agencies at all levels constitute an external factor that influenced project implementation. GEF Montaña adapted its management strategically by involving new municipal authorities and enhancing rather than reducing their involvement. National government changes resulted in variable support from national government agencies.**

**Finding 6. Major contextual events were the civil unrest in 2019, almost immediately followed by the COVID-19 pandemic outbreak. These caused major operational challenges for the Project and resulted in activity delays for which a project extension was awarded.**

60. Because the Project covered a time span of a full decade between its PIF development and its finalization, it included four administrative cycles. During project implementation, the national government changed three times from a liberal-conservative to a socialist administration and back. These changes and the associated leadership in the key partner agencies influenced Chile's environmental policy and the strategy of the key agencies. Even though the MMA authorities (including directors of technical divisions) changed, the senior PMU members remained constant throughout the project and these maintained a positive interaction with the subsequent decision makers in staff. Therefore, and even though according to PMU members there may have been differences in the approach to the project strategies (e.g. the support to private land owners or productive activities in nature reserves), these strategies continued as planned. Government changes did affect collaboration with other agencies both positively and negatively as explained in the 2022 PIR: *"The highest authority of that ministry [Agriculture] in the project area resolved to build national and regional projects and programmes to upscale any GEF Montaña's actions. The new authorities of INDAP have had the same discourse [...]. Unfortunately, the Chilean Agriculture and Livestock Department [...] never made a strong commitment to the execution of the Project [...] its new authorities have not shown a special interest in appropriating its results"*. Discontinuous national policies might have also influenced that the expected SBAP Law is still not approved (¶154). Administrative changes at national government and its agencies were not explicitly included in the Project's risk analysis.

61. Changes has also taken place in administration at the Municipal level. In most cases, this resulted in increasing collaboration. The staff of the five municipalities visited during the review, both technical staff and elected authorities, all mentioned that the collaboration of the Project in a previous administration helped to have the issue of nature conservation on the agenda so new authorities included it in their program and increased their commitment to the Project. To cite one municipality staff: *"With the previous Mayor, we managed to spark interest but he could not do much because plans were fixed. With the new Mayor, we could establish the biodiversity directorate and staff this"*. The interviewed persons considered that the increased commitment after administration changes was positively influenced by the information gathered by the Project, the continuous communication of the PMU with the municipalities and the

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<sup>24</sup> Weighted overall score of 4.52; see Annex C of Inception Report; detailed assessment of Quality of Project Design (available from the evaluation office, UN Environment)

<sup>25</sup> In addition to the criteria in the review matrix (see inception report), the ToR for this Review proposes three strategic questions of interest to UNEP and to which the project is believed to be able to make a substantive contribution. In this review, they are dealt with as subquestions of related review questions

empowerment of municipality technical staff. Therefore, this staff could ensure internal lobbying so the incoming decision makers could build on and expand ongoing work. Changes in local government authorities and personnel was included in the Project's risk analysis and its mitigation measures evidently worked out well.

62. A major contextual change was the limitation caused by the period of social turmoil in 2019 followed by the COVID-19 pandemic outbreak. In 2019, the country entered into civil unrest that generated a political and institutional instability, causing a paralysis of all the Project's field and management activities. Therefore, between October 2019 and February of 2020 the Project needed to adjust the execution of all activities, particularly those that targeted institutional collaboration and development at national level. Almost immediately afterwards (March 2020) the world faced COVID 19, which was followed by confinement and only online activities could continue. This mainly affected the field activities (biodiversity monitoring, pilots, etc.) and collaboration with local municipalities (e.g. municipal officials continued to work but focused on supporting state food delivery and other actions. The Project adjusted to this by installing online communication with its partners and beneficiaries. Therefore, planned activities that did not require field trips have been able to proceed without so much delay (PIR 2020). While the field areas could not be visited, communication with local level partners, including capacity building and planning activities continued. For this, it is an advantage that Chile has one of the highest internet penetration rates in the world (97%<sup>26</sup>), which was used to the advantage of the Project). Finally, the inevitable delays in field activities were compensated with a no-cost extension of 12 month that actually contributed to better consolidated Project results (¶92).

**The rating for the criterion nature of 'external context' was 'Moderately Favorable'.**

#### D. EFFECTIVENESS

##### a. Delivery of Outputs

*RQ. How successful was the Project in producing the programmed outputs, both in quantity and quality, as well as their usefulness and timeliness?*

*RQ. Were key stakeholders appropriately involved in producing the programmed outputs?*

*RQ. What were the main reasons that caused satisfactory or unsatisfactory generation of outputs?*

**Finding 7. The Project achieved the vast majority of its planned products, both in quantity and quality. A few outputs surpassed the target value for their indicator. A few outputs were achieved differently than planned because the activities of the Project were adapted to changes in the context.**

**Finding 8. Key stakeholders at the local level and service providers were appropriately involved in the generation of outputs and this contributed to their good quality.**

63. Most outputs, in all project component, were delivered as planned (six outputs) or even surpassed the indicator target value (four outputs). For the three remaining outputs, the reviewer made observations because they are considered to be generated differently than planned. A detailed overview of the achievement of outputs is presented in Table 4.

64. In Component 1, all outputs were achieved; in three cases the Project surpassed the target value of the output indicator. This was the case in outputs 1.1, 1.3, 1.5, where there was a high level of collaboration with municipalities in planning and training activities. The other two outputs were generated according to originally planned, with good quality as evidenced by the large number of products, such as the biodiversity and ecosystem services inventories for output 1.2 Also, output 1.4 (coordination mechanisms) achieved the target value for the indicator. The reviewer noted that the overall regional level

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<sup>26</sup> <https://www.internetworldstats.com/stats2.htm>

coordination convened by the sub-secretariat for Regional Development - or the Environment Ministry Regional Secretariat (SEREMI) was not optimal: interviewed municipalities recognized that they participated in the coordination mechanism but it was not very effective. On the other hand, interviewed municipality staff highlighted the direct collaboration with neighboring municipalities such as the sharing of experiences and planning of municipal nature reserves (*Reserva Natural Municipal*; RENAMU) in the peri-urban region of Santiago and the wetlands in the coastal municipalities, as well as the collaboration riverside management in the Mapocho basin. With this strongly increased and effective collaboration, the indicator target for this output was achieved.

65. Also, most outputs in component 2 were generated satisfactorily. The system for biodiversity monitoring (output 2.1) was well established and, according to interviewed biodiversity specialists, it is of high quality and covers practically the entire project area. It was developed as a regional-level biodiversity and environmental services monitoring system and during much of the project implementation, had challenges to connect to the national SIMBIO. In the end, the interoperability became a success and the project monitoring system is now presented as the regional module of the national SIMBIO. The measurement and monitoring of water resources was less than planned, due to factors beyond the control of the Project. This was compensated by the inclusion of environmental ordinances in the system.

66. The outputs on financial mechanisms for good environmental practice (2.3 and 2.4) were achieved but differently than planned. According to the project planning, both the training and implementation on practices were to be focused largely on financial mechanisms but in practice, most emphasis was on the practice itself (SFM, SLM, restoration, sustainable agriculture) but less so on financial mechanisms. While this promotion of good practice was done well, it is not clear to what degree financial mechanisms have been promoted (with exception of the Clean Production Agreements, CPA). Part of this difference between planning and achievement might be caused by project design: the change in output formulation or the observation that activities did not reflect these planned outputs (¶157).

67. Output 2.4 (market studies) was generated according to planning even though studies on two products were discontinued but the reviewer considers that it is good practice to discontinue a study rather than insist on an initially identified opportunity which resulted not feasible. For output 2.5 (education and awareness) three education programs were implemented, benefitting staff from 16 municipalities and local community members. This is less than the five programmes planned but that was fully compensated by an effective awareness and communication programme, initiated in 2019 and targeting both the general public and project stakeholders.

68. Output 3.1 (establishment of the Conservation District in San José de Maipo) was achieved even though there was a different legal basis for the conservation district than originally planned (beyond control of the Project). The reviewer confirms that the output 3.2 was generated, but not to the degree planned. The implementation of the conservation district focused mostly on livestock practices on 9000 ha. This experience has been highly successful and was complemented with other project activities (biodiversity inventory and monitoring activities, promotion of tourism and detailed cartography generated). However, this does not yet add up to the indicator target of 200,000 ha of the District with integrated management plan activities implemented, revised and adapted to the District Master Plan. Output 3.3 on extension and dissemination of the conservation district results was done highly effectively and surpassed the indicator target, even though it was only implemented during the final year of the Project.

69. The participation of stakeholders in the generation of outputs was satisfactory and effective. Final beneficiaries were directly involved in the design, implementation and benefits from the good practices such as beekeeping, livestock management and forest management. The planning of the Conservation District in San José de Maipo was done in a series of community workshops<sup>27</sup>. Also, biodiversity monitoring was planned and executing with land owners, such as private reserve owners. Interviewed representatives of municipalities were particularly positive about their participation in and benefits from the Project. Many

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<sup>27</sup> <https://gefmontana.mma.gob.cl/se-realiza-primer-taller-sobre-distrito-de-conservacion-de-suelos-agua-y-bosque>

commended the Project as the first to really support conservation efforts at the local level, generating concrete results: *"our municipality wanted to improve conservation of natural areas but we did not have the institutional structure or personnel capacity but thanks to GEF Montaña's support, the Mayor was convinced to create a biodiversity division and the staff was trained"*, *"This area was a garbage dump - not valued by anyone but thanks to information and training by GEF Montaña, we had the tools to convert it into a municipal nature reserve"*. This all led to a greater than expected degree of success in several outputs. Also, the collaboration of service providers (researchers for the biodiversity and ecosystem assessments, support to productive pilots) was positive and contributed to the quality of products.

70. The participation of government agencies at the higher level (regions and nation) was suboptimal (see also ¶109). In spite of the suboptimal engagement with regional and national stakeholders, several positive results have been achieved as a result of their involvement such as the protocol for the Conservation District, the standard and funding for SFM, and the interoperability of SIMBIO. Also, there was positive collaboration between the Project with CONAF and the ASCC for the support of SFM through CPA in the Valparaíso region, which is now being replicated in other regions. But even there, this collaboration saw many challenges; according to involved persons because *"there was tension between CONAF and MMA and this tension was brought to the negotiation table. They had long discussions on technical aspects which bored the beneficiaries. Finally, by bringing in people from the national level, the relationship was improved"*

**Table 4:** Overview of achievement of outputs and validation by reviewer (**green** = indicator target surpassed; **blue** = indicator target reached; **yellow** = indicator target reached but with comments)

Planned outputs	Indicators and targets	Reported outputs as per Project Final Report <sup>28</sup>	Comments and rating of output by reviewer
<b>Comp. 1, Outcome 1</b>			
1.1. Local scale land use plans developed and linked to GIS system of the project area	5 municipalities with ordinances for regulating land use in wilderness areas and management for conservation of biodiversity, validated and applied	36 municipalities have an Ecological Landscape Planning (ELP). A participatory ecological landscape planning was carried out, and the cartographic results were delivered at the MMA's Geoportal and redirected to download from project web page, bringing access for municipalities consultation and decision making.  A Model Ordinance to protect biodiversity, developed and validated collectively between the MMA, the GEF Montaña project team, and	Indicator target surpassed. The reviewer confirmed the completion of the ELP for all 36 targeted municipalities, which was included in a publication, <sup>29</sup> presented in a web seminar <sup>30</sup> and is included in the MMA geoportal <sup>31</sup> . It is accompanied by a publication for the methodology <sup>32</sup>  The project has supported the MMA to propose the Regional Government a modification and strengthening of the Municipal Organic Law, focused on strengthening of the municipal ordinance, which entered into force in January 2018

<sup>28</sup> As presented in the Project's final report, November 2022

<sup>29</sup> MMA - ONU Medio Ambiente, 2020. Planificación Ecológica a escala local 1:25.000, para todos los municipios pertenecientes al área del proyecto GEF Montaña. Estudio encargado a: Dr. Alexis Vásquez, Dr. Emanuel Giannotti, Dr. Álvaro G. Gutiérrez, Dr. Ezio Costa, Elizabeth Galdámez, Ms. Ignacio Núñez, Camila Muñoz, Aaron Hebel, Macarena Martinic y Héctor Yáñez. Facultad de Arquitectura y Urbanismo, Universidad de Chile. Financiado en el marco del proyecto GEFSEC ID 5135 Ministerio del Medio Ambiente - ONU Medio Ambiente. Santiago, Chile. 187pp

<sup>30</sup> <https://gefmontana.mma.gob.cl/seminario-de-resultados-de-la-planificacion-ecologica-a-escala-local-en-el-area-del-proyecto-gef-montana-integrando-la-dimension-ecologica-al-ordenamiento-territorial/>

<sup>31</sup> <https://arcgis.mma.gob.cl/portal/apps/webappviewer/index.html?id=3b7e6151584045bda94f029ce9a4327f>

<sup>32</sup> MMA - ONU Medio Ambiente, 2020. Planificación ecológica a escala local y regional: guía metodológica. Encargado a: Dr. Alexis Vásquez, Dr. Emanuel Giannotti, Dr. Álvaro G. Gutiérrez, Dr. Ezio Costa, Elizabeth Galdámez, Ms. Ignacio Núñez, Camila Muñoz, Aaron Hebel, Macarena Martinic y Héctor Yáñez. Facultad de Arquitectura y Urbanismo, Universidad de Chile. Financiado en el marco del proyecto GEFSEC ID 5135 Ministerio del Medio Ambiente - ONU Medio Ambiente. Santiago, Chile. 85pp.

Planned outputs	Indicators and targets	Reported outputs as per Project Final Report <sup>28</sup>	Comments and rating of output by reviewer
		<p>municipalities.</p> <p>21 municipalities interested in developing environmental ordinances based on ELP and the Model Municipal Ordinance. Finally, 9 municipal's ordinances are already designed and supported technically by the Project.</p>	<p>The 9 municipalities that have ordinances designed based on the developed model ordinance is more than the 5 municipalities mentioned in the outcome indicator, although its application is still not ensured.</p>
1.2. Local-scale assessments on the biodiversity components and ecosystem services of the project area	100% of the project's total surface area with evaluation of biodiversity and ecosystem services which the biological mountain corridors provide	<p>100% of the surface of the project area evaluated through landscape and site indicators; including characterization of terrestrial ecosystems at local scale and floristic survey; 3 ecosystem services evaluated (air purification; carbon sequestration; water provision reformulated model at ELP study); 2 local ecosystem services evaluated (chiropters and pollinators).</p> <p>Protocols and evaluation methodology for the biodiversity components finished by the Project and delivered to MMA's stakeholders.</p>	<p>The reviewer confirms the successful generation of the output indicator target. The methodology for biodiversity components was developed at the start of the Project and delivered to MMA and stakeholders, but published in 2022 with the actual experience of the Project<sup>33</sup></p> <p>The biodiversity and ecosystem services were characterized and linked to the regional and national monitoring system SIMBIO (output 2.1) and also the the Global Biodiversity Information System (GBIF).</p> <p>A series of studies and guidelines were published by the Project<sup>34</sup>, including floristic inventories of 21 individual municipalities</p>
1.3. Carrying out a pilot project to enhance personnel capacities in the environmental departments of 36 municipalities	At least 20 municipalities with personnel trained in biodiversity, ecosystem services and sustainable territorial planning	<p>33 municipalities (29 Metropolitan Region y 4 Valparaiso Region) with trained personnel (around 500 professionals) with training courses; technical exchange tour; development of a manual in good municipal practices in biodiversity management; diploma in Landscape and Green Infrastructure of the University of Chile; CEPA awareness program; and ELP development.</p> <p>As a training strategy and to develop municipal capabilities of municipal officials, the GEF</p>	<p>The reviewer confirms that the indicator target was surpassed. Training manual was developed early in the Project and implemented. The number of municipalities with increased capacity (33) is larger than planned (20) The total list of trained personnel is based on all participants in the multiple capacity building activities (courses, tours, diploma training, ELP development). This covers representatives of practically all supported municipalities (33 out of 36). The level of increased capacity per municipality and per person varied; some municipalities have the majority of relevant staff trained where others have only one</p>

<sup>33</sup> MMA y ONU Medio Ambiente. (2022). Resumen Ejecutivo. Protocolo de Obtención de Biotopos Aplicado al Área del Proyecto GEF Montaña. Financiado por: Proyecto GEFSEC ID 5135 Ministerio del Medio Ambiente -ONU Medio Ambiente, Santiago, Chile. 7 p.

<sup>34</sup> <https://gefmontana.mma.gob.cl/categoria/estudios/>

Planned outputs	Indicators and targets	Reported outputs as per Project Final Report <sup>28</sup>	Comments and rating of output by reviewer
		Mountain project gave technical support and supervised the design of 19 municipal demonstration projects.	or two persons. Also, some persons might have participated in multiple activities and others in only a few.
1.4. Coordination mechanisms set in place for municipalities in the mountain areas	At least 10 municipalities participating in a coordinated manner within the Project area	More than 28 municipalities participate annually of the Municipal Coordination round table, where they share and collaborate between them in matters of biodiversity protection. The coordination mechanism that municipalities after the Project will be allocated into the Municipal Environment Certification System (MECS) headed by the Ministerial Regional Secretariat of the Environment.	The reviewer confirms the achievement of the output indicator target. The municipal coordination mechanism is in place since 2017 and this is being allocated into the MECS. While interviewed municipality representatives and the Regional Secretariat confirm the usefulness of this mechanism, it is not yet considered effective for coordination of environmental plans and activities. Direct collaboration between municipalities (eg in the peri-urban area of Santiago), collaboration between a group of municipalities (eg the Mapocho river municipalities) or informal networks created through training activities (output 1.3) are considered more effective. The number of municipalities engaged in direct collaboration complete the indicator target
1.5. Preparation of an upgraded version of the municipal environmental management certification scheme that will include requirements for sustainable land use (SCAM/ECOCOMUN A)	At least 5 of municipalities applying schemes for strengthening local environment management (LEM) for conservation of biodiversity and ecosystem services, in decision-making on the municipal level	Formalizations of 3 Conservation Landscape schemes are done, through a voluntary agreement involving 6 municipalities. 35 of 36 municipalities belonging to the area of the Project have advanced or stay in some environmental certification level within the MECS of the MMA (6 Valparaiso Region and 29 Metropolitan Region). 12 municipalities of them are at Excellence Level within the MECS of the MMA, of which 5 allow to incorporate municipal management of natural resources.	The reviewer confirms that the indicator target was surpassed. Since 2019, MMA has recognized the "conservation landscape" scheme in the MECS. The Project for protocols and standards was sent for regulation by the Biodiversity and Protected Areas Service Law (SBAP) which is pending. The modification and strengthening of the Municipal Organic Law (see Output 1.1) , helped on strengthening of the Environment Units. Meanwhile, most (35) municipalities have advanced in some certification level. Nine projects have been supported with funds from the MMA's Environmental Protection Fund, co-financed by the GEF Project. and 19 environmental pilot projects were implemented by 15 municipalities. Co-financed between the GEF Project and the municipalities
<b>Comp. 2, Outcome 2</b>			
2.1. Monitoring system for biodiversity conservation and	1 integrated regional environment monitoring	1 assessment report of the biodiversity information and monitoring system was validated by partner	The reviewer confirms that the indicator was successfully generated. The Project's regional biodiversity monitoring system for the

Planned outputs	Indicators and targets	Reported outputs as per Project Final Report <sup>28</sup>	Comments and rating of output by reviewer
SLM/SFM with private and public stakeholders in the project area.	<p>program for forests, biodiversity and ecosystem services.</p> <p>1 integrated regional environment monitoring program for soil degradation.</p> <p>At least 5 public entities and at least 4 private ones are utilizing the Project monitoring programs in decision-making (biodiversity, ecosystem services and soil degradation).</p>	<p>institutional counterparts and published (SIMBIO RMS report). By the end of Q2 2022 the report was updated at a new regional monitoring biodiversity platform, designed and developed by the GEF Mountain Project and MMA, integrating the Geoportal with the ELP results and pilots' results.</p> <p>The Project began generating a collaborative monitoring system between public institutions through a round table, with the participation of 6 public entities (MMA, SEREMI RM, SAG, CONAF, INFOR, DGA), but the MMA requested, as a first step, to concentrate efforts on designing the internal structure of the SIMBIO into the MMA. The GEF Mountain Project supported the MMA with the development of a national and regional proposal for the governance and interoperability data of the SIMBIO. MMA continues with the implementation phase.</p>	<p>Metropolitan Region and part of Valparaiso Region, was developed participatory with many academics (52) and participation of public entities in 2016 and 2017. After MMA's request, in 2021 this regional biodiversity monitoring system (called SIMBIO RMS) was connected to and strengthened the national SIMBIO<sup>35</sup> by including the regional dimension, which the national SIMBIO did not have. This is now available and used by different public entities</p> <p>Info was based on the information gathered in the local-scale assessments (output 1.2) and monitoring by local entities started in 2018. Protocols and training were delayed until 2019. Monitoring report elaborated in 2020<sup>36</sup> and updated in 2022</p> <p>The Project earned national and international prominence among academics by its data on fauna monitoring (puma) and the establishment of a GLORIA site<sup>37</sup></p>
2.2. Strategy for improved dissemination and application of existing financial resources as incentives for biodiversity conservation among private land owners in the project area.	At least five annual extension and training programs implemented on FMs and good practices for sustainable management of soils and forests, biodiversity conservation, and soil degradation	<p>1 Designed training programs for the GEF Mountain Project.</p> <p>1 SLM training on financing mechanisms and best practices runs in Q3 2018 in Til-Til commune, Metropolitan Region; and 2 SFM trainings executed in Q2 2019 in Peñuelas and Hijuelas communes, Valparaíso Region; 2 online SFM Seminar in Q2 2020; 1 online SFM course in Q4 2020; the publication of a SFM manual with biodiversity conservation criteria; 1 SFM training for</p>	<p>The reviewer confirms the successful generation of the output, focusing on organic beekeeping, SLM (rainwater management) and SFM (management of dry forest, restoration of burned forest). Training program on sustainable agricultural practices was designed in 2017. Training was provided to producers (beekeepers) and extension officers of agriculture service agencies (SAG, INDAP, CONAF) in 2018/2019. During the pandemic, an online seminar on SFM was held for 69 professionals. Lessons learnt have been disseminated through the Project's</p>

<sup>35</sup> <https://simbio.mma.gob.cl>

<sup>36</sup> MMA y ONU Medio Ambiente. (2020). Reporte 2020 de Estado de la Biodiversidad y Servicios Ecosistémicos. Expresión Regional del SIMBIO Región Metropolitana de Santiago. Desarrollado y financiado por: Proyecto GEFSEC ID 5135 Ministerio del Medio Ambiente - ONU Medio Ambiente, Santiago, Chile. 110 pp

<sup>37</sup> A global network of long term vegetation monitoring sites to assess impact of climate change in mountains; <https://gloria.ac.at/home>

Planned outputs	Indicators and targets	Reported outputs as per Project Final Report <sup>28</sup>	Comments and rating of output by reviewer
		<p>small land owners in financing plan and markets; 2 Technology Transfer Group for organic apiculture taught by INIA (The Institute of Agricultural Research).</p> <p>The lessons learned from implemented SLM and SFM pilots disseminated through the Project's communication plan.</p>	<p>communication activities. The link to financing instruments was marginally present (public investments)</p>
<p>2.3. Compliance label for good productive practices in SLM/SFM for the protection of ecosystem services (originally: Program for Promoting, Strengthening and Implementing Financing Mechanisms (FMs) which Support Biodiversity Conservation and Sustainable Management of Soils and Forests)</p>	<p>At least 2 strengthened FMs in Biodiversity and SFM.</p> <p>At least 4 FMs and/or pilot practices implemented for biodiversity and/or SLM/SFM.</p> <p>At least 50,000 ha with plans for conservation of biodiversity and ecosystem services drawn up, validated and/or implemented within the Project area.</p>	<p>6 institutions involved with the GEF Mountain Project in strengthened financial mechanisms (FMs) (CONAF; INDAP; SAG; ASCC; Seremi RMS; and MMA).</p> <p>1 SFM pilots with CONAF and the ASCC (ex CPL), working a Clean Production Agreement (CPA); 6 new properties were added of a total of 12; 2 pilots in SFM in the Metropolitan Region (Paine and Curacaví communes); the publication of a SFM manual with biodiversity conservation criteria and lessons learned from SFM pilots was developed.</p> <p>2 pilot projects to restore burned forests in alliance with CONAF, applying Forest Law N°20,283.</p> <p>2 pilots were partially established to combat land degradation to apply SLM techniques, legally sustained in the Law N°20,412, due to repeated delays associated with the pandemic. The partial results will be incorporated into the Restoration of Degraded Lands System of the Agriculture Ministry - SIRDS Program (Til Til and San Pedro communes).</p> <p>2 instruments of national policies related to SFM strengthened through the GEF Mountain project' s technical</p>	<p>The reviewer considers that the output has been generated in terms of the implementation of pilots for good productive practices, particularly in the areas of apiculture, SLM (rainforest harvesting) and SFM (forest management and restoration of burned forest). Also, the livestock management in the high mountain areas (reported by the Project in component 4) also adds to this output.</p> <p>The reviewer considers there is less prominence of financial mechanisms than indicated by the output. The financial mechanisms considered by the Project consisted mostly of regular public investments to support good practices by SAG, CONAF, INDAP etc. Rather than supporting mechanisms, the Project supported the individual practices and assumed that the public agencies will continue to support. An exception is work with the FM Clean Production Agreements on SFM, between CONAF and ASCC. The forest management practice has been so successful that an agreement is underway between CONAF and ASCC (independent from the Project) to apply the CPA in other regions. There also has been support to the MMA in developing guidelines for biodiversity compensation and off-set schemes.</p>



Planned outputs	Indicators and targets	Reported outputs as per Project Final Report <sup>28</sup>	Comments and rating of output by reviewer
		<p>support and the pilots' results promotion (Nationally Determined Contribution and CONAF's forest law); 1 environmental off-set guide for biodiversity was finished, within the framework of the EIA System, by Q1 2022; 1 web platform of biodiversity's compensation designed for the municipalities, to leverage additional resources for their SFM and SLM projects.</p> <p>According to the tracking tool, the GEF Mountain Project has achieved 389,351.23 ha with SFM and SLM management plans executed.</p>	
<p>2.4. Support program to explore market options for best practice compliant products from the Project area.</p>	<p>2 instruments promoted and 2 strengthened for certifying good productive practices for SLM/SFM in sustainable markets.</p>	<p>5 institutions (SAG, ASCC ex CPL, CONAF, INDAP, ODEPA) involved.</p> <p>A protocol of the San José de Maipo District Master Plan with standards in good productive practices carried out.</p> <p>A work with stakeholders to seek carbon markets, biomass uses for heating systems, medicinal uses, and saponin uses, was concluded satisfactorily, with new markets perspectives through producer associations for SFM products, as a financing alternative to the CPA certification model.</p> <p>The cooperative of honey producers was legally formalized and by the end of 2021 it was recognized as certification entity by the Livestock and Agriculture Service, being able to obtain the self-certification of the organic SAG seal.</p> <p>Dissemination of lessons learned from the instruments implemented and strengthened, through the Project's communication plan.</p>	<p>The reviewer confirms the successful generation of the output, for forest products and honey. Pilots in certification of products through SFM CPA seal was achieved for the 9 SFM plans. A financing plan for the CPA on forest products was finished in 2021. Currently, the carbon market is explored to support SFM. Organic honey producers achieved self-certification. In 2017 and 2018, market studies ('green economy') were developed for certification of wine and beef and while useful, they were not implemented in pilots due to lack of interest of producers (wine) or too small volume (beef)</p>
<p>2.5. Education program on the need to conserve biodiversity and combat</p>	<p>At least 5 education and awareness programs on forest, biodiversity and ecosystem services,</p>	<p>One education and awareness program called "Significant Local Learning Programme", adapted from the CEPA Programme and executed for</p>	<p>The reviewer considers that this output was achieved. There were less than five (three) education programs implemented, targeting municipalities and local stakeholders.</p>

Planned outputs	Indicators and targets	Reported outputs as per Project Final Report <sup>28</sup>	Comments and rating of output by reviewer
desertification for relevant local stakeholders	for relevant local stakeholders (municipalities, community, public services).	16 municipalities. In summary, 654 beneficiaries (municipal stakeholders and community). One communication program for social networks and relevant actors of the Project was designed. In overall, Project's communications area through its social networks substantially increased more than 25,000 followers as of June 30, 2022. In turn, the website has 124,000 visits consultations / downloads, last 21 months. Project has managed to maintain the Project's position among national influencers in matters of biodiversity conservation, productive sustainability and territorial governance.	<p>However, this was compensated by an effective, wide awareness programme through communications.</p> <p>Complementary to the training of municipal personnel in conservation planning (output 1.3) and government agencies in good practices (output 2.2), the Project developed a more comprehensive education and awareness program called "Significant Local Learning Programme" for municipality, which benefitted 16 municipalities (6 in 2017-2018 and 10 in 2021)</p> <p>The reviewer confirms the development of a communication strategy and program in 2019, which substantially increased the Project's visibility and outreach.</p>
<b>Comp. 3, Outcome 3</b>			
3.1. Declaration of one pilot-scale areas as soil, forests and water conservation districts	At least 500 000 hectares formally recognized as a Conservation District of soils, forest and water within the Project area.	1 Master Plan of the Conservation District for the commune of San José de Maipo for the 500,000 ha developed and validated by the counterparts (municipality, MINAGRI, MMA). Cartography's results are made available on the SIMBIO RMS module of MMA's platform. As a formal recognition, in Q1 2021, the decision was taken to sign a cooperation protocol (in replacement of the decree) agreed among the MINAGRI agencies, allowing compliance with subsidies on soils vulnerable to erosion with standards in good productive practices, to implement the District Master Plan.	The reviewer confirms the generation of the output, even though the legal status for the conservation district was different as planned. Originally, the Project aimed at developing the Conservation District in San José de Maipo, which would be recognized through a decree from the Ministry of Agriculture and made official (in 2018) However, there were difficulties between public services of the agricultural sector due to discrepancies in the decree application in the territory. Therefore, the Project's partner institutions belonging to the Ministry of Agriculture decided to create a Protocol (Cooperation Agreement) between them that achieves the same decree's objectives. This is now under implementation.
3.2. Conservation plans and activities for the pilot-scale areas	At least 200,000 ha of the District surface area with activities implemented from the integrated	Revised and updated 7 integrated management plans according to the District Master Plan, and 2 new plans added, which means 283,453 ha. 2 landowners have	The reviewer confirms that the output was generated, but cannot confirm that 200,000 hectares have implemented activities from the management plan. Seven integrated management plans were selected

Planned outputs	Indicators and targets	Reported outputs as per Project Final Report <sup>28</sup>	Comments and rating of output by reviewer
	management plans, revised and adapted to the District Master Plan.	<p>reduced animal stocking rate into their properties.</p> <p>1 pilot of good livestock practices in mountain ecosystem designed with livestock community. During 2020 and 2021, pilot activities in integrated soil management implemented as a result of the livestock management plan with a participatory process. The plan was concluded in Q1 2022. Cartography's results are made available on the SIMBIO RMS module of MMA's platform.</p> <p>Dissemination activities executed for the pilot of livestock management plan, including sustainable grazing and the methodological guide of the District Master Plan, focused on public services.</p>	<p>from the District's master plan (developed for Output 3.1<sup>38</sup>). Implementation focused on livestock practices in a large part of the high mountain area of the District. Work started with two communities but work was implemented with one (las Tórtolas); work with the other community was discontinued. In las Tórtolas, the experience on 9000 hectares has been highly successful and the experience is disseminated widely (output 3.3). In this same area, there are biodiversity inventory and monitoring activities, promotion of tourism and detailed cartography generated.</p> <p>The Project supported the local INDAP staff for replication of the experience in other communities (not yet implemented) and private properties. The latter resulted in reduction of less livestock and restoration after fire.</p>
3.3. Dissemination of lessons learned in the implementation of the pilot-scale areas.	At least 4 dissemination activities of lessons learned in the implementation of pilot area	<p>The GEF Mountain Project implemented 5 activities regarding to disseminate lesson learned to public services and local actors.</p> <p>The lessons learned regarding actions implemented within the district instrument and the lessons learned from the pilot of livestock management plan, disseminated through the Project's communication plan.</p>	<p>The reviewer considers that the indicator target for this output has been surpassed. Implementation was late, but successful; mostly focused on livestock management experience. Apart from dissemination through the Project's own communication channel, direct extension activities have taken place, including transferring of lessons learned to MINAGRI institutions, experience exchange between communities, webinars, and international dialogues<sup>39</sup></p>

***The subcriterion "Delivery of outputs" is rated as "Satisfactory".***

**b. Achievement of Outcomes**

*RQ. How successful was the Project in achieving that municipal environmental departments apply updated information on the biodiversity components and ecosystem services at a local scale for decision making in land use planning (Outcome 1).*

<sup>38</sup> MMA - ONU Medio Ambiente, 2018. Informe Final. Elaboración del Pan Maestro para un Distrito de Conservación de Suelos, Aguas y Bosques en la Comuna de San José de Maipo. Estudio encargado a la Facultad de Arquitectura y Urbanismo de la Universidad de Chile. Financiado en el marco del proyecto GEFSEC ID 5135 Ministerio del Medio Ambiente - ONU Medio Ambiente. Santiago, Chile, 311p

<sup>39</sup> <https://www.unep.org/node/32338>

*RQ. How successful was the Project in achieving that the scenario for conservation of biodiversity and key ecosystem services is improved in biological corridors by means of the implementation of best practices for the sustainable management of landscapes and financial incentive mechanisms, emphasizing SLM/SFM and the need to combat desertification (Outcome 2).*

*RQ. How successful was the Project in effectively establishing integrated Conservation Districts for soils, forest and water, implemented in some 500,000 hectares of production/conservation pilot areas (Outcome 3)*

**Finding 9. The Project contributed significantly to the establishment several municipal environmental departments, strengthened capacities of all municipalities and improved decision making, based on updated information on biodiversity and ecosystem services, adequate training and direct support to pilot projects (Outcome 1).**

**Finding 10. Several positive examples of good practices for the sustainable management of landscapes, focusing on SLM and SFM, were successfully implemented and well communicated. Most examples remained at the pilot level and are not yet brought to scale or supported by financial instruments. A biodiversity monitoring system was successfully developed to support local environmental management and connected to the national-level SIMBIO (Outcome 2).**

**Finding 11. A Conservation District was established and supported by government agencies in San José de Maipo. The implementation of the District's Master Plan was mostly done through improved high-mountain range management but does not yet cover the suite of required activities and priority areas (Outcome 3).**

71. The reviewer considers that the expected Outcome 1 was successfully generated. Following the Project's results framework, the indicators for the achievement are the aggregate of the five output indicators and these were all fully achieved or even surpassed. Beyond the concrete products generated by the project activities (outputs), the Project indeed generated a change in behavior and attitude of the local governments. This is evidenced by the establishment of biodiversity divisions in environmental management departments, which until recently, focused mostly on urban issues (garbage collection, sewage, etc.). While collaboration and coordination between municipalities is still not optimal at the regional level, there is a new and effective coordination at the bilateral level or among groups of municipalities. Also, during the present review the interviewed municipality staff showed pride for the achieved results such as the municipal reserves and the obtained knowledge on biodiversity. In concrete terms, the development of environmental planning, the interest in developing ordinances on biodiversity conservation and the advancement to environmental certification level within Municipal Environment Certification System (MECS), clearly indicates the positive outcome.

72. As shown by the satisfactory achievement of the outputs in component 2, the implementation of good practices for sustainable management of landscapes, focusing on SLM and SFM, was well done and herewith, Outcome 2 satisfactorily generated. Ten out of 15 stakeholders (not PMU staff) who responded the corresponding interview question, mentioned either the SFM in sclerophyll forest and livestock management<sup>40</sup> among the main tangible result of the Project. The reviewer also noted the positive work with beekeepers, who managed to improve their practice, establish a formal organization, and achieve a license for self-certification. As part of this outcome, the development of a monitoring system was successful and even though there were challenges to connect this to the national level SIMBIO, towards the end of the Project interoperability with the national system was a given and the Project, together with two other GEF projects, became a major contributor to SIMBIO. Finally, as part of Outcome 2 almost 700 persons benefitted from an education programme and a strengthened external communication strategy that informed not only project stakeholders but also the public in general.

73. With the exception of the SIMBIO; Outcome 2 is not yet brought to scale: most productive activities are site-based, not widely applied beyond the pilots directly supported by the Project and not yet

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<sup>40</sup> Here, it should be noted that the project reported the latter mostly as a result for component 3, but it definitely is pertinent to outcome 2.

connected to an increased value chain at scale. To support the application of the pilots, the Project developed a mainstreaming Program for the MMA, with 90 detailed activities to work with four different sectors<sup>41</sup>. While this study provides important tools for mainstreaming, it took a long time to produce the report and it is not applied yet. Also, there was less prominence of the development of financial mechanisms and the contribution of SAG and INDAP financing mechanisms to productive activities with biodiversity protection objectives has been low.<sup>42</sup> A positive exception is the CPA, which was successfully applied to the SFM pilots and strengthened, through an agreement of the Sustainability and Climate Change Agency (ASCC) with CONAF. Now, the model is applied to three regions in the country and an agreement was signed to apply it at the national level.

74. Outcome 3 (Integrated Conservation Districts for soils, forest and water effectively established and implemented) has also been satisfactorily generated, although the actual implementation is a work in progress. The Master Plan for the Conservation District in San José de Maipo was developed in a participatory manner and there was willingness from the different authorities, including the Municipality. Even though the Conservation District creation is embedded in a Law since 1984<sup>43</sup>, it has never been formally declared and also in this case, it was not achieved as planned. The reason for this, reported by the PIR, are difficulties between public services of the agricultural sector due to discrepancies in the decree application in the territory. As an alternative, the Project's partner institutions belonging to the Ministry of Agriculture decided to create a protocol (Cooperation Agreement) between them that achieved the decree's objectives. In 2021, the protocol was signed by the MINAGRI, providing it the necessary support.

75. The Master Plan achieved good support from all local organizations and according to interviewed municipality staff, there is a good level of effort for implementation. The most visible (and well communicated) effort is the livestock management in the high mountain natural grasslands. This relatively dry area was grazed through extensive range management, without any territorial planning. This led to degrading grasslands as well as conflicts with wildlife (puma). The management promoted by the Project applied a traditional pastoralism system, using vegetation zones strategically and avoiding of wildlife conflicts. According to beneficiary farmers, this has resulted in one year in vegetation recovery, more production and less interaction with pumas, while the puma population increased. Associated activities in the livestock management areas (biodiversity monitoring, tourism promotion) is done in close collaboration with the farmers. The success of the model is widely recognized and communicated.<sup>44</sup> At the same time, the livestock management and other Master Plan activities are implemented at a relatively small scale; it was planned to implement this with two communities but due to challenges with one of these, it was only implemented in 9000 hectares of one community. One of the reasons for the still incipient actual implementation of the Master Plan is the large size of the municipality (500,000 has) but a small population (18,000) limiting personal and financial capacity.

***The subcriterion "Achievement of direct outcomes" is rated as "Satisfactory".***

#### c. Likelihood of Impact

*RQ. To what degree the Project is likely to create long-term impact of public-private initiatives that are consolidated for conserving and managing sustainably the globally significant biodiversity and multiple ecosystem services in Chile's mountain areas of the Mediterranean ecosystem, slowing the process of soil and forest deterioration (project objective)*

- *Strategic Question: To what extent has the Project contributed to protecting biodiversity and multiple ecosystem services in Biological Mountain Corridors in Chile's Mediterranean Ecosystem?*

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<sup>41</sup> MMA - ONU Medio Ambiente. 2022. Informe final - Asesoría para la integración de la biodiversidad en sectores productivos y de servicios. Elaborado y financiado en el marco del proyecto GEFSEC ID 5135 Ministerio del Medio Ambiente - ONU Medio Ambiente. Santiago, Chile. 35 pp

<sup>42</sup> PIR 2022

<sup>43</sup> Law N° 18,378, art. 3 and 5

<sup>44</sup> <https://gefmontana.mma.gob.cl/categoria/en-la-prensa/>

- *Strategic Question: Is there evidence and what impact has been achieved to improve health and productivity of targeted ecosystems?*

*RQ. Did the assumptions hold/were drivers positively influenced in the transition from outcomes to impact?*

*RQ. Have desired outcomes and impacts occurred amongst all stakeholder groups (and if not, why this might be).*

*RQ. Have there been any unanticipated outcomes or impacts (positive or negative) with particular reference to the most vulnerable groups of ecosystems?*

**Finding 12. The Project contributed significantly to its strategic objective<sup>45</sup>: both public and private initiatives are implemented to conserve globally significant biodiversity and multiple ecosystem services in the mountain areas of central Chile. The consolidation of several initiatives at the local level and pilot scale is ensured. Herewith, the Project achieved concrete protection of biodiversity and ecosystem services in part of the Biological Mountain Corridors in Chile's Mediterranean Ecosystem. Implemented good agricultural and SFM practice contributed to ecosystem productivity.**

**Finding 13. The outcomes and impact of the program have benefitted all stakeholder groups, but to different degrees.**

**Finding 14. Most assumptions included in the Project's results framework held, particularly the willingness of local stakeholders to participate in the initiatives.**

**Finding 15. Different initiatives supported by the Project implied climate action (increased adaptation capacity to the effects of climate change; carbon stock conservation and enhancement) which was not foreseen in its design.**

76. With the satisfactory achievement of the Project's outputs and outcomes, some of them even surpassed, the Project certainly contributed to its strategic objective: in the Metropolitan Region and part of the Valparaiso Region of Chile there are a series of positive initiatives in place that contribute to the conservation of globally significant biodiversity in the Mediterranean ecosystems across the project area. Both public (mostly municipalities, but also some regional and national-level agencies) and private (private land owners, private nature reserves, companies) have implemented municipal nature reserves (1800 ha)<sup>46</sup>, adding to forest conservation by sustainable management practices of sclerophyllous forest (15,850 ha), restoration of burned forest (174 ha), livestock management contributing to the conservation of vegetation and fauna of high country grasslands (9000 ha) and other activities supporting landscape integrity. All this is being supported by information on biodiversity and ecosystem services, which is used for monitoring of the actual conservation efforts. Therefore, even though the project objective targets the development of the initiatives, there is certainly actual impact generated in terms of thousands of hectares with important species conserved, land degradation reduced and sustainable forest management applied to Mediterranean sclerophyll forest. Although most impact is pilot based, the planning instruments cover a large area of the central region of Chile and if sustainability and scaling is achieved, the generation of impact is likely.

77. The Project did not only have actual positive environmental impact but also benefitted stakeholders: mostly rural smallholders that were supported through beekeeping, extensive management of livestock and some agroforestry practices. Forest owners where SFM initiatives were implemented were mostly larger land holders. The number of beneficiaries was not reported by the Project but upon request of the reviewer, the PMU provided an estimate: the total number is approx. 1700 persons (¶198). Because the Project's initiatives still remained mostly at the pilot level (¶173), the total number of direct beneficiaries is

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<sup>45</sup> The project document does not have a specific impact statement, but in its Objective Tree (Appendix 16 of Prodoc) presents the strategic objective as "impact"

<sup>46</sup> Data provided by PMU; internal document "resultados e impacto GEF Montaña"

not high as compared to projects in other Andean countries, that work with larger communities. Another group that benefitted directly are staff of the participating municipalities who found labor in the newly developed and increased environmental divisions and were trained in environmental management. There are many more indirect beneficiaries: inhabitants of the project area profit from the improved natural landscape quality for recreation or potentially better river and air quality.

78. The Project benefitted all project stakeholder groups, but to different degrees. Land owners, agricultural producers and forest owners benefitted directly from improved practices and enhanced income from their products. These stakeholders, as well as private reserve owners, benefitted from the information generated by the Project. Staff from municipalities and regional-level government agencies increased their capacities to apply sound environmental management. National level government agencies benefited from the opportunity to coordinate actions, access to information (including SIMBIO) and enhanced efficiency of their instruments. All these stakeholders have benefitted from the training activities in landscape planning, biodiversity monitoring and funding of activities. Finally, the population of the project area benefitted from the Project through improved environmental management and dissemination of information to the general public.

79. Most assumptions included in the project's results framework, at the strategic objective and outcome level, held: the proposed incorporation of management for the conservation of biodiversity, ecosystem services, and territorial environmental planning, is validated and utilized by practically all participating local governments. The productive sectors and competent services have validated and applied several tools proposed and strengthened by the Project for promoting sustainable forest and soil management (e.g. SFM and livestock management by CONAF and municipalities) and the conservation of relevant areas for protection of the ecosystem Services (RENAMU). There was political willingness to declare for first time in Chile the legislation Conservation District, even though the final legal basis was different (¶74). The articulation of existing financing mechanisms was less than expected. Also, these mechanisms did not enhance each other for implementing practices for recovery of soil, water and forests. Also, mayors from the involved municipalities had the political will to incorporate conservation standards into developing municipal ordinances for local environment management before the Project was finalized. Stakeholders involved with good practice pilots evidently have been receptive regarding the usefulness of the proposed systems, and the reviewer perceived a positive attitude regarding monitoring use and feedback.

80. The Project was designed to contribute to the GEF Focal Areas of biodiversity, land degradation and SFM but not to climate change. However, the Project certainly contributed to climate action. In general terms, the conservation of sclerophyll forest, vegetation and soil conservation and management and the establishment of municipal reserves and support to private reserves ensured conservation, and eventual enhancement of carbon stocks in vegetation and soils. Possibly more important is the adaptive capacity created by the good practices promoted; climate change is associated with drier conditions and a higher fire frequency and intensity in the central area of Chile<sup>47</sup>. Livestock owners that were interviewed during this review mentioned that previously, the extensive, unplanned management system did not cause any problem because there was always enough rain to sustain fodder for the cattle. However, in the last decades droughts have been so extensive that the management system used did not allow for fodder production during the summer. The management system developed by the GEF Montaña Project, based on the use of specific parts of the landscape during different seasons, is therefore an adequate adaptation to climate change. Similarly, the SFM model applied is based on the experience that for the restoration of degraded sclerophyll forest, active intervention (thinning) is required because if the forest is left for natural regeneration, the forest vegetation becomes dense and is more prone to wildfires. Therefore, the applied management not only generated income from selling the thinned wood, but also is an adaptation strategy for climate change.

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<sup>47</sup> MMA 2016. Tercera comunicación nacional de Chile ante la convención marco de las Naciones Unidas sobre Cambio Climático; Nature Climate Change. 2017 . volume 7, page 755

***The subcriterion “Likelihood of impact” is rated as “Likely”.***

***The criterion “Effectiveness” is rated as “Satisfactory”.***

#### **E. FINANCIAL MANAGEMENT**

*RQ. Was financial information and communication between financial and project management staff complete and transparent?*

*RQ. How well are standards (clarity, transparency, audit etc.) of financial and operational (staff recruitment, evaluation, secondary conditions) planning, management and reporting applied, to ensure that sufficient and timely financial resources were available to the project and its partners?*

*RQ. To what extent co-financing has materialized as expected at project approval?*

**Finding 16. The financial management was conducted according to planning and followed financial and operational standards of UN Environment. Financial reporting was correct, timely and transparent.**

**Finding 17. The Project agencies reported a larger mobilization of co-financing than originally committed, because many more agencies than originally planned committed funding to the Project. Some agencies that had committed funding initially have not reported any mobilized funds. Administration of co-financing was done in detail, although many commitment letters did not specify funding and there were no written declarations from donors to confirm co-financing.**

81. The original budget (Prodoc) was detailed in terms of expenditures per project component, per calendar year and per UN Environment expenditure category. It also provided a breakdown per project component/outcome. Administration and reporting were further done following UNEP expenditure categories. Expenditure per component or outcome/output was not provided. There were several significant changes in the final expenditure in comparison to the original budget (Table 5). Many of these changes were done after project inception, and the budget at CEO endorsement was changed in 2017. According to the document with the first budget revision (June 2017), the major changes were a lower overall budget for personnel, because at inception MMA assessed that less permanent personnel was required and tasks can be covered by specific consultancies. The remaining budget was reassigned to the "others" item under the component "miscellaneous", which increased from \$8,700 to \$ 408,917. This was justified in the corresponding budget revision to cover international wired transfer fees and unexpected expenditures.<sup>48</sup>

82. Because of the major budget change after inception, final expenditures were compared to this first revision in 2017 (Table 5). This revealed that during implementation, the budget spending showed several major (more than 10%) diversions from the planned budget. Even though the project implementation was extended, there was less than 10% more spending on personnel as planned. This was because there was less spending on staff in PMU, although more on consultants. Some more spending was on personnel but there was less spending on travel, which can be explained by the lockdown during much of 2020 and 2021. According to the financial reports, the reason that the category "subcontracts" was higher than planned was because there was a higher-than-expected demand for support by municipalities which was done by service providers. The item "training and equipment" was half of what was budgeted, mainly because there were less meetings held and equipment procured. Finally, the component "miscellaneous" was slightly less than budgeted in 2017, particularly because the budget "others" was used for other categories.

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<sup>48</sup> Later, this item was reduced again and the funds allocated to other items (publications, subcontracts) arguing that the line would be only for banking costs.



**Table 5:** Original budget (at CEO endorsement), revised budget (June 2017, after inception) and revised budget, according to spending up to project end (December 2022)

Budget line	Original budget (CEO endorsement, 2016)	Revised budget (June 2017)	Revised budget (Dec 2022)	Difference 2017-2021 (%)
Personnel	3,174,542	2,699,921	2,908,390	+ 7.7 %
Sub-contracts	1,453,849	1,494,933	1,684,041	+ 12.6 %
Training	373,879	373,223	163,662	- 56.2 %
Equipment and premises	81,491	81,491	49,507	- 39.3 %
Miscellaneous	573,440	1,007,633	851,601	- 15.5 %
<b>TOTAL</b>		<b>5,657,201</b>		

83. Independent financial audits were done annually. The reviewer consulted the six audit reports and observed that the auditors found that funds were used properly, adhering to the contractual terms. No major observations on financial management were made; regularly over-expenditure of specific budget items was noted and it was recommended to adjust this in realistically revised budgets in coordination with the donor. The budget was indeed adjusted in several occasions, to adjust to spending and the project implementation period extension.

84. Because UNEP has no institutional presence in Chile, UNEP and the Chilean government agreed that funding would be channeled through an Andean international NGO (CONDESAN). After a national government administration change, the Chilean government accepted that the funds could be managed by a national agency, and the Sendero de Chile foundation replaced CONDESAN as funds administrator in 2019 (¶146). The PMU administrative assistant did the Project's own bookkeeping but all was reported to the funds' administrator and all expenses and reports were managed by them. According to interviewed staff of UNEP and MMA, as well as the directors of the fund administration agencies, the relationship between the fund administration agencies and the IA and EA was good and fluent. PMU staff found that budget management was fluent and transparent: they noted that the administration through Sendero de Chile was easier than through CONDESAN because the budget could be managed in Chilean pesos, while CONDESAN had to work in USA Dollars. The main responsible persons for budget control (project coordinator, CONDESAN/Sendero de Chile director, UN Environment task manager) confirmed they were continuously fully aware of the financial status of the Project. All interviewed recipients confirmed correct and timely payments of instalments and easy reporting. Expenditures were reported to UNEP every three months.

85. The choice for the two fund administration agencies was not only because of their administrative capacity but also because their institutional missions as close to GEF Montaña's activities: CONDESAN focuses on sustainable development in mountain regions and has been executing several UNEP-GEF projects. At the same time of implementation of GEF Montaña. CONDESAN executed a similar project in Ecuador and Peru.<sup>49</sup> Sendero de Chile is a state-established organization focused on promoting ecotourism and environmental education. In fact, during the first years of the Project, CONDESAN organized a study tour from the Chile PMU to Ecuador and supported the establishment of a Global Observation Research Initiative in Alpine Environments (GLORIA) vegetation monitoring site (Table 4, output 2.1). Sendero de Chile supported the "Significant Local Learning" education programme to municipalities (Table 4, output 2.5).

86. At CEO endorsement, the committed co-financing was large (26.9 M\$) with a positive GEF vs. co-financing balance (1:5). At project start, co-financing was diverse: 16 sources including ministries, municipalities, public agencies, academia, NGO and the private sector. The mobilized co-financing was larger than planned (44.8 M\$ vs 26.9 M\$). On the one hand, this was because MMA mobilized considerably more funding than originally committed (16.3 M\$ vs 6.7 M\$). Mostly however, the Project managed to

<sup>49</sup> Multiplying Environmental and Carbon Benefits in High Andean Ecosystems (ECOANDES) GEF ID 4750

have many more agencies commit co-financing during implementation. In the end, 93 sources of co-financing were reported. The additional sources were mostly participating municipalities (all 36 committed funding), project beneficiaries and service providers. This enormous increase of co-financing sources is an indication of the good and large stakeholder engagement of the Project. At the same time, because many of the additional agencies committing to the Project had not sent a letter and if so, not always mentioned a funding amount, the final co-financing from these agencies was based on estimates by the PMU.

87. Some organizations contributed less funding than originally planned or provided in-kind funding. Among others, INDAP contributed with 6M\$ less than planned and two private organizations (La Florida mining company and the Fundación Chile) did not mobilize any funding because they never participated in project implementation. The MMA planned to provide 2.5 M\$ of this contribution in cash, but finally contributed all in kind. Therefore, even though the Project mobilized 66% more co-financing than originally planned, the amount of cash financing reduced from \$ 2.6 M\$ to 1.2 M\$.

88. The administration of co-financing was done informally. In the original budget (prodoc) co-financing was budgeted at the same level of detail as the GEF contribution. Financial reporting of the budget continued with this level of detail (co-financing mobilized per UNEP budget category). The original co-financing agencies all sent commitment letters indicating their estimated financial contribution. However, approximately half the co-financing agencies that committed during project implementation did not send a commitment letter and of the ones who did, many did not mention a financial contribution; most letters were a statement of interest to collaborate with the Project. Mobilized co-financing was confirmed by MMA but not confirmed through signed letters from the source. The PMU commented that the planned financial contribution of the agencies that did not directly commit an amount was estimated in bilateral conversations. Therefore, the co-financing amount should be considered an estimate rather than a confirmed amount.

***The criterion “Financial Management” is rated as “Satisfactory”<sup>50</sup>***

***1. Completeness of financial information: Moderately Satisfactory***

***2. Communication between finance and project management staff: Highly Satisfactory***

#### **F. EFFICIENCY**

***RQ. Did the Project build adequately (create complementarity) on existing institutions, lessons of other initiatives, data sources, partnerships with third parties and ongoing projects?***

***RQ. How was the operational execution vs. original planning (time wise)?***

***RQ. How was the operational execution vs. original planning (budget wise)? Was the Project implemented cost-effective? (were the results achieved at the lowest possible cost?)***

***RQ. If present, what have been the main reasons for delay/changes in implementation? Have these affected project execution, costs and effectiveness?***

***RQ. Was adaptive management applied adequately? Were any cost- or time-saving measures put in place in attempting to bring the Project as far as possible in achieving its results within its secured budget and time?***

**Finding 18. The Project collaborated effectively with initiatives of local institutions, academia and NGOs.**

**Finding 19. The Project had a serious delay in its implementation, caused by its initial implementation modality, civil unrest and the covid pandemic. Therefore, the Project was extended for more than one year. In practice, this ensured the satisfactory finalization of outputs**

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<sup>50</sup> See Annex 7: financial management evaluation rating table

**and generation of outcomes. The Project extension did not affect financing and the Project was overall cost-effective, compared to other, similar projects**

**Finding 20: Because the Project was implemented during a relatively long period of time (6 years), it had to adapt to several governmental changes and contextual factors, including the COVID pandemic. The Project management adapted adequately to these changes.**

89. The Project tried to build on different previous and existing initiatives of project partners. This was successful in some cases, particularly at the level of GEF Projects implemented by the MMA. According to the project document, the Project built on two projects in the same project area (Mediterranean eco-region). One was the World Bank implemented Sustainable Land Management project<sup>51</sup>, executed by CONAF (Ministry of Agriculture) and the other was a UNDP implemented project focusing on financial mechanisms<sup>52</sup>, executed by MMA. Because the latter was executed by the same institution, there was more interaction with that project, particularly because of its interaction with local stakeholders in the Mediterranean region that could benefit the GEF Montaña project. During project execution, there has been a positive interaction with the GEF project on wetlands<sup>53</sup>, implemented by UNEP and executed by MMA. Both projects were complementary in support of wetlands conservation and support to municipalities in the coastal region. The Wetlands project, as well as the GEF Beaver project<sup>54</sup>, complemented GEF Montaña's efforts to establish and strengthen the monitoring system SIMBIO (¶72).

90. The GEF Montaña project had difficulty aligning with initiatives of other agencies, including the technical agencies of the Ministry of Agriculture who are project partners (SAG, CONAFOR, INDAP; see PIR 2022). Once GEF Montaña started, there was little interaction with the GEF Sustainable Land Management project; in the final report of that project, no mention was made to collaboration with or support to MMA or GEF Montaña. Also, there has been little interaction with a FAO-GEF project executed by Ministry of Agriculture on Agricultural Heritage Systems<sup>55</sup>, even though there are evident linkages to promoting small scale, sustainable agriculture activities in the Mediterranean region. The reason for the imperfect alignment of the Project with other agencies is the lack of coordination at the institutional level in project governance and in implementation (¶106, 110).

91. At the same time, the collaboration with local level institutions and projects was good and one of the main factors of project success. Together with the municipalities, the project staff identified emerging initiatives and their stakeholders to engage and strengthen these. This included, among others, youth clubs for nature study, environmental clubs targeting environmental conservation and private farmers or producer organizations engaged in clear production. Also, service providers (NGOs, academia, consultancy companies) were engaged based on their ongoing work. This created a mutual benefit: the Project used the available expertise while the service provider received support to strengthen its ongoing work. Examples are Myotis Chile, a company with innovative expertise in management of bats and pest control that supported a pilot on management of bat populations in peri-urban areas<sup>56</sup>. Also, the Project positively included the Sendero de Chile foundation's work with connectivity, ecotourism and educational programs. Finally, academic groups with ongoing work on certain areas of biodiversity (vegetation, birds), environmental services (water, soils) and sustainable production was included in the Project, generating benefit for both parties.

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<sup>51</sup> To develop a national framework for sustainable land management to combat land degradation, mainstream biodiversity into national policies, and protect forest carbon assets. GEF ID 4104

<sup>52</sup> Supporting Civil Society and Community Initiatives to Generate Global Environmental Benefits using Grants and Micro Loans in the Mediterranean Ecoregion of Chile. GEF ID 4939

<sup>53</sup> Mainstreaming Conservation of Coastal Wetlands of Chile's South Center Biodiversity Hotspot through Adaptive Management of Coastal Area Ecosystems. GEF ID 9766

<sup>54</sup> Strengthening and Development of Instruments for the Management, Prevention and Control of Beaver (*Castor Canadensis*), an Invasive Alien Species in the Chilean Patagonia. GEF ID 5506

<sup>55</sup> Establish a Network of National Important Agricultural Heritage Sites (NIAHS). GEF ID 9068

<sup>56</sup> e.g. MMA - ONU Medio Ambiente, 2021. Guía de manejo de colonias de murciélagos en construcciones. Encargada a: M.Sc. Ignacio Fernández Latapiat, Myotis Chile. Financiado en el marco del proyecto GEFSEC ID 5135 Ministerio del Medio Ambiente - ONU Medio Ambiente. Santiago, Chile. 41pp.

92. The Project had several delays. The first was due to changes of operative character: the Mid-Term Review identified that due to a delay in the initial institutional arrangements, the Project took 6 months to begin its actual technical implementation. After that, in the middle of the implementation cycle, a change was made in the organization administering financial resources, generating a period of four months with low budgetary liquidity (¶146). Finally, the social unrest in 2019 and the sanitary measures related to the COVID-19 pandemic caused standstill and later replanning of activities. All this led to a slower implementation and a need to adapt project management. The project management adapted adequately through different means and by request a project extension (¶162). This project extension was awarded and did not lead to major changes in the project budget (¶182) but resulted in a positive factor to achieve outputs and consolidate results. This positive effect is evidenced by the progress at MTR compared the current level of achievement of project outputs. The MTR was done late: in 2020, one year before the original end date of the Project. At that time, the progress towards achieving outputs was approximately 65% and considering that the final year of original project plannings was characterized by the COVID-19 pandemic, it would have been impossible to finalize. Thanks to the one-year extension period<sup>57</sup>, the achievement level of outputs is practically 100% and many outcomes (e.g. the Conservation District implementation, RENAMU establishment, SIMBIO alignment) were consolidated during the final year.

93. Other contextual factors that needed adaptive management were government changes and the related changes in senior management of institutions. These changes challenged the continuity of strategies for work with public agencies (¶160), which was a larger challenge with some national-level public agencies than local-level agencies. In both cases, the Project's adaptive management was done well, mitigating possible negative effects at the national level and generating positive effects at the local level (¶161).

94. Financial management was not undertaken according to planning, with several major (>10%) differences with the original project budget (¶182). These budget changes did not affect project delivery to a large degree. In the few cases where outputs were generated differently than planned (¶168, 69), the reasons were others than availability of funds. Therefore, the reviewer considers that the Project was implemented cost-effectively. While only giving a rough indication, the Project cost-effectiveness is in the range of other GEF funded projects with similar budgets and scope in the Andes. The Projects' GEF grant (5.6 M\$) is similar than another UNEP GEF project in Chile (5.1 M\$), with a similar scope of science, local implementation and policy development activities (Conservation of Coastal Wetlands of Chile's South Center Biodiversity Hotspot through Adaptive Management of Coastal Area Ecosystems). GEF Montaña was slightly less cost-effective than the UNEP-GEF project Multiplying Environmental and Carbon Benefits in High Andean Ecosystems (ECOANDES project), which had a similar scope (science, field implementation, policy development) but a smaller budget 4.8 M\$) while it was executed in two countries in three distinct mountain landscapes.<sup>58</sup> On the other hand, it can be considered more cost effective than the project "To develop a national framework for sustainable land management to combat land degradation, mainstream biodiversity into national policies, and protect forest carbon assets. GEF ID 4104", which has a similar budget (5,9 M\$) but a focus on policy development and less field implementation.

***The criterion "Efficiency" is rated as "Satisfactory".***

## G. MONITORING AND REPORTING

*RQ. Monitoring Design and Budgeting: (a) Is the Project supported by a sound monitoring plan that is designed to track progress against SMART results towards the achievement of the Project's outputs and outcomes, including at a level disaggregated by gender, marginalisation or vulnerability, including those living with disabilities (b) are project indicators relevant and appropriate, as well as the methods used for tracking progress against them as part of conscious results-based*

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<sup>57</sup> In practice, the project was extended with 18 months because the final activities of the project took place in December 2022

<sup>58</sup> Andean forest, and two natural high Andean grasslands above the natural forest line (Puna -dry- and páramo -wet)

management? (c) what was the quality of the design of the monitoring plan as well as the funds allocated for its implementation.

*RQ. Monitoring of Project Implementation: was the M&E system operational and facilitated timely tracking of results and progress towards projects objectives throughout the project implementation period? Did this include monitoring the representation and participation of disaggregated groups? Were the results used to improve project performance and to adapt to changing needs?*

- *Strategic question: What was the performance at the Project's-completion against Core Indicator Targets?*

*RQ. Project reporting: were project implementation reviews, financial reports and tracking tools complete and accurate?*

**Finding 21. The Project is supported by a detailed and well-arranged monitoring and evaluation plan, including reporting requirements, risk monitoring and a dedicated budget. Indicators are well designed for project monitoring at the output level.**

**Finding 22. The Project's M&E system was operational and informed project management and technical reporting adequately. Progress reporting was done in a timely manner, through annual Project Implementation Reviews and trimestral financial reports. Tracking tools were reported in detail. Monitoring did not include social aspects and therefore, no gender or other inclusiveness indicators were included.**

95. The project design document included a detailed presentation of the Project's monitoring and evaluation (M&E) plan.<sup>59</sup> This included its budget, responsibilities, approach and activities to be implemented during project execution. The plan covered the monitoring planning, visits, stakeholder involvement, indicator and tracking tool monitoring, technical reporting, mid-term and final reviews. The total budget of all monitoring activities was 86.5 k\$ (1.4% of GEF budget) which did not include dedicated personnel but did include monitoring field visits, audits, evaluations and stakeholder meetings. The budget resulted too low and was enhanced to allow for the MTR and TR. The indicators used for monitoring are output level indicators in the results framework. These are detailed, comply with SMART standards and generally had good baseline and monitoring information. At this level, the results framework was a good tool for monitoring and planning. Minor weaknesses in project design and the results framework (¶155) were carried over into the M&E plan: the indicators used were only at output level and the joint achievement of outputs was reported as progress to the outcomes, without considering ToC principles of progress towards outcomes and objective. Also, the project document does not have a specific impact statement, but in its Objective Tree (Appendix 16 of Prodoc) presents the strategic objective as impact.

96. The project M&E plan was well implemented. There was no specific M&E officer but monitoring was the responsibility of the National Project Coordinator, who was in charge of the oversight, gathering of information and production of reports, in coordination with other PMU staff. The reviewer examined all periodic progress reports project implementation reviews (PIR) and found them complete, informative and timely. The PIR included informative narratives on project progress and fair and detailed reporting on indicators, risk rating and stakeholder engagement. In addition, the Project made progress presentations to the Steering Committee (SC) and the project Technical Committee (TC) meetings. Based on insights from project monitoring, the Project adjusted its workplan annually and presented this to SC and TC.

97. The PIR reported well how project monitoring informed adaptive management and changes were well reported to the IA and GEF. The Tracking Tools were reported at mid-term and at project closure, with an adequate level of detail, contributing significantly to the overall impact data of GEF focal area strategies. The Project had a fairly complete risk management analysis and monitoring plan<sup>60</sup> and a detailed

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<sup>59</sup> Prodoc, Section 6 and Appendix 7

<sup>60</sup> Prodoc, Section 3.5

assessment of social and environmental safeguards<sup>61</sup>. The risk management was adequately applied and reported upon in every PIR. The social and environmental safeguards were poorly reported upon: only in PIR after 2019 this category was included and these mostly repeated the safeguards as identified in the Prodoc, not explaining monitoring or its implementation.

98. As the Project was developed for the 5th replenishment period of GEF (GEF-5), there were no GEF core indicators targets defined at CEO endorsement. Based on the project reporting (final report), the only indicator that can be assessed is the Core Indicator 4: As a minimum estimate, the Project has managed to include 24,900 ha of landscapes under improved practices. This consists of 15,850 ha of forest under SFM practices (subindicator 4.1) and 9050 hectares for livestock management and water capture (subindicator 4.2). As a gross estimate, the project final report figure of 389,351 ha of land with SFM and SLM management plans executed can be used. Core indicator 11 (number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment) was not reported. In general, the Project did not include any quantitative result indicator on social aspects such as number of people benefitting or participating. Therefore, it also did not present data disaggregated for gender or marginalized groups. Upon request from the reviewer, the PMU estimated that a total of approx. 1700 persons benefitted directly from the Project by increased income, improved livelihoods or strengthened capacities (Component 1: 622; Component 2: 922; Component 3: 173) . Another 25,000 people benefitted from increased information (followers on Social Media)

99. The MTR was completed and many of its recommendations followed up and reported upon. Particularly, the recommendations on the extension of project implementation period, and improved communication were successfully implemented and resulted in improved project performance. Recommendations on improved interinstitutional coordination and project sustainability were applied but did not lead immediately to improved performance. Recommendations on gender and incentives for good practice were marginally implemented. The latter was included in the study on mainstreaming biodiversity in different sectors<sup>62</sup>, but this did not target financial incentives. The MTR was done late; according to the project planning it should have been done in 2019 (third year of project implementation) but it was done in the first semester of 2020. The present terminal review was done in December 2022, three months after formal project closure (September 2022) but still before administrative closure.

***The criterion “Monitoring and Reporting” is rated as “Satisfactory”.***

***1. Monitoring design and budgeting: Satisfactory***

***2. Monitoring of project implementation: Highly Satisfactory***

***3. Project reporting: Satisfactory***

## **H. SUSTAINABILITY AND REPLICATION**

*RQ. Socio-political sustainability: Are there any social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts?*

*RQ. Financial sustainability: to what extent are the continuation of project results and the eventual impact of the Project dependent on (continued) financial resources? What is the likelihood that adequate financial resources will be or will become available to continue implementation the programs, plans, agreements, monitoring systems etc. prepared and agreed upon under the Project?*

*RQ. Institutional sustainability: To what extent is the sustenance of the results and onward progress towards impact dependent on issues relating to institutional frameworks and governance? How*

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<sup>61</sup> PRodoc, Section 3.11 and Appendix 17 (UNEP/GEF environmental and social safeguards checklist)

<sup>62</sup> MMA - ONU Medio Ambiente. 2022. Informe final - Asesoría para la integración de la biodiversidad en sectores productivos y de servicios. Elaborado y financiado en el marco del proyecto GEFSEC ID 5135 Ministerio del Medio Ambiente - ONU Medio Ambiente. Santiago, Chile. 35 pp

*robust are the institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks, institutional ownership, etc. required to sustaining project results and to lead those to impact?*

**Finding 23. The social and political basis for conservation and inclusion of biodiversity and ecosystem services-consideration in landscape management has been increasing in the project area. This constitutes a good basis for sustaining project results and progress towards impacts.**

**Finding 24. The consolidation of many project results to create impact at scale is dependent on continued financial resources. While some good practices are financially profitable, others need enhanced financial incentives. There are public and private institutions committed to providing continued technical support and monitoring, but ongoing funding is needed, particularly for municipality agencies with few staff members or for work by NGOs and academia. Part of these funds can be provided by public agencies but the financial mechanisms are not consolidated to ensure sustainability.**

**Finding 25. The institutional sustainability at the municipal level has been strengthened and constitutes a positive enabling environment for sustenance of the results. At the regional and national level, the coordination and collaboration networks are not optimal but there is good enough interest and commitment to support the onward progress towards impact at scale. The eventual approval of the Biodiversity and Protected Areas Service law will be positive in clarifying and consolidating the institutional responsibilities for environmental management.**

**Finding 26. The Project has not developed a comprehensive sustainability strategy. Project closure activities, targeting transfer of activities, assets, information and outputs, have been undertaken. Also, specific sustainability support has been executed. This has helped to sustain several project results.**

100. The reviewer perceived a positive attitude of the society in the Mediterranean area of Chile towards environmental sustainability. Studies have shown that there is an increase in environmental awareness in Chile in general<sup>63</sup>. Traditionally, the society in the Metropolitan region of Chile was urban-focused and less aware of the rural areas. Due to an increase in socio-economic standing, this focus started to be directed to the rural area for recreation and leisure (mountaineering, winter sports, hiking, camping) and amenity migration (rural housing, recreation housing, hobby farming). While these developments are not necessarily fully positive, they clearly indicate an increased interest and connection to the rural areas. Also, since the 1990s, the area of private reserves increased significantly. Many institutions and civil society groups engaged with the Project. The high level of engagement, including with co-financing, of municipalities, NGOs, private sector and academia in the project area reflects this. Being in a country with a high human development index, these positive changes are likely to remain, which creates an enabling environment for sustention of project results and progress towards impacts.

101. The Project ends with many concluded activities that generated a series of outcomes of different kinds: biodiversity inventories, training, pilots of good land use and SFM practice, landscape planning, ordinances, studies and strategies. Most are well delivered but still incipient and need consolidation in time and replication to be applied at scale. While human capacity is created and willingness to bring results to scale seems ensured, financial resources are still needed. Only some productive activities are financially sustainable, such as the livestock management and beekeeping; especially because the producers have a main off-farm income source. The SFM of sclerophyll forest has proven not to be profitable on its own: the income from the harvested timber is not enough to cover the costs of management. This needs additional funding, from other financial incentives such as the forest carbon market. Even though the Project has executed a specific study for this financial sustainability<sup>64</sup>, these funds or not yet available, which limits

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<sup>63</sup> <https://radio.uchile.cl/2018/02/20/estudio-revela-que-chilenos-son-cada-vez-mas-conscientes-del-cambio-climatico/>

<sup>64</sup> MMA - ONU Medio Ambiente. 2021. Informe Final. Plan de Financiamiento para habilitar la Ordenación Forestal en el marco del Acuerdo de Producción Limpia (APL) de propietarios de Bosque Nativo de la Región de Valparaíso. Estudio encargado a EBP Chile. Financiado en el marco del proyecto GEFSEC ID 5135 MMA - ONU Medio Ambiente. Santiago, Chile. 132p

upscaling of the practice. Also, consolidating other results requires technical support and continued capacity building. The Project has engaged with different financial mechanisms to mobilize this kind of funding and while successful in some cases, they are not strengthened enough to be considered as financially sustainable. Therefore, while public agencies are willing to collaborate, their funding is limited, especially in municipalities such as San José de Maipo with a very large area and low population.

102. This developing awareness of society is reflected by public institutions at local level that -with the help of GEF Montaña- have changed their rural policies, created units for biodiversity conservation and applied a suite of good practice. They engaged strongly, installed capacities and showed a high level of commitment and ownership, which created a good institutional sustainability for the project results and opportunities to create impact (provided the availability of financial resources ¶101). Although there has been less alignment and coordination with national level public agencies, the reviewer confirmed the high relevance of the project for national priorities (¶50, 51) and interest of all agencies to collaborate. Therefore, overall institutional sustainability is likely. However, inefficiencies in terms of coordination among national agencies in this project were caused by a scattered division of responsibilities in the area of biodiversity. It is likely that these will remain so long as the Biodiversity and Protected Areas Service Law is not approved and applied.

103. The Project has not developed a specific comprehensive sustainability plan or exit strategy, to plan the consolidation of results and enhance impact. Nevertheless, after the related recommendation in the MTR, the Project did implement a series of activities that can be considered part of such a plan. This includes the development of activities that ensure hand over of different assets (databases, information, pilot sites) to public agencies, universities and land owners. The agreement of interoperability with SIMBIO is a good example of this. Also, the training activities, including the broad collection of available tools and guidelines and the public outreach and communication campaign targeted the strengthening of the enabling social, political and institutional environment. Finally, some specific studies were executed to assess sustainability, such as the financing needs for SFM (¶101) and the mainstreaming Program for the MMA (¶73)<sup>65</sup>. While these studies provide important tools for mainstreaming, they are not yet implemented.

***The criterion "Sustainability" is rated as "Likely".***

***1. Socio-political sustainability: Likely***

***2. Financial sustainability: Moderately Likely***

***3. Institutional sustainability: Likely***

## ***I. FACTORS AFFECTING PERFORMANCE***

### ***i. Preparation and Readiness***

***RQ. Was the Project ready for implementation reasonably soon after project approval? Were appropriate measures taken to either address weaknesses in the Project design or respond to changes that took place between project approval, the securing of funds and project mobilization?<sup>66</sup>***

***The criterion "Preparation and Readiness" is rated as "Moderately satisfactory".***

### ***ii. Quality of Project Management and Supervision***

***RQ. Was the project management (project manager, component managers, local coordinators) adequate, effective and efficient? (skills, leadership, coordination, adaptive capacity, partnerships)?***

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<sup>65</sup> MMA - ONU Medio Ambiente. 2022. Informe final - Asesoría para la integración de la biodiversidad en sectores productivos y de servicios.

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<sup>66</sup> This review question was responded in the criterion "efficiency"



RQ. What were the strengths in guidance and backstopping from UN Environment and what were the limiting factors?

**Finding 27. The Project was managed professionally with high quality, committed staff. Team work was commended. During project implementation, there were some changes in PMU based on a transparent and fair performance evaluation.**

**Finding 28. The project governance was limited to a Steering Committee that was small and limited to UNEP and MMA staff. The SC met irregularly but nevertheless was effective in taking adequate decisions for the Project. Other project partners were included in a Technical Committee which was considered for information rather than decision making.**

**Finding 29. UN Environment backstopping was effective and welcomed by the project team and partner agencies. The support was provided almost completely by the task manager.**

104. The PMU consisted of a group of qualified professionals. Several members had a long history in the MMA with 10-15 years adequate experience in similar initiatives. Additional staff that were not recruited from MMA also had highly relevant experience. All thematic area leaders are renowned at the national level for their relevant expertise. The PMU members highlighted the good coordination within the team, with the NPC overseeing general activities and interinstitutional relationships, as well as monitoring, reporting and administration while giving important autonomy and responsibility to thematic area leaders. Because thematic areas contributed jointly to the different components (¶158) project performance depended on collaboration within the PMU and herewith, the team was well consolidated. The good team work was evidenced by the fact that most staff continued working during the entire project.

105. Two senior members of the PMU (among which the national programme coordinator) have been closely related to the Project since its conception and design and continue to be deeply involved to date. Based on this, the MTR presented the lesson "*The continuity of people who were linked to the design of the Project during its implementation, is an advantage for its integral understanding and ownership, in addition to a practice that largely ensures greater programmatic coherence and a management oriented to effects and results*". Others, including two of the three thematic area leaders, have been in this position during the entire project execution which ensured continuity of activities and knowledge management. At the same time, three PMU members have been dismissed during project implementation; this included responsible staff for the thematic area SFM/SLM and communications. This process was managed by transparent and fair performance evaluation. However, the separation of the SFM/SLM thematic leader in 2019 affected the relationship with one of the agencies of MINAGRI, because this person was a long-standing staff member of that agency and maintained close contact with his (former) colleagues.

106. The project governance consisted of a small Steering Committee consisting of the UNEP (Task Manager) and the MMA (Project Director, technical supervisor, NPC). Normally, the SC met once per year in November or December. Consulted meeting minutes showed that in each meeting, SC received an update on project achievement and management by the NPC, discussed and approved major decisions related to project management and evaluated and approved work plans and reports. Interviewed SC members highlighted the efficient meetings and consensus in decision making. They reported that decisions were followed up swiftly by project management. SC members judged that the efficient decision-making was facilitated by the fact there were only two agencies present.

107. The composition of the SC was not in line with project design, where an SC was foreseen with the participation of partner agencies<sup>67</sup>. Instead, a Consultative Technical Committee was established, open to all project partners.<sup>68</sup> This committee also met once per year, normally just before the SC meeting and its

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<sup>67</sup> Prodoc, Appendix 10: The project steering committee will be presided over by the Environment Ministry and will be made up of representatives of UNEP, Santiago Metropolitan and Valparaíso Regional Governments; representatives of the Rural Municipalities Associations (AMUR) and the Cordillera Park; one representative of the SAG; one representative of CONAF; one representative of the MINAGRI; one representative of the MR SEREMI MMA and one of the Valparaíso SEREMI MMA; one representative of TNC; one CCP representative; one representative of the Executing Agency; one representative of the MMA's Education, Citizen Participation and Local Environment Management Division.

<sup>68</sup> See minutes of first SC meeting; 27 July 2016

participation grew from 25 in 2017 to over 50 in 2020 and 2021. These meetings were meant to inform partner agencies and to agree on the next year's work plan. The reviewer considers this as a good tool to inform the large group of project stakeholders and achieve full transparency. At the same time, it is also understandable that some agencies consider these meetings as only informative and therefore, they feel they are not included in decision making, which is limited to the two project partners.

108. UN Environment support was limited to support by the GEF task manager and administrative staff at the Regional Office for Latin America and the Caribbean in Panama. The collaboration with the Panama team has been considered optimal from all sides. The PMU and CONDESAN/Sendero de Chile management considered the collaboration both at technical and administrative level as fluent and effective. Although the Task Manager on average visited the countries only once per year (coinciding with the steering committee), PMU staff highlighted their constant availability for calls or email communication. Administrative staff of PMU and the financial management agencies (CONDESAN and Sendero de Chile) considered UN Environment's administrative support as efficient and highly helpful; it was an effective bridge to both GEF and UN Environment in Nairobi and MMA, PMU or CONDESAN/Sendero de Chile never had to interact with those (higher level) administrative bodies. SC members also considered UN Environment's Task Manager's contribution to SC as strategically constructive and innovative, contributing with ideas additional to the MMA's ideas. The reviewer did not observe many incentives for internal collaboration in UN Environment beyond set institutional tasks nor collaboration with other UNEP programs or activities.

***The criterion "Quality of Project Management and Supervision" is rated as "Satisfactory".***

### *iii. Stakeholders' Participation and Cooperation*

*RQ. What was the achieved degree and effectiveness of collaboration and interactions between the various project partners and stakeholders during design and implementation of the Project?*

*RQ. How did the relationship between the Project and the collaborating partners (institutions and individual experts) and third parties develop?*

- *Strategic question: What were the progress, challenges and outcomes regarding engagement of stakeholders in the project/program as evolved from the time of the MTR?*

**Finding 30. Stakeholder participation at the local level (municipalities) and partners in execution (NGOs, academia, service providers) was good and strengthened during project execution. Participation and cooperation with national level partners was a challenge from design and remained during implementation. Third parties (project beneficiaries) were progressively included in project implementation and their engagement increased through transparent information provision and effective benefit generation.**

109. Overall, stakeholder participation at the local level was high, contributed strongly to good project outcomes and early impact (¶64, 69, 76). The key role of municipality participation in project implementation is the driver for country driven-ness. The participation of local governments and other partners in execution, such as NGOs, service providers and academia strengthened during implementation, which was evidenced by the progressive delivery of commitment letters (¶86).

110. The participation of government agencies at the higher level (regions and nation) was suboptimal. Even though the collaboration of the relevant national government agencies, both from the MMA and MINAGRI was positive and well evaluated during project design (¶59) this was more erratic during project implementation. The participation of different MMA divisions in the involvement was good but, as most involved persons mention, not ideal. This was mostly a matter of the limited project implementation capacity of the MMA: without the SBAP in place, MMA has no executive service such as MINAGRI. Therefore, the capacity to manage a project is being mobilized and the PMU is working separately from other MMA staff. Also, changes in government administration affected ownership of national-level agencies (¶60).

111. The challenges for coordination and collaboration identified by the MTR remained during the rest of the Project. Interviewed stakeholders at regional level (SEREMI) perceived that they were not included well enough in the planning of the actual project activities and were not given access to the project data (e.g. biodiversity information). This was already noted early in the Project; the 2018 SC minutes mention: "... *the insufficient integration of project models and actions in both SEREMI's and in the Department of Planning and Biodiversity Policies of the Division. The future of the products achieved is worrisome ...*".

112. The reason for the imperfect alignment and collaboration of the Project with other agencies is the lack of coordination at the institutional level in project governance (¶106) and in implementation (MTR concludes "*a weakening of communication and articulation with stakeholders*"). The reviewer notes that the Project has done efforts to improve coordination within MMA and with MINAGRI agencies such as formal bilateral meetings to renew collaboration commitments, a planning of joint activities MINAGRI-MMA-GEF Montaña (presented at the November 2019 technical committee meeting) and a strongly improved communication strategy. While this resulted in some clear results, such as the positive work with CONAF in Valparaiso (¶170), the perception of difficult coordination remained.<sup>69</sup> Another reason for suboptimal alignment and collaboration is because of the dispersed responsibility of biodiversity management among Chilean institutions (¶154).

113. The reviewer noted that this was in part a matter of perception, because even though they did not participate in the project steering committee, they have been involved in technical committees and all information has been made publicly available. The reason for this perception of poor involvement can be explained by a suboptimal direct communication (as noted by MTR) or lack of alignment because of unclear or overlapping responsibilities between agencies (¶154) or even personal issues (separation of a PMU staff who was close to one of the agencies; ¶105)

***The criterion "Stakeholder' Participation and Cooperation" is rated as "Moderately Satisfactory".***

*iv. Responsiveness to Human Rights and Gender*

*EQ. Did the intervention activities aim to promote (and did they promote) positive sustainable changes in attitudes, behaviors and power relations between the different stakeholders?*

*EQ. How was the gender mainstreaming approach applied in the execution of the Project and are there concrete examples gender transformative results?*

- *Strategic question: What were the completed gender-responsive measures and, if applicable, actual gender result areas?*

**Finding 31. The Project did not have a clear gender strategy, expertise, objectives or monitoring. In practice, they did involve and empower women and youth.**

114. Gender mainstreaming was a weak point of the Project. In project design there is hardly any mention of gender aspects or challenges. According to the Prodoc, there were plans to support specific financial mechanisms that are used mostly by women and data on participation in project activities would be disaggregated. The Project lacked a specific aim or strategy to promote positive changes in attitudes, behaviors and power relations between the different stakeholders, disaggregated by gender, age or race. It did not have specific gender expertise, nor social indicators and hardly collected gender disaggregated data. Country ownership was not promoted on the basis of differentiated needs and interests among gender or marginalized groups. The lack of a gender vision and strategy was already mentioned in the criterion 'assessment of monitoring and evaluation' (¶198) and in the MTR report. The MTR included recommendations to the PMU to consider technical support in gender and to include elements of gender mainstreaming in outputs, but this has not been followed up.

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<sup>69</sup> See eg. PIR2022, section 2.5 (stakeholder engagement)

115. At the same time, the Project did consider gender aspects, involved women throughout in implementation and benefitted women specifically. Also, youth groups were supported in several municipalities, including them in activities such as *RENAMU* management and biodiversity monitoring. The PIR mentions consistently that the majority of the people involved in the Project (PMU, partner organizations, services providers and beneficiaries) are women. PIR reports that this can be corroborated in a quantitative manner by looking at any report, contract or list of participants, being more than 53% women. The reviewer confirmed this, noting a strong level of participation at all levels in the MMA, other participating public agencies, PMU and service providers. At the beneficiary level, most persons benefitting from the visited sustainable agricultural practices (livestock and apiculture) were women. The Project contributed to the empowerment of these women because their existing knowledge was considered and they profited economically and socially through positions in producer organizations.

***The criterion "Responsiveness to Human Rights and Gender" is rated as "Moderately satisfactory."***

*v. Environmental and Social Safeguards*<sup>70</sup>

*RQ: Were UNEP requirements met to: review risk ratings on a regular basis; monitor project implementation for possible safeguard issues; respond (where relevant) to safeguard issues through risk avoidance, minimization, mitigation or offsetting and report on the implementation of safeguard management measures taken?*

***The criterion "Environmental and Social Safeguards" is rated as "Moderately satisfactory."***

*v. Country ownership and driven-ness*<sup>71</sup>

*RQ. In how far have the national partners assumed responsibility for the Project and provided adequate support to project execution, including the degree of cooperation received from the various public institutions involved in the Project?*

*RQ. How and how well did the Project stimulate country ownership of project outputs and outcomes? Is this different by gendered and marginalized groups?*

***The criterion "Country Ownership and Driven-ness" is rated as "Moderately satisfactory."***

## **VI. CONCLUSIONS AND RECOMMENDATIONS**

### **A. CONCLUSIONS**

116. The reviewer concludes that the overall project performance is rated as "Satisfactory". In spite of some weaknesses, the Project was conceptually and strategically well designed. The Project goal and strategies were highly relevant for the participating agencies at the national and subnational level as well as for the donor agencies and the global debate on biodiversity, land degradation and forest management. The approach of the Project (mainstreaming biodiversity in local environmental management, informed by biodiversity and ecosystem services identification and monitoring) was innovative and ensured good participation and appropriation from local stakeholders. Important outcomes were achieved in terms of local environmental planning, support to environmental policies, monitoring systems, pilots for SFM and SLM, and the implementation of a conservation district. The outcomes led to initial positive impact on biodiversity conservation, improved soil management and generation of environmental services. While this is still at the pilot/local level, there is an enabling environment for replication and scaling.

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<sup>70</sup> The response to this question is included in the criterion "Monitoring and Evaluation"

<sup>71</sup> The response to this question is included in the criterion "stakeholder's participation and cooperation"

117. Project execution was efficient although there were delays in activities due to the external context. This led to a project extension, which actually helped to consolidate project outcomes. The Project was well-managed by a highly professional project team, achieving more outputs than foreseen, even though some outputs were different than expected. The strong participation of local-level agencies and the high-quality technical products were key factors for the success of the Project. The Project had continued challenges to align with and ensure optimal engagement of national level stakeholders, both in MMA and MINAGRI. In spite of this, many outputs were achieved jointly and national agencies are committed to the project's legacy. Therefore, the sustainability of the project's results is rated as "Likely", even though the financial sustainability is only moderately likely because the targeted financial mechanisms were not strengthened to the level expected. Monitoring and reporting was done well, although the Project underachieved in monitoring social aspects. The Project benefitted many different stakeholder groups and included women and youth but this was not measured, well informed or reported upon.

118. Based on the findings of the Project, the reviewer draws the following specific conclusions:

- **Conclusion 1:** The GEF Montaña project was highly relevant to the priorities of the stakeholders at the global, national and local level. It was consistent with the plans and strategies of GEF, UN Environment, national and local government agencies and complementary to ongoing initiatives (finding 1, 2).
- **Conclusion 2:** In spite of some minor weaknesses, the GEF Montaña project was well designed and relevant stakeholders were well involved in the design process. The Project did not have indicators for social benefits (findings 4, 22).
- **Conclusion 3:** Because the Project had a total lifespan of ten years, from the development of PIF to completion, there were several changes in the institutional context with changes in national and local government administration. These were mitigated by direct engagement with incoming authorities. While this worked out in increased engagement with local governments, continued collaboration with national and regional agencies was a challenge (finding 5).
- **Conclusion 4:** The Project satisfactorily generated a large number of diverse outputs, to a higher degree than planned. Some of the outputs were generated differently as planned, which was a result of adequate adaptive management. These outputs contributed similarly to the outcomes. The continued and constrictive collaboration with local governments and the involvement of a large number of other stakeholders (academia, service providers, beneficiaries) was a key factor for the generation of quality outputs. A well implemented communication strategy not only dissemination outputs to a wide audience but also helped to increase capacities of project beneficiaries (findings 7, 8).
- **Conclusion 5:** The Project effectively achieved the expected outcomes. This was done based on the generation of outputs of good quality, adequate adaptive management and continued collaboration and interest of particularly local stakeholders. The Project managed to:
  - Improve local environmental management in a large number of municipalities in the Mediterranean region of Chile, with increased capacities, legislation and land planning supported by high quality information on biodiversity and ecosystem services (finding 9)
  - Establish a regional-level biodiversity monitoring system connected to local environmental management and together with another GEF project, strengthen a national biodiversity management monitoring system (finding 10)
  - Successfully implement pilots for sustainable agricultural production, SFM, SLM, restoration and conservation. While these pilots are consolidated and their stakeholders well trained, they remain at the local level because the financial mechanisms are not yet strong enough for scaling (finding 10, 11)
  - Establish a Conservation District in San José de Maipo, based on a highly participatory process. It was not created with the expected legal status, but the Project managed a cooperation agreement with local authorities and MINAGRI agencies to ensure

implementation. This is now underway mostly through sustainable livestock management in the high country (finding 10)

- **Conclusion 6:** The Project generated positive impacts at local level in terms of the conservation of biodiversity and ecosystem services. It directly supported the establishment of 1800 ha of municipal-level nature reserves, the sustainable management of 15850 ha of forest, the restoration of 174 ha of burned forest and the sustainable management of 9000 ha of high country with livestock. In addition, almost 400,000 ha have sustainable land and forest management plans, benefitting the entire population of the project area directly or indirectly. While not part of its objectives, the Project had a concrete impact on climate change mitigation and adaptation (findings 12, 13, 15).
- **Conclusion 7:** The financial resources of the project were managed in a timely, correct and transparent manner, both by the Executing Agency and the fund administration agencies (finding 16).
- **Conclusion 8:** The Project mobilized 60% more co-financing than planned, mostly through including many more project partners who all committed funding. The administration of co-financing was informal; the amounts and their contribution to project outcomes cannot be verified (finding 17).
- **Conclusion 9:** The Project was managed efficiently with good use of time and financial resources. There were major delays in activities at project inception and later, due to the civil unrest and the Covid pandemic. This was absorbed by the Project through adequate adaptive management. A one-year project extension was awarded which contributed to good project performance and the consolidation of results (findings 6, 19, 20).
- **Conclusion 10:** The Project applied close monitoring of its activities and achievements, which was used to inform adaptive management and reporting. Weaknesses in the design of the monitoring and evaluation system were mostly corrected during implementation. Both financial and progress reporting was timely and complete (finding 21, 22).
- **Conclusion 11:** There is a positive enabling environment for the consolidation of project results and future impact generation because of increased social awareness, committed local institutions and adequate environmental land planning in most of the project area. Even though financial sustainability is not ensured, there is enough institutional interest and capacity. The approval of the Biodiversity and Protected Areas Service law is required to remove important barriers to long term impact and overall effective environmental management (findings 23, 24, 25, 26).
- **Conclusion 12:** The Project was well executed by a well-managed team of qualified and experienced professionals. It was adequately supervised by a lean steering committee and efficient backstopping by UN Environment (finding 27, 28, 29).
- **Conclusion 13:** The Steering Committee did not include project partners because the latter were informed annually through Consultative Technical Committee meetings. Therefore, some government agencies considered they were not included in project governance (finding 28).
- **Conclusion 14:** The Project managed to include local project partner agencies and beneficiaries (municipalities, NGOs, academia, producers, land owners) effectively with project activities, which was key to generating results, creating ownership and providing institutional sustainability. Although the participation of national and regional level public agencies has been continuous during the Project and important joint activities have been implemented, their engagement has been a challenge for the Project (findings 8, 13, 14, 18, 30).
- **Conclusion 15.** The Project did not apply a proactive gender approach in its planning and execution: it did not target or monitor empowerment or impact (positive or negative) on women, youth, elder, ethnic and/or marginalized groups. Nonetheless, it did have positive gender outcomes (finding 31).

## B. SUMMARY OF PROJECT FINDINGS AND RATINGS

The table below provides a summary of the ratings and finding discussed in Chapter **Error! Reference source not found.** Overall, the project demonstrates a rating of Satisfactory.

### UNEP Evaluation Office Validation of Performance Ratings:

The UNEP Evaluation Office formally quality assesses (see Annex 12) management led Terminal Review reports and validates the performance ratings therein by ensuring that the performance judgments made are consistent with evidence presented in the Review report and in-line with the performance standards set out for independent evaluations.

The Evaluation Office assesses a Terminal Review report in the same way as it assesses the initial draft of a Terminal Evaluation report. It applies the following assumptions in its validation process:

- That what is being assessed is the contents of the report and the extent to which it makes a consistent and justifiable case for the performance ratings it records.
- That the consultant has, within the report, presented all the evidence that was made available to them.
- That the project team and key stakeholders have already reviewed a draft version of the report and provided substantive comments and made factual corrections to the Review Consultant, who has responded to them. The Evaluation Office assumes, therefore, that it has received the Final (revised) version of the report.

In this instance the Evaluation Office finds that the Review Report was rated as 'Satisfactory' for quality and validates the overall project performance with a **Satisfactory** rating.

**Table 7: Summary of project findings and ratings**

Criterion	Summary assessment	Rating	Justification for any ratings' changes due to validation (to be completed by the UNEP Evaluation Office – EOU)	EOU Validated Rating
<b>Strategic Relevance</b>		Highly Satisfactory	Rating Validated	Highly Satisfactory
1. Alignment to UNEP MTS, POW and strategic priorities	Full alignment with several objectives and expected achievements of subsequent POW	Highly Satisfactory	Rating Validated	Highly Satisfactory
2. Alignment to Donor/Partner strategic priorities	The project objectives and strategies are aligned with policies and plans of UN Environment and GEF, including GEF-5 focal areas of biodiversity, land degradation and sustainable forest management.	Highly Satisfactory	Rating Validated	Highly Satisfactory
3. Relevance to global, regional, sub-regional and national environmental priorities	the design and actions of the Project are consistent with the priorities of the Chilean State in terms of local environmental management, protection and monitoring of biodiversity and sustainable management of land use. The Project design also considered aspects contained in current legislation and existing public policies, as well as in sectoral and intersectoral plans and strategies.	Highly Satisfactory	Rating Validated	Highly Satisfactory
4. Complementarity with relevant existing interventions/coherence	The Project tried to align with different previous and existing initiatives of project partners. This was successful in some cases, particularly at the level of GEF projects implemented by the MMA, but less so with others	Moderately Satisfactory	Rating Validated	Moderately Satisfactory
<b>Quality of Project Design</b>	The Project was well designed with a good vertical and horizontal logic, SMART indicators and M&E plan, inclusion of stakeholders and consideration of social and environmental impacts for project beneficiaries. The indicators were only presented at the output level, which were aggregated at the outcome and objective levels. Some outputs did not fully reflect the activities to generate these	<b>Satisfactory</b>	Rating Validated	<b>Satisfactory</b>
<b>Nature of External Context</b>	Administration changes in government agencies at all levels constitute an external factor that influenced project implementation. Major contextual events were the civil unrest in 2019, almost immediately followed by the COVID-19 pandemic outbreak. These caused major operational challenges for the Project and resulted in activity delays for which a project extension was awarded	<b>Moderately Favourable</b>	Rating Validated	<b>Moderately Favourable</b>



Criterion	Summary assessment	Rating	Justification for any ratings' changes due to validation (to be completed by the UNEP Evaluation Office – EOU)	EOU Validated Rating
<b>Effectiveness</b>		<b>Satisfactory</b>	Rating Validated	<b>Satisfactory</b>
1. Availability of outputs	The Project achieved the vast majority of its planned products, both in quantity and quality. A few outputs surpassed the target value for its indicator. A few outputs were achieved differently than planned because the activities of the Project were adapted to changes in the context.	Satisfactory	Rating Validated	Satisfactory
2. Achievement of project outcomes	Expected Outcome 1 was successfully generated. Outcome 2 satisfactorily generated, but not yet brought to scale. Outcome 3 has also been satisfactorily generated, although the actual implementation is a work in progress.	Satisfactory	Rating Validated	Satisfactory
3. Likelihood of impact	The Project contributed significantly to its strategic objective and the consolidation of several initiatives at the local level and pilot scale is ensured. Herewith, the Project achieved concrete protection of biodiversity and ecosystem services in part of the Biological Mountain Corridors.	Likely	The report documents evidence of effects at outcome level. However, the discussion of Intermediate States / causal pathways is not explicit and effects are largely at pilot level wider effects depend on a key driver of secured finance and future additional efforts which remain uncertain.	Moderately Likely
<b>Financial Management</b>		<b>Satisfactory</b>	Rating Validated	<b>Satisfactory</b>
1. Adherence to UNEP's financial policies and procedures	The financial management followed financial and operational standards of UN Environment, as evidenced by audits	Satisfactory	Rating Validated	Satisfactory
2. Completeness of project financial information	The financial management (expenditures, reporting) was conducted according to planning. Confinancing reporting was detailed, but not fully sustained by letters	Satisfactory	This review criterion is rated as Moderately Satisfactory in the report narrative (page 50). Rating adjusted to Moderately Satisfactory.	Moderately Satisfactory
3. Communication between finance and project management staff	Financial reporting was correct, timely and transparent. Project staff had continuous access to financial information	Highly Satisfactory	Rating Validated	Highly Satisfactory

Criterion	Summary assessment	Rating	Justification for any ratings' changes due to validation (to be completed by the UNEP Evaluation Office – EOU)	EOU Validated Rating
<b>Efficiency</b>	The project collaborated effectively with initiatives of local institutions, academia and NGOs. The Project had a serious delay in its implementation, caused by its initial implementation modality, civil unrest and the covid pandemic. It had to adapt to several governmental changes and contextual factors but management adapted adequately to these changes	<b>Satisfactory</b>	Rating Validated	<b>Satisfactory</b>
<b>Monitoring and Reporting</b>		<b>Satisfactory</b>	Rating Validated	<b>Satisfactory</b>
1. Monitoring design and budgeting	The Project was supported by a detailed and well-arranged monitoring and evaluation plan, including reporting requirements, risk monitoring and a dedicated budget. Indicators are well designed for project monitoring at the output level (not at outcome or objective level)	Satisfactory	The monitoring system lacked indicators at outcome level which affected quality of information generated. No qualitative result indicators on people benefitting nor gender disaggregated indicators Para. 96 states that the monitoring budget did not include dedicated personnel.	Moderately Satisfactory
2. Monitoring of project implementation	The Project's M&E system was operational and informed project management and technical reporting adequately. Results from monitoring informed adaptive management.	Highly Satisfactory	The reviewer states that "Monitoring did not include social aspects and therefore, no gender or other inclusiveness indicators were included". Since data collected was not disaggregated by vulnerable/marginalized groups, including gender, this criterion is adjusted Satisfactory.	Satisfactory
3. Project reporting	Progress reporting was done in a timely manner, through annual Project Implementation Reviews and trimestral financial reports. Tracking tools were reported in detail. Monitoring did not include social aspects and therefore, no gender or other inclusiveness indicators were included.	Satisfactory	Rating Validated	Satisfactory
<b>Sustainability</b>		<b>Likely</b>	Rating is always lowest of sub-criteria (limiting factors).	<b>Moderately Likely</b>

Criterion	Summary assessment	Rating	Justification for any ratings' changes due to validation (to be completed by the UNEP Evaluation Office – EOU)	EOU Validated Rating
1. Socio-political sustainability	The social and political basis for conservation and inclusion of biodiversity and ecosystem services-consideration in landscape management has been increasing in the project area. This constitutes a good basis for sustaining project results and progress towards impacts	Likely	Rating Validated	Likely
2. Financial sustainability	While some good practices are financially profitable, others need enhanced financial incentives. There are public and private institutions committed to providing continued technical support and monitoring, but ongoing funding is needed, particularly for municipality agencies with few staff members or for work by NGOs and academia	Moderately Likely	Rating Validated. Whilst some benefits are likely to be sustained without additional finance most depend on securing financial resources. The securing of such resources remains uncertain.	Moderately Likely
3. Institutional sustainability	The institutional sustainability at the municipal level has been strengthened and constitutes a positive enabling environment for sustenance of the results. At the regional and national level, the coordination and collaboration networks are not optimal but there is good enough interest and commitment to support the onward progress towards impact at scale	Likely	A specific comprehensive sustainability plan or exit strategy has not been developed. However, the report mentions a series of activities that would form part of one.	Moderately Likely
<b>Factors Affecting Performance</b>		<b>Moderately Satisfactory</b>	The average rating across these sub-criteria results in a satisfactory rating	<b>Satisfactory</b>
1. Preparation and readiness	Project preparation took several years. Even after CEO endorsement, the project could not be implemented immediately because of missing implementation arrangements	Moderately Satisfactory	According to the criteria descriptions matrix this would be a U rating due to the length delay in inception. However, there seems to have been a change to the planned institutional arrangements set out in the prodoc during the inception period. Whilst this took some time it is indication of adaptive management efforts to prepare the project for implementation.	Moderately Unsatisfactory

Criterion	Summary assessment	Rating	Justification for any ratings' changes due to validation (to be completed by the UNEP Evaluation Office – EOU)	EOU Validated Rating
2. Quality of project management and supervision	The project was managed well in spite of the challenges related to the COVID pandemic. Supervision was satisfactory. SC was small and effective, but only consisted of MMA and UNEP. Other partners and beneficiaries participated in technical committee.	Satisfactory	Rating across the two sub-criteria leads to a Highly Satisfactory rating.	Highly Satisfactory
2.1 UNEP/Implementing Agency:	UN Environment support was limited to support by the GEF task manager and administrative staff at ROLAC in Panama. The collaboration with the UNEP team has been considered optimal from all sides. The PMU and financial management agencies considered the collaboration both at technical and administrative level as fluent and effective.	Highly satisfactory	Rating Validated	Highly Satisfactory
2.2 Partners/Executing Agency:	The Project was managed professionally with high quality, committed staff. Team work was commended. Some changes in project staff based on a transparent and fair performance evaluation.	Satisfactory	Rating Validated	Satisfactory
3. Stakeholders' participation and cooperation	Stakeholder participation at the local level and partners in execution was good and strengthened during project execution. Participation and cooperation with national level partners was a challenge from design and remained during implementation. Project beneficiaries were progressively included in project implementation	Moderately Satisfactory	Rating Validated	Moderately Satisfactory
4. Responsiveness to human rights and gender equality	The Project did not have a clear gender strategy, expertise, objectives or monitoring. In practice, they did involve and empower women and youth	Moderately Satisfactory	The MTR recommendation to consider technical support in gender and include elements of gender mainstreaming in outputs was not followed up. Ownership aiming at marginalized groups was not promoted. Based on the UNEP Gender marker, it appears that the project was gender blind: "Gender relevance is evident but not at all reflected in the project document".	Unsatisfactory

<b>Criterion</b>	<b>Summary assessment</b>	<b>Rating</b>	<b>Justification for any ratings' changes due to validation (to be completed by the UNEP Evaluation Office – EOU)</b>	<b>EOU Validated Rating</b>
5. Environmental and social safeguards	Social and environmental safeguards were considered at design but poorly monitored and reported upon. Few social benefits or possible impacts were planned or monitored.	Moderately Satisfactory	Environmental footprint not addressed. Para. 98 states that "social and environmental safeguards were poorly reported upon: only in PIR after 2019 this category was included and these mostly repeated the safeguards as identified in the Prodoc, not explaining monitoring or its implementation."	Moderately Unsatisfactory
6. Country ownership and driven-ness	The project responded to national and local needs and achieved a more than expected participation and consolidation with local governments. National and regional agencies' ownership was less but still enough commitment was shown.	Satisfactory	Rating Validated	Satisfactory
7. Communication and public awareness	Assessed as part of output 2.4 and rated as "indicator targets reached" (Table 4)	Satisfactory	Rating Validated	Satisfactory
<b>Overall Project Performance Rating</b>		<b>Satisfactory</b>	<b>Rating Validated</b>	<b>Satisfactory</b>

### C. LESSONS LEARNED<sup>72</sup>

119. Observing the project experiences, good practices and successes which could be replicated in similar contexts, the reviewer identified the following lessons:

- i. *Different SMART indicators are needed along the project impact pathway (output, outcome and impact).* The present project was designed with good quality indicators at the output level, with adequate quantitative, measurable information that had concrete baselines and protocols to measure. At the same time, the Project used the accumulated output indicators at an aggregate level to indicate achievement of outcomes and the project objective. Therefore, the project design did not foresee the provision of additional information to measure outcomes and impacts so that the achievement of these could not be assessed to the same level of objectiveness as the outputs (finding 4, conclusions 2, 6).
- ii. *Including indicators for social outcomes is key to monitor and report on all benefits and impact of in an environmental management project.* Even though the Project is fully focused on environmental impacts, it generates many benefits for people, both directly and indirectly. The project results framework included a list of indicators for project performance and results, all expressed at the level of number of municipalities, activities or hectares that were positively affected. However, it did not include indicators on the number of people (disaggregated by region, gender, type of benefit, etc.) that benefitted from the project activities or results. Therefore, it missed the opportunity to show and communicate an important portion of its positive impact (findings 4, 12, 22; conclusion 6).
- iii. *Without a clear application of a gender approach, opportunities are missed to strategically plan and monitor the participation and empowerment of women, youth and disadvantaged groups. At the same time, this does not mean that positive change cannot be generated.* The Project did not have a clear gender strategy, plan or indicators. Its reporting on gender achievements was marginal. Therefore, it was not clear what and how the Project targeted gender inclusion, differentiating stakeholder groups (by gender, age, ethnicity or disabilities) and its positive results were not clearly identified or communicated. In spite of these missing tools, the Project achieved a high level of participation in all activities (project management, participation and benefits) and clearly had a positive effect on women and youth groups (findings 4, 31; conclusion 15).
- iv. *Optimal stakeholder involvement in research, good capacity building and immediate application were key to generating academic-quality field research and monitoring systems, applied to local environmental management.* Thanks to collaboration with academic institutions and high-quality leadership by the PMU, the GEF Montaña project had a strong academic approach to biological and ecosystem services assessments and monitoring, that could be applied to actual land management practice. Although there was a gap between the high level of academic research and the local capacity to process this information and to use it in practice, the Project managed to ensure that innovative academic knowledge was immediately used by local beneficiaries. It did so by training and involving partner agency staff (municipalities) in research and monitoring activities, but also to immediately connect the information and monitoring system to local environmental planning. This was done through good coordination between the biodiversity and local environmental planning thematic areas in the Project (finding 7, 9; conclusions 4, 5).
- v. *Directed support and collaboration with municipality staff enhanced impact and sustainability:* The municipalities were the key stakeholder group for the Project because they are decision makers at the adequate scale of desired impact (landscape). The Project achieved this by maintaining continuous and direct communication with municipality staff, combining participation in

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<sup>72</sup> The lessons should be considered additional to the lessons presented in the MTR report and the project's final report

activities with progressive training, establishing a personal network of peers and achieving concrete and visible results, that were directly communicated to the general audience. Also, the Project ensured that with a change in administration, the collaboration with the Project was not only continued but increased, to achieve even more appropriation from the incoming authorities. This direct working relationship contributed to the continuity of activities, additional (human, financial) resources and to the coordination of activities between (groups of) municipalities (finding 7, 9, 10, 18, 30; conclusions 5, 11, 14).

- vi. *Having an NGO as fund administration agency with a mission similar to the Project generates added value for the Project.* For administrative reasons, UNEP used two NGOs (CONDESAN and Sendero de Chile Foundations) as fund administration agencies. Besides their high-rated administrative performance, this provided an additional benefit for the Project: both NGOs had specific expertise that could be directly applied to the Project and its Biodiversity Monitoring and Local Environmental Management thematic areas benefited from direct collaboration with the two NGOs (finding 7, 16; conclusion 4, 7).

#### D. RECOMMENDATIONS

120. Based on the review findings and conclusions, the reviewer developed a series of recommendations for future activities or recommended practices to increase the sustainability of the project outcomes, the probability to achieve the impact or the replica to another geographical or temporary scales. They provide roles and opportunities for each of the project partners. Given the Project ended in late 2022, it is recommended that the recommended activities are developed and reported upon before the end of 2023. The reviewer recommends:

- a) *To MMA:* The EA has a crucial role for providing institutional sustainability. Considering the Project identified many needs and developed several activities for the sustainability of results but that there is no agreed sustainability plan, there is a risk of lack of continuity. Therefore, MMA should develop a sustainability plan through meetings with the main project partners (SEREMIs, SAG, INDAP, CONAF) to agree on tasks from each of the partners to sustain activities where needed, support the consolidation of results and activities for scaling to achieve impact (findings 18, 26; conclusion 11). This sustainability plan (or strategy) should:
- Ensure that two other ongoing GEF projects that have clear complementariness with GEF Montaña and can continue part of GEF Montaña activities and consolidate results. The UNEP- GEF Wetlands project is already well aligned with activities on conservation and biodiversity monitoring; the UNDP-GEF Financing of Biodiversity<sup>73</sup> has good opportunities to strengthen the incipient work with financial mechanisms.
  - Support those municipalities where positive work is underway but where lack of funding or support after project closure may be a limitation for continuation. The Project generated important capacities and supported policy, planning and actual activities of municipal institutions. Much of this work is incipient and not all municipalities have installed capacities or funding to sustain the activities. Therefore, MMA, together with MINAGRI institutions and their regional secretariats, should identify needs of individual municipalities and ensure their technical and eventually, financial support and consolidate its results.
  - Target replication and scaling: The Project generated an amount of well-established field experience, pilots, land management plans and information. While replication has taken place, most results are not yet brought to scale. All project partners share the

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<sup>73</sup> Improve national financing of biodiversity through the design, implementation and optimization of market-based economic instruments (IECB), that reinforce public financing and facilitate the economic contribution of the private sector to maintaining Chile. GEF ID 10213

responsibility to replicate these experiences (principally MMA and MINAGRI and their institutions) and bring them to the adequate scale. This can be done through the inclusion of project experiences in policies and plans, continued communication and sustained funding mechanisms.

- b) *To MMA:* GEF Montaña clearly generated important environmental outcomes, but also many social outcomes (income generation, improved livelihoods, empowerment of women and youth). However, the Project has not shown how its generated these social benefits. Recognizing that social benefits, human rights and equity are well-known requisites for the consolidation and wider uptake of environmental benefits, it is recommended that MMA clearly identifies and communicates the generated social outcomes. Also, the above-mentioned sustainability plan should highlight how social benefits will be achieved in the future, through the ongoing or new initiatives (findings 13, 22, 26, 31; conclusions 6, 15).
- c) *To MMA:* Given the wealth of publications, communication products, videos, project results, etc. available on the project website, and the high number of visits to this website, MMA should ensure its continued availability and maintenance. It eventually could become a more general (not directly project related) environment portal for in the Mediterranean region (findings 7, 8, 10; conclusion 4).
- d) *To UNEP:* Some achievements and insights from the Project are of regional and global importance and contribute to the expected achievements of UN Environment. This includes the mainstreaming of biodiversity in different (productive) sectors, establishment of conservation district, practice of SFM in sclerophyll forest, and the biodiversity monitoring system, connected to environmental management plans. To consolidate these results at international level, UNEP should identify these achievements and develop direct follow-up actions to insert them in existing (ongoing) projects and new (GEF or non GEF) initiatives underway in other countries and regions. (findings 9, 10, 11; conclusions 4, 5, 6).
- e) *To UNEP:* Although co-financing was reported, additional leveraged funds were not well sustained by certification letters and no co-financing was confirmed by sources at the end of the Project. Therefore, UNEP should strengthen and closely follow operational guidelines on estimating, reporting and verifying co-finance, both in-kind and cash (finding 17; conclusion 8).



## ANNEX 1. REVIEW FRAMEWORK

REVIEW CRITERIA	REVIEW INDICATORS	MEANS OF VERIFICATION
<b>A. Strategic relevance</b>		
Were the objectives and implementation strategies consistent with: i) Regional, Sub-regional and National Environmental Priorities, (ii) UN Environment Medium Term Strategy <sup>74</sup> (MTS) and Programme of Work (POW), and (iii) GEF Strategic Priorities.	<ul style="list-style-type: none"> <li>• Level of alignment with (contribution of results to) sub-regional environmental issues, UN Environment mandate and policies at the time of design and implementation; and the GEF FA objectives</li> </ul>	<ul style="list-style-type: none"> <li>• Comparison of project document and annual reports and policy and strategy papers of local-regional agencies, GEF and UN Environment</li> <li>• Interviews with UN Environment staff, project team and governmental agencies</li> <li>• Recalling Quality of Project Design evaluation</li> </ul>
Were the objectives and implementation strategies complementary with relevant existing interventions from the project partners and /or other stakeholders?	<ul style="list-style-type: none"> <li>• Level of alignment with ongoing initiatives of national and local government agencies and executing agencies</li> </ul>	<ul style="list-style-type: none"> <li>• Comparison of project document and annual reports with progress reports of initiatives of project partners</li> <li>• Interviews with UN Environment staff, project team and partner agencies</li> </ul>
<b>B. Quality of Project Design</b>		
See section 3 and Annex C of this inception report		
<b>C. Nature of external context</b>		
Did the (political, environmental, social, institutional) context change during project implementation and how did the project adapt to this?	<ul style="list-style-type: none"> <li>• Reported adaptive management measures in response to changes in context</li> </ul>	<ul style="list-style-type: none"> <li>• Project progress reports/PIR</li> <li>• Interviews with project team and key stakeholders</li> </ul>
<b>D. Effectiveness</b>		
<i>i. Delivery of outputs</i>		
How successful was the project in producing the programmed outputs, both in quantity and quality, as well as their usefulness and timeliness?	<ul style="list-style-type: none"> <li>• Output level indicators of Results Framework (RF)</li> </ul>	<ul style="list-style-type: none"> <li>• Project progress reports/PIR</li> <li>• Tangible products (publications, studies, etc.)</li> <li>• Field observations</li> <li>• Interviews with program staff, partner organizations in implementation, project beneficiaries</li> </ul>
Were key stakeholders (including project beneficiaries; women, men, youth) appropriately involved in producing the programmed outputs?	<ul style="list-style-type: none"> <li>• Stated contribution of stakeholders in achievement of outputs</li> </ul>	<ul style="list-style-type: none"> <li>• Citation of stakeholders' roles in tangible products (publications, studies, etc.)</li> <li>• Interviews with partners in implementation and project beneficiaries</li> </ul>
What were the main reasons that caused satisfactory or unsatisfactory generation of outputs?	<ul style="list-style-type: none"> <li>• Number and characteristics of factors mentioned by stakeholders that explained generation of outputs</li> </ul>	<ul style="list-style-type: none"> <li>• Citation of stakeholders' roles in tangible products (publications, studies, etc.)</li> <li>• Interviews with partners in implementation and project beneficiaries</li> </ul>
<i>ii. Achievements of outcomes</i>		
How successful was the project in achieving that municipal environmental departments apply updated information on the biodiversity components and ecosystem services at a local scale	<ul style="list-style-type: none"> <li>• Indicators of outcome 1 (see RF)</li> <li>• Degree of satisfaction of municipality staff on quality of information, increased capacity and coordination among municipalities</li> </ul>	<ul style="list-style-type: none"> <li>• Means of verification outcome 1 (see RF)</li> <li>• Progress reports/PIR</li> <li>• Interviews with UN Environment, project team, municipality staff,</li> </ul>

<sup>74</sup> UN Environment's Medium Term Strategy (MTS) is a document that guides UN Environment's programme planning over a four-year period. It identifies UN Environment's thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes, known as Expected Accomplishments, of the Sub-programmes.

for decision making in land use planning (outcome 1)		<p>research partners.</p> <ul style="list-style-type: none"> <li>• Field visits to intervention areas, interviews with local decision makers</li> <li>• Communication strategy and figures on distribution and accessibility of project products.</li> </ul>
How successful was the project in achieving that the scenario for conservation of biodiversity and key ecosystem services is improved in biological corridors by means of the implementation of best practices for the sustainable management of landscapes and financial incentive mechanisms, emphasizing SLM/SFM and the need to combat desertification (outcome 2).	<ul style="list-style-type: none"> <li>• Indicators of outcome 2 (see RF)</li> <li>• Degree of satisfaction of relevant project stakeholders with the conservation and sustainable management practices in the project area</li> </ul>	<ul style="list-style-type: none"> <li>• Means of verification outcome 2 (see RF)</li> <li>• Progress reports/PIR</li> <li>• Interviews with UN Environment, project team, national and local government agencies, NGOs, academy, beneficiaries in conservation areas</li> <li>• Field visits to intervention areas, interviews with local decision makers</li> <li>• Direct field observations</li> </ul>
How successful was the project in effectively establishing integrated Conservation Districts for soils, forest and water, implemented in some 500,000 hectares of production/conservation pilot areas (outcome 3).	<ul style="list-style-type: none"> <li>• Indicators of outcome 3 (see RF)</li> <li>• Perception of relevant project stakeholders with the effective establishment of integrated conservation districts</li> </ul>	<ul style="list-style-type: none"> <li>• Means of verification outcome 3</li> <li>• Progress reports/PIR</li> <li>• Interviews with UN Environment, project team, national and local government agencies, local beneficiaries</li> <li>• Field visits to intervention areas, interviews with local decision makers, beneficiaries in conservation areas</li> <li>• Direct field observations</li> </ul>
Did the assumptions hold/were drivers positively influenced (as included in the ToC).	<ul style="list-style-type: none"> <li>• Number of assumptions and drivers (included in Appendix 16 of Prodoc and in reconstructed ToC in MTR) hold.</li> <li>• (Potential) influence of the assumptions that did not hold on project implementation.</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews with project team, national and local government agencies, local beneficiaries</li> <li>• Progress reports/PIR</li> </ul>
Is there progress towards intermediate outcomes (from ToC)?	<ul style="list-style-type: none"> <li>• Degree of progress towards intermediate outcomes, as defined in Appendix 16 of Prodoc and in reconstructed ToC in MTR</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews with project team, national and local government agencies, other project partners, local beneficiaries</li> <li>• Progress reports/PIR</li> </ul>
<i>iii. Likelihood of Impact</i>		
To what degree the project is likely to create long-term impact (public-private initiatives are consolidated for conserving and managing sustainably the globally significant biodiversity and multiple ecosystem services in Chile's mountain areas of the Mediterranean ecosystem, slowing the process of soil and forest deterioration; project objective)	<ul style="list-style-type: none"> <li>• Indicators of Project Objective</li> <li>• Likelihood of sustainability of impact</li> </ul>	<ul style="list-style-type: none"> <li>• Progress reports/PIR</li> <li>• Means of verification project objective indicator. (see RF)</li> <li>• Local observations</li> <li>• Interviews with project team, national and local government agencies, other project partners, local beneficiaries</li> <li>• Progress reports/PIR</li> </ul>
Did the assumptions hold/were drivers positively influenced in the transition from outcomes to impact? (as included in the RF and TOC)	<ul style="list-style-type: none"> <li>• Level of compliance of assumptions, particularly the ownership of project results by public agencies, Willingness for development, support and maintenance of public policies and financial mechanisms</li> </ul>	<ul style="list-style-type: none"> <li>• Project progress reports/PIR</li> <li>• Interviews with project team, key stakeholders</li> </ul>
Have desired outcomes and impacts occurred amongst all stakeholder groups (and if not, why this might be).	<ul style="list-style-type: none"> <li>• Equity of benefits among different stakeholder groups</li> </ul>	<ul style="list-style-type: none"> <li>• Project progress reports/PIR</li> <li>• Interviews with project team, key stakeholders, project beneficiaries</li> <li>• Field visits</li> </ul>

Have there been any unanticipated outcomes or impacts (positive or negative) with particular reference to the most vulnerable groups of ecosystems?	<ul style="list-style-type: none"> <li>• Occurrence of unintended negative outcomes or impacts on environment or society (particularly rural poor, women, youth)</li> </ul>	<ul style="list-style-type: none"> <li>• Project progress reports/PIR</li> <li>• Analysis of Environmental and Social Safeguards</li> <li>• Interviews with project team, key stakeholders</li> <li>• Third party media (publications)</li> </ul>
<b>E. Financial Management</b>		
Was financial information and communication between financial and project management staff complete and transparent?	<ul style="list-style-type: none"> <li>• Completeness of financial information and communication</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews with administrative support agency (Sendero de Chile), and UN Environmental administrative staff</li> <li>• Interviews with project team</li> <li>• Financial reports and audit reports</li> </ul>
How well are standards (clarity, transparency, audit etc.) of financial and operational (staff recruitment, evaluation, secondary conditions) planning, management and reporting applied, to ensure that sufficient and timely financial resources were available to the project and its partners?	<ul style="list-style-type: none"> <li>• Quality of standards for financial and operative management</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews with administrative staff and service providers</li> <li>• Financial reports and audit reports</li> </ul>
To what extent co-financing has materialized as expected at project approval?	<ul style="list-style-type: none"> <li>• Level of co-financing, related to original planning</li> </ul>	<ul style="list-style-type: none"> <li>• Financial reports of project</li> <li>• Interviews with project team and UN Environment task manager</li> </ul>
<b>F. Efficiency</b>		
Did the project build adequately (create complementariness) on existing institutions, lessons of other initiatives, data sources, partnerships with third parties and ongoing projects?	<ul style="list-style-type: none"> <li>• Level of inclusion of preexisting initiatives and institutions</li> </ul>	<ul style="list-style-type: none"> <li>• Project document</li> <li>• Interviews with key stakeholders (preexisting initiatives and other institutions)</li> <li>• Evaluation of project design</li> </ul>
How was the operational execution vs. original planning (time wise)?	<ul style="list-style-type: none"> <li>• Level of compliance with project planning / annual plans</li> </ul>	<ul style="list-style-type: none"> <li>• Project progress reports/PIR</li> <li>• Interviews with project team</li> </ul>
How was the operational execution vs. original planning (budget wise)? Was the project implemented cost-effective? (were the results achieved at the lowest possible cost)	<ul style="list-style-type: none"> <li>• Level of compliance with project financial planning / annual plans</li> </ul>	<ul style="list-style-type: none"> <li>• Project financial reports</li> <li>• Interviews with project team</li> <li>• Interviews with financial staff</li> </ul>
If present, what have been the main reasons for delay/changes in implementation? Have these affected project execution, costs and effectiveness?	<ul style="list-style-type: none"> <li>• List of reasons, validated by project team</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews with project team</li> <li>• Interviews with project partners</li> <li>• Project reports (Progress reports, PIR)</li> </ul>
Was adaptive management applied adequately? Were any cost- or time-saving measures put in place in attempting to bring the project as far as possible in achieving its results within its secured budget and time?	<ul style="list-style-type: none"> <li>• Measures taken to improve project implementation based on project monitoring and evaluation.</li> </ul>	<ul style="list-style-type: none"> <li>• Project progress and implementation reports</li> <li>• MTR report and management response</li> <li>• Interview with project team and UN Environment task manager</li> </ul>
<b>G. Monitoring and Reporting</b>		
i. Monitoring Design and Budgeting	<ul style="list-style-type: none"> <li>• Quality of project design</li> </ul>	<ul style="list-style-type: none"> <li>• MTR report</li> </ul>
ii. Monitoring of Project Implementation: was the M&E system operational and facilitated timely tracking of results and progress towards projects objectives throughout the project implementation period? Did this include monitoring the representation and participation of disaggregated groups? Were the results used to improve project performance and to adapt to	<ul style="list-style-type: none"> <li>• Level of implementation of M&amp;E system (execution of activities) during the second half of the project</li> <li>• Changes in project implementation as result of MTR or other supervision visits</li> <li>• GEF Core Indicator Targets 4 (4.1, 4.2, 4.3), 11</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews with key stakeholders</li> <li>• Project implementation reports</li> <li>• Management response to MTR</li> <li>• Outcome indicators (for GEF Core Indicators)</li> </ul>

changing needs? How did the project perform against Core Indicator Targets		
iii. Project reporting: were PIR reports, half-yearly Progress & Financial Reports complete and accurate?	<ul style="list-style-type: none"> <li>• Level of completeness of reports</li> </ul>	<ul style="list-style-type: none"> <li>• Progress reports/PIR</li> </ul>
<b>H. Sustainability and replication</b>		
i. Socio-political sustainability: are there any social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts?	<ul style="list-style-type: none"> <li>• Key factors positively or negatively impacted project results (in relation to stated assumptions)</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews with project team, key stakeholders</li> <li>• Project progress reports/PIR</li> <li>• Revision of literature on context</li> </ul>
ii. Financial sustainability: to what extent are the continuation of project results and the eventual impact of the project dependent on (continued) financial resources? What is the likelihood that adequate financial resources will be or will become available to continue implementation the programs, plans, agreements, monitoring systems etc. prepared and agreed upon under the project?	<ul style="list-style-type: none"> <li>• Estimations on financial requirements</li> <li>• Estimations of future budget of key stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• Figures on financial sustainability of this and other (similar) initiatives</li> <li>• Projected budgets of project partners (public, private) to consolidate or replicate project results and/or similar activities</li> <li>• Documented estimations of future budget</li> <li>• Interviews with project team and key stakeholders</li> </ul>
iii. Institutional sustainability: To what extent is the sustenance of the results and onward progress towards impact dependent on issues relating to institutional frameworks and governance? How robust are the institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks, institutional ownership, etc. required to sustaining project results and to lead those to impact?	<ul style="list-style-type: none"> <li>• Level of commitment, proved by formal agreements, included recommendations, declarations, of key stakeholders in governance structures that sustain project results</li> </ul>	<ul style="list-style-type: none"> <li>• Analysis of existing institutional framework for consolidation of project results and/or similar activities</li> <li>• Interviews with project team and key stakeholders</li> <li>• Interview with key stakeholders</li> <li>• Documentation (agreements, declarations, meeting minutes) of governance systems</li> </ul>
<b>H. Factors and processes affecting project performance</b>		
<i>i. Preparation and readiness:</i>		
Was the project ready for implementation reasonably soon after project approval? Were appropriate measures taken to either address weaknesses in the project design or respond to changes that took place between project approval, the securing of funds and project mobilisation?	<ul style="list-style-type: none"> <li>• Time between project approval, first disbursement and actual implementation (first technical activity)</li> <li>• Examples of measures taken to address weaknesses to respond to changes.</li> </ul>	<ul style="list-style-type: none"> <li>• First PIR/Progress reports</li> <li>• MTR and project inception reporting (quality of project design)</li> <li>• Interview with UN Environment, project team and executing partners</li> </ul>
<i>ii. Quality of project management and supervision</i>		
Was the project management (project manager, component managers, local coordinators) adequate, effective and efficient? (skills, leadership, coordination, adaptive capacity, partnerships)?	<ul style="list-style-type: none"> <li>• Level of satisfaction (among partners and project team) of overall management by project managers</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews with project team (managers and rest of team) and partner organizations</li> </ul>
What were the strengths in guidance and backstopping from UN Environment and what were the limiting factors?	<ul style="list-style-type: none"> <li>• Perception of effectiveness</li> <li>• Documented backstopping activities by UN Environment to project team</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews with UN Environment staff and project manager/EA director</li> <li>• Documented support (audits, communication, reports on visits, etc.)</li> <li>• Meeting minutes</li> </ul>

		<ul style="list-style-type: none"> <li>• Interviews with project team and partners</li> </ul>
<i>iii. Stakeholder participation, cooperation and partnerships</i>		
What was the achieved degree and effectiveness of collaboration and interactions between the various project partners and stakeholders during design and implementation of the project?	<ul style="list-style-type: none"> <li>• Level of participation of project partners in project design and actual inclusion in project implementation arrangements</li> </ul>	<ul style="list-style-type: none"> <li>• Approved Prodoc</li> <li>• Communication strategy and records of strategic communication activities</li> <li>• Progress reports/PIR</li> <li>• Interviews with key stakeholders</li> </ul>
How did the relationship between the project and the collaborating partners (institutions and individual experts) and third parties develop?	<ul style="list-style-type: none"> <li>• Perceived satisfaction of main partners of collaboration in project, including institutional benefits</li> </ul>	<ul style="list-style-type: none"> <li>• Approved Prodoc</li> <li>• Interviews with key stakeholders</li> </ul>
<i>iv. Responsiveness to Human Rights and Gender</i>		
Did the intervention activities aim to promote (and did they promote) positive sustainable changes in attitudes, behaviors and power relations between the different stakeholders?	<ul style="list-style-type: none"> <li>• Examples of measures to promote positive changes or actual positive changes in power relations between stakeholders.</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews with project team and beneficiaries</li> <li>• Meeting minutes and reports of local decision-making bodies</li> </ul>
How was the gender mainstreaming approach applied in the execution of the project and are there concrete examples gender transformative results?	<ul style="list-style-type: none"> <li>• Examples of gender transformative results in participation in management, control and benefit of natural resources.</li> </ul>	<ul style="list-style-type: none"> <li>• Gender plan</li> <li>• Interviews with project team and beneficiaries</li> <li>• Progress reports/PIR</li> <li>• Evidenced activity results</li> </ul>
<i>v. Country ownership and driven-ness.</i>		
In how far have the national partners assumed responsibility for the project and provided adequate support to project execution, including the degree of cooperation received from the various public institutions involved in the project?	<ul style="list-style-type: none"> <li>• Endorsement of project by governmental agencies</li> <li>• Provision of counterpart funding</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews with national partners, UN Environment and project team</li> <li>• Project progress reports/PIR</li> <li>• Documented endorsements and co-financing</li> </ul>
How and how well did the project stimulate country ownership of project outputs and outcomes? Is this different by gendered and marginalised groups?	<ul style="list-style-type: none"> <li>• Perception of ownership by national and local agencies</li> </ul>	<ul style="list-style-type: none"> <li>• SC meeting minutes</li> <li>• Interviews with SC members and other key stakeholders at national and local government level</li> </ul>

## **ANNEX 2. CONSULTED DOCUMENTS**

Apart from all documents cited in footnotes, the following documents were consulted during this terminal review:

### **Project Design Documents**

CEO Endorsement request, 15 April 2015; including 4 annexes  
Project Document (Prodoc), 2015; including 19 appendices  
Project Identification Form (PIF), 21 March 2013  
Project Preparation Grant request (PPG) 21 March 2013  
GEF Secretariat Reviews, February 14, 2013, December 19, 2014  
Response to GEF Secretariat Review, 31 December 2013  
Scientific and Technical screening of the Project Identification Form (PIF), 9 May 2013  
Project Cooperation Agreements between UNEP and CONDESAN (3) and Sendero de Chile (1)  
Internal Cooperation Agreement (ICA) for the Full Size Project between the Division of Environmental Policy Implementation and UNEP Regional Office for Latin America and the Caribbean; including 13 annexes (June 2016)  
ICA Amendment (17 June 2021)

### **Project Progress documents**

Mid Term Review Report, 16 July 2020  
Project Implementation Reviews (PIR): 2017, 2018, 2019, 2020, 2021, 2022  
Audit Reports

- Sept 2016-December 2018
- September 2017-June 2019
- November 2018-June 2020
- June 2019-June 2020
- June 2020-June 2021
- June 2021-Sept 2022

Project budget and workplans (7 revisions)  
Quarterly expenditure reports (2016-2022)  
Final technical report; December 2022  
Steering Committee (meeting minutes, presentations)

- July 2016
- November 2018
- November 2019
- December 2019
- January 2020
- December 2020
- February 2022

Technical Committee Meetings (invitations, presentations, lists of participants)

- September 2017
- November 2018
- November 2019
- December 2020
- April 2021
- September 2022

GEF Tracking Tools

- Biodiversity March 2020
- Land Degradation March 2020
- Sustainable Forest Management - REDD+ March 2020
- Biodiversity September 2022
- Land Degradation September 2022
- Sustainable Forest Management - REDD+ September 2022

## Project Products

The products of the Project (plans, tools, studies) are all available at the project website (<https://gefmontana.mma.gob.cl/>). The different categories of consulted products included:

- Studies, guides and manuals (<https://gefmontana.mma.gob.cl/categoria/estudios/>)
- Monitoring reports (<https://gefmontana.mma.gob.cl/simbio/reportesmonitoreo/>)
- Local environmental management plans (<https://gefmontana.mma.gob.cl/gobernanza-y-gestion-ambiental-local/gestion-territorial/>)
- District master plan (<https://gefmontana.mma.gob.cl/sustentabilidad/plan-maestro-distrital/>)
- Good practice (<https://gefmontana.mma.gob.cl/sustentabilidad/buenas-practicas-productivas/>)
- Fauna studies (<https://gefmontana.mma.gob.cl/sustentabilidad/estudios-de-fauna-y-produccion/>)

### ANNEX 3. LIST OF INTERVIEWED PERSONS

<b>Government Agencies</b>			
Manushevich	Daniela	Jefa de División de Recursos Naturales y Biodiversidad	Ministerio del Medio ambiente (MMA)
Herreros	Jorge	Administrador SIMBIO - iNaturalist	MMA
Rungruangsakorn	Carlos	Jefe División Educación Ambiental y Participación Ciudadana	MMA
Shee	Álvaro	Jefe de Sección de Capital Natural y Crecimiento Verde; Departamento de Economía Ambiental	MMA
Cortés	Claudia	Jefe de area de RRNN y Biodiversidad	SEREMI Medio Ambiente, Región Metropolitado,
Aranguiz	Ivonne	Profesional	SEREMI Agricultura, Región Metropolitano
Baquedano	Veronica	Responsable Acuerdos de Producción Limpia (Valparaíso)	Agencia Sustentabilidad y Cambio Climático
Troppa	Constanza	Gerente de Conservación de Bosques y Ecosistemas Xerófilos	Corporación Nacional Forestal (CONAF)
Ilabaca	Claudio	Profesional Región de Valparaíso Acuerdo Producción Limpia	CONAF
Moder	Leonardo	Profesional Región de Valparaíso Acuerdo Producción Limpia	CONAF
Daza	Katherine	Jefa Recursos Naturales del Servicio Agrícola y Ganadero Región Metropolitana	Servicio Agrícola y Ganadero (SAG)
Machuca	Juan	Profesional	SAG
<b>Municipalities</b>			
Cortéz	Patricio	Encargado de programa de biodiversidad local	Municipio Cartagena
Vergara	Tomás	Director del Parque Mahuida	Municipio La Reina
Meza	Nibaldo	Alcalde	Municipio Peñaflo
Vidal	Deborah	Arquitecta Paisaje	Municipio Peñaflo
Huerta	Francisca	Arquitecta Paisaje	Municipio Peñaflo
Riquelme	Hector	Encargado de Medio Ambiente	Municipio Peñaflo
Ortiz	Germán	Director de medio ambiente y sustentabilidad	Municipio Peñaflo
Cruz	Orazio	RENAMU El Trapiche	Municipio Peñaflo
Ormeño	Valeria	RENAMU El Trapiche	Municipio Peñaflo
Palma	Marilyn	RENAMU El Trapiche	Municipio Peñaflo
Cerda	Paulina	Prodesal INDAP San José de Maipo	Municipio San José de Maipo
Cabello	Karina	Encargada de Medio Ambiente	Municipio San José de Maipo
Aguirre	Alfonsina	Prodesal INDAP San José de Maipo	Municipio San José de Maipo
Valenzuela	Francisco	Prodesal INDAP San José de Maipo	Municipio San José de Maipo
<b>Beneficiaries (producers and land owners)</b>			
Bandet	Hugette	Presidenta	Cooperativa de apicultores orgánicos de Chile
Aguirre	Hector	Presidente	Asociación de ganaderos las Tórtolas
Urtubia	Nancy	Asociado	As. de ganaderos las Tórtolas
Contreras	Irene	Asociado	As. de ganaderos las Tórtolas
Vergara	Gustavo	Asociado	As. de ganaderos las Tórtolas
Contreras	Segundo	Asociado	As. de ganaderos las Tórtolas
Riesco	Jaime	Propietario	Bosque natural Casablanca
Riesco	Domingo	Propietario	Bosque natural Casablanca
Romero	Fernanda	Administradora	Santuario Altos de Cantillana
Lepe	Jorge	Propietario	Refugio Club Andino de Lagunillas



<b>Implementing agency</b>			
Erath	Robert	Task Manager	UN Environment
<b>Project Management Team</b>			
Álvarez	Daniel	Project Director, Profesional División Recursos naturales y Biodiversidad	MMA
Katunarić	Marianne	Coordinadora Nacional	GEF Montaña
Rovira	Jaime	Jefe temático línea Sustentabilidad Productiva	GEF Montaña
Wallem	Petra	Jefa temática Línea Biodiversidad y Servicios Ecosistémicos	GEF Montaña
Daroch	Solange	Jefa temática línea Gobernanza Territorial y Gestión Ambiental Local	GEF Montaña
Holgado	Berta	Apoyo Línea Temática Gobernanza Territorial y Gestión Ambiental Local	GEF Montaña
Riveros	Mariano	Encargado Comunicación Estratégica	GEF Montaña
Flores	Sofia	Apoyo biodiversidad, sostenibilidad, administración	GEF Montaña
<b>Other stakeholders</b>			
Arguello	Maria	Directora	CONDESAN
Infante	Sebastian	Director	Fundación Sendero de Chile
Donoso	Juan José	Director Ejecutivo (until Marzo 2022: Jefe de División de Recursos Naturales; MMA)	The Nature Conservancy, Chile
Luebert	Germán	Consultor, Mid-Term Review	

#### ANNEX 4. INTERVIEW PROTOCOL

<b>Nombre:</b>	
<b>Fecha:</b>	
<b>Explicación de la metodología:</b>	
<ul style="list-style-type: none"> <li>• Objetivo evaluación</li> <li>• Independencia de equipo de evaluación</li> <li>• Anónimo y confidencial</li> <li>• Transparente</li> <li>• Semi-estructurado, libre participación, puede terminar cuando entrevistado quiere</li> <li>• Consentimiento para grabar</li> </ul>	

Crterios, Preguntas	Respuestas	Actor <sup>75</sup>
<b>Introducción</b>		
<ul style="list-style-type: none"> <li>• ¿Cuál es su posición? ¿Desde cuando tiene esta posición?</li> <li>• ¿Cómo está vinculada con el Proyecto?</li> <li>• ¿Cómo es la historia de su vinculación con el Proyecto? (<i>¿Qué pasó, quién le invitó, como inició?</i>)</li> </ul>		Todos
<b>Efectividad</b>		
<ul style="list-style-type: none"> <li>• ¿Qué tan exitoso ha sido el proyecto en la generación de sus productos, tanto en cantidad, calidad y oportunidad?</li> <li>• ¿Cuál le pareció el logro más positivo del proyecto hasta ahora?</li> <li>• ¿Cree que el proyecto está bien encaminado para lograr sus objetivos? ¿Si? ¿No? ¿En qué sentido? ¿Por qué?</li> <li>• ¿El proyecto está generando productos de calidad? Cuales? ¿De qué manera? ¿Por qué?</li> <li>• ¿Qué ha aprendido usted? (<i>i.e.: ¿la capacitación fue efectiva?</i>)</li> <li>• ¿Se están produciendo beneficios para los bosques/pastizales naturales? ¿Las comunidades? ¿Cuáles?</li> </ul>		EP, IE, AI, OG, AL, RG
<ul style="list-style-type: none"> <li>• ¿Cuales fueron los factores que originaron problemas para la implementación del proyecto? (<i>falta de información, recursos, transparencia, asistencia técnica, contexto social, etc</i>)</li> </ul>		EP, IE, AI, OG, AL, RG
<b>Relevancia</b>		
<ul style="list-style-type: none"> <li>• ¿Como se diseñó el proyecto? ¿Quienes aportaron con ideas? (<i>involucramiento de actores en diseño</i>)</li> <li>• ¿El proyecto se enfoca en las cosas más importantes para la conservación y desarrollo sustentable de las áreas naturales de montaña?</li> <li>• ¿Lo que hace el proyecto es lo que quieren las comunidades locales?</li> <li>• ¿El proyecto está alineado con las políticas, planes y estrategias del estado/municipio/comunidad? ¿Con cuáles? ¿Cómo ha sido el proceso?</li> </ul>		OG, IE, AL, AE, RG
<ul style="list-style-type: none"> <li>• ¿Cómo se decidió la alineación/correspondencia a las líneas prioritarias de ONU Ambiente y GEF?</li> </ul>		EP, IE
<ul style="list-style-type: none"> <li>• ¿Qué ha cambiado en el contexto actual del proyecto? ¿Qué tuvo que</li> </ul>		EP, IE, OG,

<sup>75</sup> EP = Equipo de Proyecto, IE - Instituto participando en Implementación (MMA, SAG, CONAF, INDAP, Municipios), AI = Agencia de Implementación (UNEP); OG - Organización Gubernamental Nacional (incl MMA, pero solo personas que no están en implementación del proyecto) AL = Actor Local, Ex = Actor Externo; RG = Reunión de Grupo.

Crterios, Preguntas	Respuestas	Actor <sup>75</sup>
hacer el proyecto en respuesta a ello? ¿Lo ha hecho?		AE
<b>Eficiencia</b>		
<ul style="list-style-type: none"> <li>¿Le parece que el proyecto está bien manejado o no? ¿Por qué? (<i>dirección, supervisión, agencias de ejecución, personal técnica, procesos locales, inclusión de actores etc</i>)</li> </ul>		EP, AI, IE, OG, AL, RG
<ul style="list-style-type: none"> <li>¿El proyecto se está ejecutando según su cronograma propuesta? ¿Qué le falta? ¿Por qué?</li> </ul>		EP, AI
<ul style="list-style-type: none"> <li>¿El proyecto está bien dirigido?</li> <li>¿El equipo de gestión funciona bien?</li> <li>¿Los comités de gobernanza se reúnen frecuentemente? ¿Se toman decisiones adecuadas? ¿Llegan a ser implementadas?</li> </ul>		EP, AI, IE,
<b>Otros factores que afectan el logro de resultado</b>		
<ul style="list-style-type: none"> <li>El proyecto ¿es realista? ¿factible? ¿Hay cosas que recomiendes cambiar? (<i>Diseño</i>)</li> </ul>		EP, AI
<ul style="list-style-type: none"> <li>¿Conoce de otros proyectos en el mismo ámbito (actual o pasado) con quien el proyecto está colaborando o debe colaborar? ¿De qué forma? (<i>Colaboración con otros</i>)</li> </ul>		EP, AI, AL, IE, AE, RG
<ul style="list-style-type: none"> <li>¿Les parece que la forma de administrar/supervisar el proyecto de las otras agencias (ONU Ambiente, MMA) fue bueno? ¿Hay puntos de mejora? ¿Cuáles?</li> </ul>		EP, AI, IE, OG
<ul style="list-style-type: none"> <li>¿Cómo funciona el sistema administrativo? ¿Qué problemas/desafíos identifica? ¿Cuáles son los factores de éxito?</li> </ul>		EP, AI
<ul style="list-style-type: none"> <li>¿Cual es el estado de co-financiamiento? ¿Qué cambió?</li> </ul>		EP
<ul style="list-style-type: none"> <li>Monitoreo y reporte ¿quién hace, como se hace, quién controla?</li> </ul>		EP, AI (solo personas clave)
<b>Otros factores - participación y género</b>		
<ul style="list-style-type: none"> <li>¿Participan las personas/grupos que deberían participar con el proyecto?</li> <li>¿Todos participan por igual? (<i>Locales vs. gente de afuera. 'ingenieros' vs. gente local, hombres vs mujeres, jóvenes, etc</i>)</li> <li>¿Cómo se toman las decisiones? ¿A Usted le escuchan?</li> <li>¿Usted ha participado directamente con las actividades, talleres, etc? ¿Cómo calificaría dichas actividades? ¿Fueron buenos o hacían cosas que no tenían sentido?</li> <li>¿Usted ha visto los resultados del proyecto? ¿reportes?</li> </ul>		AL, IE, AL, RG
<ul style="list-style-type: none"> <li>En general, ¿el proyecto es bien conocido? ¿Ud tiene acceso a todo lo que necesita saber del proyecto? ¿Sabe que hace el proyecto en otras áreas? ¿En otros temas? (<i>Comunicación</i>)</li> </ul>		EP, IE, OG, AL, AE, RG
<ul style="list-style-type: none"> <li>¿Hay una mayor participación de mujeres en las actividades del proyecto que con otros proyectos?</li> <li>¿Se ha notado un cambio en percepción, participación o expresión de las mujeres en comparación al momento previo del u con otros proyectos? ¿Porqué se dio esto /no se dio esto? (<i>también ingreso, seguridad alimentaria, adopción de prácticas</i>)</li> </ul>		EP, AL, IE, GL, RG
<ul style="list-style-type: none"> <li>¿Existen ejemplos de como el proyecto ha mejorado la posición de mujeres en la toma de decisiones? ¿Acceso a fondos? ¿Inclusión en políticas locales?</li> </ul>		EP, OG, AL
<b>Sostenibilidad</b>		
<ul style="list-style-type: none"> <li>¿El proyecto está bien incluido en la práctica diaria de su institución? ¿Como piensa que esto seguiría sin ayuda externa? ¿Que se necesitaría para seguir después? ¿Habría suficiente capacidad institucional para aplicar todas las cosas del proyecto después de cierre? (<i>sostenibilidad política, institucional y financiera</i>)</li> </ul>		EP, IE
<ul style="list-style-type: none"> <li>¿El proyecto está bien incluido en la práctica diaria de su comunidad?</li> </ul>		EP, AL, RG

Criterios, Preguntas	Respuestas	Actor <sup>75</sup>
¿Como piensa que esto seguiría sin ayuda externa? ¿Que se necesita para seguir después? ¿Habrá suficiente capacidad en la comunidad para aplicar todas las cosas del proyecto después de cierre? ( <i>sostenibilidad social, local</i> )		
<b>Lecciones aprendidas</b>		
<ul style="list-style-type: none"> <li>• Si podrías empezar de nuevo con el proyecto ¿Que cambiaría? ¿Qué haría exactamente igual?</li> </ul>		EP, AI, IE, RG
<ul style="list-style-type: none"> <li>• De este proyecto ¿Qué aprendió para poder utilizarlo en otros proyectos o iniciativas?</li> <li>• Cuando termine este proyecto, ¿Que falta hacer para una buena gestión de los ecosistemas de montaña en la región?</li> </ul>		Todos

Preguntas de cierre:

- Preguntar si hay algo que quiere enfatizar o algo importante que no hemos incluido
- Explicar que siempre puede volver a conversar/contactarnos
- Agradecer por la participación

## ANNEX 5. OVERVIEW OF REVIEW MISSION

The review mission (interviews in Santiago de Chile, field trips and interviews in the Metropolitan and Valparaíso region) took place between December 6 and 16. In addition, online interviews were held with people not based in Santiago or who were not available during the mission. The table below provides a detailed overview of this mission.

<b>Date, Place</b>	<b>Meetings-visits</b>	<b>Observations</b>
1-3 December, Quito	Inception meeting, online interviews	An inception meeting was held with the project management team to explain the goals of the review and receive inputs for the methodology and review schedule. Some online interviews were held with people not available in Santiago during the mission
6 December, Alta Cordillera (Lagunillas, San José de Maipo)	Field observation, group meeting	Field visit to the cattle ranchers of Asociación de Ganaderos las Tórtolas. Group meeting with farmers and municipality staff. The goal was to learn from the pilot on sustainable cattle management, monitoring and conservation district application. Bilateral meeting with owner, Club Andino Lagunillas, to learn from support to improved nature-based tourism
7 December, Peñalolén, Santiago de Chile	Project closing event, bilateral meetings	In a public event with approx. 80 participants, the Project Management Team presented the project's main results and organized fora with project stakeholders (government agencies, municipalities, beneficiaries) Some bilateral meetings were held with stakeholders present at the meeting
8 December, Santuario Altos de Cantillana	Field observation, bilateral meeting; project team member	Observations on the biodiversity monitoring and management support to private nature sanctuary (sclerophyll forest). Bilateral meeting with the manager of the Sanctuary. Back in Santiago, a project team member was interviewed to learn from her experience with biodiversity monitoring, mainstreaming and project administration
9 December, Santiago	Government agency partner, Current project team member	Bilateral meeting with government agency staff was done to learn from their perception of the success of the project and factors that contributed (or not) to this. With individual team member, the challenges and success of the project and the factors that lead to these were validated. The meeting focused particularly on communication
11 December, Santiago	Interview with review consultant of MTR	The review consultant of the MTR was interviewed to get more insight into the findings at mid-term, and further details of the recommendations at that moment
12 December, Peñaflor	Field observation, group meeting, project team member meeting	The Trapiche wetland and RENAMU was visited and a group meeting was held with Municipality staff to learn about the support of the project to the declaration and management of the wetland, training to municipality staff and collaboration with other municipalities (along the river corridor). Back in Santiago, project team members were interviewed to assess the challenges and success of the project and the factors that lead to these were validated. These conversations were focused on local environment management (support to municipalities) and biodiversity monitoring. Also, team work and collaboration were assessed.
13 December, Casablanca, Cartagena (Valparaíso Region)	Field observation, bilateral meetings with project beneficiaries and municipality staff.	A privately owned dry forest was visited with its owner, where the project supported sustainable management. Also, an urban coastal wetland (RENAMU) was visited and a meeting was held with Municipality staff to learn about training to municipality staff and collaboration with other municipalities (along the urban wetlands network).

14 December, Santiago	Bilateral meetings with project partners	Interviews were held with government partners, focusing on their collaboration, benefits and lessons learned. Also, the director of the project administrative agency was interviewed to learn about the implementation modality.
15 December, La Reina, Santiago	Field observations; Bilateral meetings with government agency staff	A peri--urban nature reserve was visited (Mahuida park) and a meeting was held with Municipality staff in charge of its management, to learn about the support of the project to park establishment and management. Additional interviews were held with government partners, focusing on their collaboration, benefits and lessons learned.
19-22 December, Quito	Online interviews	Additional project stakeholders, who are not based in Santiago or not available during the mission, have been interviewed by online means
21 December, Quito-Santiago	Debrief to project team	The evaluator presented preliminary findings to the project team (incl UNEP Task Manager) and received the team's feedback

ANNEX 6. PROJECT RESULTS FRAMEWORK (as in Prodoc)

Objectives, Outcomes and Outputs Expected	Indicators	Baseline	Targets	Source of Verification	Assumptions
<b>Strategic Objective: Contribute to conservation of the forests and biodiversity of worldwide significance, through incorporating sustainable management and use of the territory, for diminishing the pressures and making possible a sustainable flow from forests, ecosystem services and biodiversity.</b>					
<p><b>Project Objective:</b></p> <p>To consolidate public-private initiatives to conserve globally significant biodiversity and multiple ecosystem services in the mountain areas of Chile's Mediterranean Ecosystem in the Metropolitan Region.</p>	<p><b><u>Strengthening Local Environment Management (Outcome 1):</u></b></p> <p>Number of municipalities with land use plans developed and validated, evaluation of biodiversity and ecosystem services carried out throughout the Project area, intermunicipal coordination and personnel training carried out, and instruments for local environment management utilized to promote conservation of biodiversity and ecosystem services in mountainous areas of the Mediterranean eco-region (MR and part of Region V).</p>	<p>The municipalities do not usually incorporate into local environment management, conservation and management of their townships' natural heritage. The exceptions to this rule are only about 4 municipalities of the 36 within the Project area which have voluntarily implemented initiatives in biodiversity conservation. The LEM schemes fostered officially by the MMA do not require management in these areas either. Furthermore, in Chile there is no norm which makes it possible to regulate land use in non-productive rural areas unless they are under an official protection (SNASPE and others).</p>	<p>At least 5 municipalities with municipal ordinances developed and applied.</p> <p>100% of the surface in the Project area evaluated.</p> <p>At least 20 municipalities with personnel trained in biodiversity, ecosystem services and territorial planning.</p> <p>At least 10 municipalities participating in a model of municipal coordination for the Project area.</p> <p>At least 5 municipalities with LEM schemes implemented to the conservation of soil, forests, biodiversity and sustainable management of the territory.</p>	<p>The Project Monitoring and Evaluation System will generate the following evaluation and monitoring reports: Minutes of the Steering Committee Meetings, of the Technical Board Meetings, Annual Evaluation Reports, Mid-Term Evaluation Report, Final Evaluation Report, Annual Reports of Associated Institutions, and Evaluation of Work on the Pilot Intervention Sites.</p>	<p>The proposed incorporation of management for the conservation of biodiversity, ecosystem services, and territorial environmental planning, is validated and utilized by local governments and competent participating public services. The productive sectors and competent services validate and apply the tools proposed and strengthened by the Project for promoting sustainable forest and soil management and the conservation of relevant areas for protection of the ecosystem Services. There is political willingness to declare for first time in Chile this legislation Conservation District, as well as the existing</p>

<p><b><u>Promoting best practices for sustainable soil and forest management (Outcome 2):</u></b></p> <p>N° of monitoring programs implemented for conservation of forests, biodiversity, ecosystem services and halting soil degradation, extension activities on financing mechanisms (FM) for Biodiversity and SLM/SFM implemented and promoted, financial mechanisms for biodiversity and SLM/SFM in private lands strengthened and implemented within the Project area, instruments promoted and strengthened for certifying best productive practices in sustainable markets, education and awareness programs on biodiversity and ecosystem services targeting relevant local stakeholders, implemented.</p>	<p>Lack of information on biodiversity and sustainable soil and forest management through financing mechanisms, in addition to a low level of integration and public access to the existing information, generate an unfavorable environment for biodiversity conservation and for improvement of the quality and sustainability of the livelihoods of the populations in the mountain corridors in the Metropolitan and part of the Valparaíso Regions.</p>	<p>At least one integrated program for monitoring components of forests, biodiversity, ecosystem services and soil degradation implemented, with at least 5 public entities and 4 private ones utilizing these systems.</p> <p>At least 25 disseminating and training programs developed on financing mechanisms and best practices for SLM/SFM.</p> <p>At least 2 strengthened FMs on Biodiversity and SFM, with at least 4 FMs and/or practices implemented in BD/SLM/SFM, and at least 50,000 ha with conservation plans for biodiversity and ecosystem services drawn up and/or implemented within the Project area.</p> <p>At least 4 instruments implemented and strengthened in the pilot cases, and their results promoted.</p> <p>At least 5 education and awareness programs (1 per year) on forests, biodiversity and ecosystem services implemented in strategic Project areas.</p>	<p>financing mechanisms, are articulated and enhance each other for implementing practices for recovery of soil, water and forests.</p>
<p><b><u>Conservation District Pilot Area (Outcome 3):</u></b></p> <p>Surface area formally recognized as a Conservation District within the Project area, Integrated Land Management Plans worked</p>	<p>The Conservation District legislation has been analysed as an alternative for promoting territorial sustainability in deteriorated soils within the Project area. To date, we have available the legal review and the proposed document (Project INNOVA CORFO -</p>	<p>At least 500,000 ha recognized as a Conservation District, with a District Master Plan.</p> <p>At least 200,000 ha of the District with activities implemented from the integrated management plans revised and adapted to the District Master Plan.</p>	



out and implemented in landholdings within the Conservation District, and communications activities on lessons learned from pilot project implementation carried out.	Santiago Andes), but no such District has as yet been formally declared in Chile, despite the existence of relevant legislation (Law 18,378, art. 3 and 5) which has made establishing this since 1984.	At least 4 extension activities of lessons learned implemented.		
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Component 1: Local environmental governance capacity development and knowledge management on biodiversity conservation and sustainable land use.						
Objectives, Outcomes and Outputs Expected	Indicators	Baseline	Mid-Term Target	Target upon Project Finalization	Source of Verification	Assumptions
<p><b>Expected Result (outcome):</b></p> <p>Municipal environmental departments apply updated information on the biodiversity components and ecosystem services at a local scale for decision making in land use planning.</p>	<p>1.1. Nº of municipalities with ordinances for regulating land use in wilderness areas and management for conservation of biodiversity, validated and applied.</p>	<p>To date in Chile there is no norm which regulates land use in non-intervened rural areas. Present norms only regulate urban areas. During the Project's PPG phase, and according to the MMA's Legal Advisor, this institution will formally establish, by means of a Supreme Decree, a plan of ecological zoning standards for the wild areas of high environmental value involved in the Project, and on the basis of that legal platform, a Model Ordinance will be set up subject to validation and application by pilot municipalities. It should be remembered that even though the ministerial power and the mayors' will are favorable to developing these municipal ordinances, their implementation is complex, given the high costs involved in inspecting them (Municipal Inspectors, four-wheel-drive vehicles and</p>	<p>At least 1 municipality with a municipal ordinance established and applied.</p> <p>Model Municipal Ordinance proposed and validated by the MMA and Municipal Associations.</p>	<p>At least 5 municipalities with municipal ordinances established and applied.</p>	<p>Decree Municipal Council's approval of the Ordinance- Model of Municipal Ordinance Document and pilot Municipal Ordinances -- Record of Inspections -- Publication of the Ordinance in Municipal Web page</p>	<p>The political will exists on the part of the new Environment Ministry for establishing by Decree management standards for the wild areas within the Project area, utilizing the Ministry's power to propose plans and programs which establish basic preventive criteria for conservation of species, habitats, ecosystems, especially the fragile and endangered ones (Law 19,300 art. 70 letter i).</p> <p>Mayors from the involved municipalities have the political will to incorporate these standards into developing municipal</p>

		equipment, problems of access in the mountainous zones).				ordinances for local environment management before the Project is finalized.
	1.2. Percentage of the Project's total surface area with evaluation of biodiversity and ecosystem services which the biological mountain corridors provide.	Overall, data has been gathered for at least 50% of the surface area. Nonetheless, its overall conservation status has not been evaluated nor that of the ecosystem services it provides. The existing information is heterogeneous, gathered under differing criteria and at varying scales.	100% of the Project surface area evaluated.	100% of the Project surface area evaluated.	Document drawn up with survey results and maps for the whole Project area.	There is willingness on the part of the Public Services to provide the data gathered previously.  There is support from landowners for access in order to gather data.
	1.3. Nº of municipalities with personnel trained in biodiversity, ecosystem services and sustainable territorial planning.	At the present time, there are several training initiatives for strengthening LEM in Chile; however until now there has been no training in the role of the municipalities in biodiversity and forest conservation and management. Regarding sustainable territorial planning, the instances are limited regarding soils, forests, biodiversity and ecosystem services.	At least 10 municipalities with trained personnel.	At least 20 municipalities with trained personnel.	Annual Records of personnel attendance – Annual Reports of activity implementation - Programs and terms of reference for training activities.	There is interest on the part of Mayors for training their personnel and on the part of the municipal staff, to participate in the different training opportunities for strengthening LEM in this area.
	1.4. Nº of municipalities participating in a coordinated manner within the Project area.	Within the Project area, municipal coordination can be seen in the form of municipal associations and their numerous operational objective; however at the present time there is no system which coordinates the totality of the municipalities in this Project for the purpose of conserving biodiversity and its ecosystem services.	At least 4 municipalities participating in a system of municipal coordination within the Project area.	At least 10 municipalities participating in a system of municipal coordination within the Project area.	Report of coordination and communication mechanisms established. List of Municipalities committed. Annual Report of coordinated activities.	The Mayors and municipal LEM staff are receptive to the idea of being part of the proposed network.
	1.5. Nº of municipalities applying schemes for strengthening local environment management (LEM)	At the present time, 20 of the 36 municipalities within the Project area are participating in MECS's at different levels, are implementing local environment management and have staff in	At least 2 municipalities with LEM schemes for conservation of soil, forests, biodiversity and sustainable territorial management.	At least 5 municipalities with LEM schemes for conservation of soil, forests,	Documents LEM Instruments which incorporate management of biodiversity and services - Recognition of these	The Environment Ministry authorities are willing to incorporate these issues into the LEM instruments which they foster.

	for conservation of biodiversity and ecosystem services, in decision-making on the municipal level (strengthened MECS's, conservation landscapes, sustainable commune).	charge of this. However, the instrument does not take into account conservation and management of biodiversity and its services. This instrument will be complemented with these considerations, in addition to fostering two additional schemes (conservation landscape and sustainable commune), which will also incorporate these issues as mandatory.		biodiversity and sustainable territorial management.	schemes through Municipal Decree – List of municipalities implementing said LEM instruments identified-Management Progress Reports in implementation and results from these instruments.	Mayors from the municipalities involved are willing to incorporate some of these LEM instruments, including forest and biodiversity management among the requirements.
<b>Expected Products (outputs):</b>						
1.1. Local scale land use plans developed and linked to GIS system of the project area						
1.2. Local-scale assessments on the biodiversity components and ecosystem services of the project area						
1.3. Carrying out a pilot project to enhance personnel capacities in the environmental departments of 36 municipalities						
1.4. Coordination mechanisms set in place for municipalities in the mountain areas						
1.5. Preparation of an upgraded version of the municipal environmental management certification scheme that will include requirements for sustainable land use (SCAM/ECOCOMUNA).						

**Component 2: Implementation and promotion of best practices for the sustainable management of landscapes for biodiversity and ecosystem services conservation.**

Objectives, Outcomes and Outputs Expected	Indicators	Baseline	Mid-Term Target	Target at Project Termination	Source of Verification	Assumptions
<p><b>Expected Result (outcome):</b> The scenario for conservation of biodiversity and key ecosystem services is improved in biological corridors by means of the implementation of best practices for the sustainable management of landscapes and financial incentive mechanisms, emphasizing SLM/SFM and the need to combat desertification.</p>	<p>2.1. Nº no. regional monitoring programs for determining the status, pressure and response of key attributes of biodiversity – ecosystem services and soil degradation.</p>	<p>Dispersed institutional efforts exist, monitoring different indicators of biodiversity, ecosystem services, soil and forest, but the information is neither completely public nor integrated, and there is a lack of field tests of the different indicators under study.</p>	<p>1 integrated regional environment monitoring program for forests, biodiversity and ecosystem services.</p> <p>1 integrated regional environment monitoring program for soil degradation.</p> <p>At least 3 public entities and 2 private ones are utilizing Project monitoring programs in decision-making (biodiversity, ecosystem services and soil degradation).</p>	<p>1 integrated regional environment monitoring program for forests, biodiversity and ecosystem services.</p> <p>1 integrated regional environment monitoring program for soil degradation.</p> <p>At least 5 public entities and at least 4 private ones are utilizing the Project monitoring programs in decision-making (biodiversity, ecosystem services and soil degradation).</p>	<p>Methodological Document of Monitoring - Reports of Monitoring Results - Web Page installed – Report of annual information flow on the part of the web page administrator.</p>	<p>Stakeholders involved are receptive regarding the usefulness of the proposed systems, and there is a positive attitude regarding monitoring use and feedback.</p>

<p>2.2. N° of dissemination and training programs implemented on FMs and good practices for sustainable management of soils and forests, biodiversity conservation, and soil degradation.</p>	<p>The financial mechanisms (FMs) and best practices are publicized on the national level but with little information available on the local level; deficiencies also in local pertinence. Sectoral resources are given little use.</p>	<p>At least two annual extension and training programs developed on financing mechanisms and best practices for SLM/SFM.</p>	<p>At least five annual extension and training programs are developed on financing mechanisms and best practices for SLM/SFM.</p>	<p>Document on the extension-training program - schedule of activities - Invitations- guest list-presentations- photographs of activities</p>	<p>There is a positive attitude on the part of the institutions to publicize the FMs in a manner which is collaborative, continuous and is locally pertinent.</p> <p>A high level of interest on the part of the landowners for participating in the extension activities on implementation of these mechanisms.</p>
<p>2.3. N° of FMs for biodiversity and SLM/SFM on private lands strengthened and implemented within the Project area.</p>	<p>Although there is a FM for biodiversity conservation and SFM and trained human resources for implementation, the complexity of the Mediterranean vegetation is not therein recognized, and therefore it cannot fulfill its objectives. The FMs for SLM exist, but they require territorial planning and implementation combined in order to fulfill sustainable land management objectives.</p>	<p>0 FMs strengthened in Biodiversity and SFM.</p> <p>At least 2 FMs implemented for biodiversity and SLM/SFM.</p> <p>At least 50,000 ha with plans for conservation of biodiversity and services drawn up and/or validated within the Project area.</p>	<p>At least 2 strengthened FMs in Biodiversity and SFM.</p> <p>At least 4 FMs and/or pilot practices implemented for biodiversity and/or SLM/SFM.</p> <p>At least 50,000 ha with plans for conservation of biodiversity and ecosystem services drawn up, validated and/or implemented within the Project area.</p>	<p>Back-up application forms for FMs</p> <p>Document "Proposal for strengthening FMs for Biodiversity and SFM"</p> <p>Implementation Reports on FMs – Activities Reports on BD and SLM/SFM best practices pilot projects.</p> <p>Documents on Plans for conservation of biodiversity and ES's, and implementation reports for public and private landholdings within the Project area.</p>	<p>The Public Services show a willingness to discuss and incorporate technical improvements in biodiversity conservation and SLM/SFM in the existing FMs. In addition, there is a willingness to target FMs in an individual or combined manner, within the Project area.</p> <p>Clear and expedient information channels are available for applying for FMs.</p> <p>The landowners are committed and receive support for implementation of the FMs, as well as authorizing pilot projects on their land.</p>

	<p>2.4. N° of instruments promoted and strengthened for certifying good productive practices for SLM/SFM in sustainable markets.</p>	<p>A series of instruments and experiences exist for certifying best productive practices, but these are little known within the Project area, due to a deficient extension strategy and insufficient promotion in the marketplace.</p>	<p>At least 1 best practices instrument implemented among the pilot cases and its results promoted (SAG).</p> <p>At least 1 instrument strengthened within the Project area and its results promoted (CPA).</p>	<p>At least 2 instruments implemented among the pilot cases and its results promoted (SAG + Life).</p> <p>At least 2 instruments strengthened within the Project area and their results promoted.</p>	<p>Application Forms Minutes of Extension Meetings - Disseminating Materials -Reports of best practices implemented – Photographic record.</p>	<p>There will be a willingness to strengthen and implement certification instruments. The Public Services and competent institutions are committed to supporting and disseminating implementation of these instruments. There is interest on the part of local stakeholders for improving their productive systems and implementing best practices compatible with the Project's objectives.</p>
	<p>2.5. N° of education and awareness programs on forest, biodiversity and ecosystem services, for relevant local stakeholders (municipalities, community, public services).</p>	<p>Even where education and awareness experiences exist within the Region's priority areas, the level of knowledge regarding the natural heritage and the importance of applying best practices for its conservation is generally low. This is one substantial obstacle to achieving community empowerment regarding conservation of forests, biodiversity and ecosystem services.</p>	<p>At least 2 annual programs (1 per year) designed and implemented, on forests, biodiversity and ecosystem services for strategic Project zones.</p>	<p>At least 5 education and awareness programs (1 per year) developed on the subjects of forests, biodiversity and ecosystem services for strategic Project zones.</p>	<p>Minutes of Program Validation Agreements - Document of Education Programs - Education Materials drawn up – Photographic record of activities – Attendance lists.</p>	<p>There is interest on the part of local and regional authorities for implementing the proposed programs. There is interest on the part of the local community for participating in the activities.</p>

**Products expected (outputs):**

- 2.1. Monitoring system for biodiversity conservation and SLM/SFM with private and public stakeholders in the project area
- 2.2. Strategy for improved dissemination and application of existing financial resources as incentives for biodiversity conservation among private land owners in the project area
- 2.3. Program for Promoting, Strengthening and Implementing Financing Mechanisms (FMs) which Support Biodiversity Conservation and Sustainable Management of Soils and Forests
- 2.4. Support program to explore market options for best practice compliant products from the Project area
- 2.5 Education program on the need to conserve biodiversity and combat desertification for relevant local stakeholders

**Component 3: Pilot-scale application of Integrated Conservation Districts for Soils, Forest and Water legislation.**

Objectives, Outcomes and Outputs Expected	Indicators	Baseline	Mid-Term Target	Target upon Project Finalization	Source of Verification	Assumptions
<p><b>Expected Result (outcome):</b> Integrated Conservation Districts for soils, forest and water effectively established and implemented in some 500,000 hectares of production/conservation pilot areas.</p>	<p>3.1. Surface area formally recognized as a Conservation District of soils, forest and water within the Project area.</p>	<p>The Conservation District legislation has been analysed as an alternative for promoting territorial sustainability in deteriorated soils within the Project area. To date, we have available the legal review and the proposal document (Project INNOVA CORFO - Santiago Andes), but the District has never been formally declared in Chile despite the existence of a Law (Nº 18,378, art. 3 and 5) which has made establishing this since 1984.</p>	<p>At least 500,000 ha are in the process of being recognized as a Conservation District (submitted to the Consultative Council on Native Forest).</p>	<p>At least 500,000 ha are formally recognized as a Conservation District and have a District Master Plan within the Project area.</p>	<p>Presentation made to the Consultative Council and Minutes of the Agreement MINAGRI Decree Minutes of Meetings with Stakeholders Document of the District Master Plan</p>	<p>The MINAGRI has the political will to declare, for the first time in Chile, the Conservation District legislation. The Public Services accept the guidelines from the District Master Plan. The landowners accept having their lands included within this legal protection instrument.</p>
	<p>3.2. Surface area with Integrated Land Management Plans for soil, water and forest in the Conservation District pilot area.</p>	<p>Within the Project area, there are several private landholdings with land use plans. However, there is no major planning on the territorial level with an overall view of the ecosystem which would make it possible to focus financing mechanisms for implementing those plans.</p>	<p>At least 200,000 ha of the District with integrated management plans, revised and adapted to the District Plan.</p>	<p>At least 200,000 ha of the District surface area with activities implemented from the integrated management plans, revised and adapted to the District Master Plan.</p>	<p>GEF Working Agreement Document - Document of Integrated Land Management Plans Support for applications to FMs Minutes of Working Meetings with landowners and field work Report of pilot activities implemented on field Photographic record of activities.</p>	<p>The landowners are motivated and committed to drawing up and implementing Land Plans for integrated management.</p> <p>The Public Services are committed to drawing up and implementing these Plans. The organized implementation of FMs makes it possible to fulfill the objectives of the Land Plan.</p>

	3.3. Nº of dissemination activities of lessons learned in the implementation of pilot area	Since the Conservation District is a legal instrument not utilized by the MINAGRI in Chile, there is no information of any kind about it.	At least 2 informational activities are implemented.	At least 4 informational activities are implemented.	Informational Materials PPT Presentations Photographic Materials Attendance Lists for the activities.	There are Conservation District declared, and Land Plans implemented, from which lessons learned can be extracted.
<b>Products expected (outputs):</b>						
3.1. Declaration of one pilot-scale areas as soil, forests and water conservation districts.						
3.2. Conservation plans and activities for the pilot-scale areas.						
3.3. Dissemination of lessons learned in the implementation of the pilot-scale areas						



## ANNEX 7. FINANCIAL MANAGEMENT REVIEW RATING

Financial management components:	Rating	Evidence/ Comments
<b>1. Completeness of project financial information:</b>	<b>S</b>	
Provision of key documents to the evaluator (based on the responses to A-G below)		
A. Co-financing and Project Cost's tables at design (by budget lines)	Yes	Prodoc included co-financing specified per source, per project component and per UNEP budget line
B. Revisions to the budget	Yes	Included in Anubis
C. All relevant project legal agreements (e.g. SSFA, PCA, ICA)	Yes	Included in Anubis
D. Proof of fund transfers	Yes	
E. Proof of co-financing (cash and in-kind)	No	Commitment letters from sources at start. During implementation, many other agencies joined and committed. Several of these did not send letter or did not mention funds. No letters confirming fund mobilization at project end.
F. A summary report on the project's expenditures during the life of the project (by budget lines, project components and/or annual level)	Yes	Financial progress and final reports. Project reported only per budget line, not per component
G. Copies of any completed audits and management responses (where applicable)	Yes	
H. Any other financial information that was required for this project (list):	Yes	Specification of item "other" in "miscellaneous" (requested by reviewer)
Any gaps in terms of financial information that could be indicative of shortcomings in the project's compliance with the UN Environment or donor rules	No	
Project Manager, Task Manager and Fund Management Officer responsiveness to financial requests during the evaluation process	HS	
<b>2. Communication between finance and project management staff</b>	<b>HS</b>	National Project Coordinator, Project director, Director of Financing Administration Agency (CONDESAN, Sendero de Chile foundation) and IA staff continuously and fully aware of financial management.
Project Manager and/or Task Manager's level of awareness of the project's financial status.	HS	
Fund Management Officer's knowledge of project progress/status when disbursements are done.	HS	
Level of addressing and resolving financial management issues among Fund Management Officer and Project Manager/Task Manager.	HS	
Contact/communication between by Fund Management Officer, Project Manager/Task Manager during the preparation of financial and progress reports.	S	
<b>Overall rating</b>	<b>HS</b>	

**ANNEX 8. PROJECT BUDGET AND EXPENDITURES<sup>76</sup>**

Budget Component		Initial budget (CEO endorsement)	Expenditures (until December 2022)
<b>10</b>	<b>NATIONAL PROJECT COMPONENT</b>		
<b>1100</b>	<b>Project Personnel</b>		
1101	National Project Coordinator	0.00	368,562.83
1102	Project Staff	2,535,600.00	1,751,132.99
1120	Administrative Staff	106,400.00	83,894.38
<b>1200</b>	<b>Consultants</b>		
1201	International Consultants	0.00	0.00
1202	National Consultants	392,182.00	663,013.43
<b>1600</b>	<b>Travel</b>		
1601	Staff Travel & Transport	140,360.00	41,786.36
<b>1999</b>	<b>SUB-TOTAL (NATIONAL PROJECT)</b>	<b>3,174,542.00</b>	<b>2,908,389.99</b>
<b>20</b>	<b>SUB CONTRACT COMPONENT</b>		
<b>2200</b>	<b>Sub Contract for Supp. Org. (MOUs/LAs)</b>		
2201	Sub Contract to governmental agencies	0.00	0.00
<b>2300</b>	<b>Sub Contract for Commercial Purposes</b>		
2301	Sub Contract to private firms	1,453,849.00	1,684,041.14
<b>2999</b>	<b>SUB-TOTAL (SUB CONTRACT)</b>	<b>1,453,849.00</b>	<b>1,684,041.14</b>
<b>30</b>	<b>TRAINING COMPONENT</b>		
<b>3200</b>	<b>Group training</b>		
3201	Training	242,546.00	116,590.85
<b>3300</b>	<b>Meetings/Conference</b>		
3301	Meetings	131,333.00	47,070.93
<b>3999</b>	<b>SUB-TOTAL (TRAINING)</b>	<b>373,879.00</b>	<b>163,661.78</b>
<b>40</b>	<b>EQUIPMENT AND PREMISES COMPONENT</b>		
<b>4100</b>	<b>Expendable equipment</b>		
4101	Office supplies and consummables	5,000.00	6,846.16
4102	Laboratory supplies and consummables	0.00	0.00
<b>4200</b>	<b>Non-expendable equipment</b>		
4201	Non Laboratory Purchase	76,491.00	42,660.50
4202	Laboratory Equipment	0.00	0.00
<b>4300</b>	<b>Premises</b>		
4301	Office Premises	0.00	0.00
4302	Research Facilities	0.00	0.00
<b>4999</b>	<b>SUB-TOTAL (EQUIPMENT AND PREMISES)</b>	<b>81,491.00</b>	<b>49,506.66</b>
<b>50</b>	<b>MISCELLANEOUS COMPONENT</b>		
<b>5100</b>	<b>Operation and maintenance equipment</b>		
5101	Equipment maintenance	8,250.00	168.74
<b>5200</b>	<b>Reporting Costs</b>		
5201	Publication, Translation, Dissemination and reporting cos	291,090.00	381,686.99
5202	Audit Reports	25,000.00	25,627.91
<b>5300</b>	<b>Sundry</b>		
5301	Communications (tel, fax, e-mail, etc..)	38,400.00	9,963.72
5302	Others	8,700.00	168,728.45
5303	Technical Support	40,000.00	70,093.22
5375	UNDP charges	162,000.00	195,332.40
<b>5999</b>	<b>SUB-TOTAL (MISCELLANEOUS)</b>	<b>573,440.00</b>	<b>851,601.43</b>
<b>9999</b>	<b>GRAND TOTAL</b>	<b>5,657,201.00</b>	<b>5,657,201.00</b>

<sup>76</sup> Data provided by UNEP

**ANNEX 9. RESPONSE TO STAKEHOLDER COMMENTS (to draft report)**

Párrafo	Frase(s)	Comentario	Edición sugerida	Reviewer response
7, 35, 36, 41, Finding 5 (page 21), 66, 70, 71, 75, 92, 98 conclusion 1 and 2, 99 iv, 100 a, 100b.	Montañas	El nombre corto del proyecto es GEF Montaña en singular	Montaña	Texto cambiado de acuerdo a sugerencia
24	Also, some lack of timely access to information related to the outputs and outcomes, caused an incomplete stakeholder ownership.	<p>Este comentario no es coherente con lo expresado en los párrafos 44, 45, 50 y 53, en que se menciona que hubo involucramiento de los socios para alcanzar los outputs.</p> <p>Para el logro de las metas se requirió de mucho acompañamiento a las partes interesadas dando acceso a la información de los productos y resultados oportunamente.</p>	<del>Also, some lack of timely access to information related to the outputs and outcomes, caused an incomplete stakeholder ownership.</del>	Sugerencia aceptada y frase eliminada (los comentarios recibidos sobre tardía entrega de información no se ha podido validar)
48	For output 2.5 (education and awareness) two education programs were implemented, benefitting staff from 16 municipalities.	<p>El punto 2.5 es transversal dentro del proyecto. No existe un solo programa de educación o capacitación. Todos los años se ejecutaron programas en las diferentes temáticas y dirigido a diversos actores dentro de los 3 componentes.</p> <p>En el caso de las dos versiones ejecutadas del programa de aprendizaje significativo, éstas en realidad equivalen a 3 versiones (5 municipios + su comunidad, por versión). La segunda versión por pandemia se concentraron dos programas anuales. 2020 se avanzó online el trabajo de los relatos y 2021 se realizaron las salidas una vez levantadas las restricciones sanitarias.</p> <p>En total se realizaron 32 salidas (16 con funcionarios municipales, 16 para la comunidad local del municipio) con un promedio de 20 personas por salida.</p>	For output 2.5 (education and awareness) <b>three</b> education programs were implemented, benefitting staff from 16 municipalities <b>and their local community.</b>	Texto cambiado de acuerdo a sugerencia

		Los beneficiarios en este programa fueron tanto equipos municipales como miembros de la comunidad local, por lo que se agrega al texto.		
Table 4 2.5 Page 29	There were less than five (two) education programs implemented, only targeting municipalities (not the general public).	<p>El punto 2.5 es transversal dentro del proyecto. No existe un solo programa de educación o capacitación. Todos los años se ejecutaron programas en las diferentes temáticas y dirigido a diversos actores dentro de los 3 componentes.</p> <p>En el caso de las dos versiones ejecutadas del programa de aprendizaje significativo, éstas en realidad equivalen a 3 versiones (5 municipios + su comunidad, por versión). La segunda versión por pandemia se concentraron dos programas anuales. 2020 se avanzó online el trabajo de los relatos y 2021 se realizaron las salidas una vez levantadas las restricciones sanitarias.</p> <p>En total se realizaron 32 salidas (16 con funcionarios municipales, 16 para la comunidad local del municipio) con un promedio de 20 personas por salida.</p> <p>Los beneficiarios en este programa fueron tanto equipos municipales como miembros de la comunidad local, por lo que se agrega al texto.</p>	There were less than five <b>(three)</b> education programs implemented, <b>targeting municipalities and local general public.</b>	Editado como "There were less than five (three) education programs implemented, targeting municipalities and local stakeholders "
Table 4 3.2 Comments by reviewer Page 30	The reviewer confirms that the output was generated, but cannot confirm that 200,000 hectares have implemented activities from the management	Los 7 planes de manejo integrados seleccionados para el desarrollo del Plan Maestro Distrital, fueron revisados, actualizados y evaluadas sus acciones y metas prediales en el marco del Plan Maestro, como por ejemplo se constató que propietarios reducen la carga animal dentro de los predios (link estudio	Seven integrated management plans <b>were selected, updated and their actions assessed based on the District's master plan</b> (developed for Output	Sin cambio. El indicador dice "200,000 has of the districti with activities implemented". Aunque se reconoce que los planes de manejo fueron revisado, actualizado y sus acciones evaluadas, el revisor no puede confirmar si las actividades son implementadas.

	<p>plan.</p> <p>Seven integrated management plans were selected from the District's master plan (developed for Output 3.1</p>	<p><a href="https://gefmontana.mma.gob.cl/wp-content/uploads/2021/11/Districto-Conservacion-Distrital-SJM_Informe-Final_gefmontan%CC%83as1.pdf">https://gefmontana.mma.gob.cl/wp-content/uploads/2021/11/Districto-Conservacion-Distrital-SJM_Informe-Final_gefmontan%CC%83as1.pdf</a></p> <p>El proyecto no financió acciones directas de esos planes de manejo, pero sí apoyó la implementación del Protocolo de los servicios MINAGRI para la ejecución de subsidios en línea con el Plan Maestro, como por ejemplo el control de suelo erosionado.</p>	3.1	La precisión sugerida no añade información sobre el nivel de logro del indicador.
Finding 17 Page 36	Some agencies that had committed funding initially have not reported any mobilized funds.	Aquellas agencias que dieron su carta de cofinanciamiento al comienzo, no reportaron sus aportes porque no trabajaron finalmente con el proyecto.	Some agencies that had committed funding initially have not reported any mobilized Funds, <b>because once the project started, they did not participate.</b>	Sin cambio. Este hallazgo refiere al nivel de movilización de co-financiamiento, no del nivel de participación de actores
30, 65, 66, 72 and table page 57	Senderos	Nombre de la Fundación es en singular	Sendero	Texto cambiado de acuerdo a sugerencia
68	...and two private organizations (La Florida mining company and the Fundación Chile) did not mobilize any funding.	Aquellas agencias que dieron su carta de cofinanciamiento al comienzo, no reportaron sus aportes porque no trabajaron finalmente con el proyecto.	and two private organizations (La Florida mining company and the Fundación Chile) did not mobilize any funding, <b>because once the project started, they did not participate.</b>	Texto cambiado: ".....did not mobilize any funding because they never participated in project implementation"
69	Therefore, the co-financing amount should be considered an estimate rather than a calculated and confirmed amount	Las estimaciones fueron realizadas en base a los respaldos del proyecto, tales como contratos, facturas, listas de participación a talleres, formulación de proyectos ambientales, etc. El Anexo 14 fue acompañado mediante un informe del cálculo estimado firmado por el director del proyecto del MMA y la coordinación del proyecto.	Therefore, the co-financing amount should be considered an estimate <b>from the project's supporting documentation</b> rather than a calculated and confirmed amount, <b>reported by the MMA.</b>	GEF requiere que "At CEO Endorsement/ Approval, Agencies provide confirmed information regarding the expected amounts, sources and types of Co-Financing and Investment Mobilized, with appropriate supporting evidence ( <a href="https://www.thegef.org/co-uncil-meeting-documents/updated-co-financing-policy">https://www.thegef.org/co-uncil-meeting-documents/updated-co-financing-policy</a> ). Cartas firmadas de compromiso (al

				<p>inicio del proyecto) y cartas de confirmación de cofinanciamiento (al cierre) es excelente información de soporte. Conversaciones bilateral y cálculos estimados no lo son. Por esto, queda la frase "estimate". Para claridad, el párrafo fue editado así:</p> <p>"Mobilized co-financing was confirmed by MMA but not confirmed through signed letters from the source. The PMU commented that the planned financial contribution of the agencies that did not directly commit an amount was estimated in bilateral conversations. Therefore, the co-financing amount should be considered an estimate rather than a confirmed amount."</p>
<p>Finding 28 Page 45</p>	<p>Other project partners were included in a Technical Committee which was considered for information rather than decision making</p>	<p>En el comité técnico incluyó a los principales socios del proyecto, quienes revisaban y opinaban sobre las acciones a planificar el siguiente año dentro del POA (Plan Operativo Anual). La toma de decisión va más allá de aceptar la descripción de una actividad dentro del POA, como por ejemplo, participar de la elaboración de los ToR, de la selección del equipo de ejecución, o de determinar cambios en la ejecución, etc.</p>	<p>Other project partners were included in a Technical Committee which <b>was considered both for information and in decision-making of their collaborative activities in the annual work plan</b></p>	<p>Sin cambio. El Steering Committee es formalmente el cuerpo de toma de decisiones sobre la implementación del proyecto (tecnico, administrativo, operativo) según Prodoc. El Comité Técnico no fue previsto en Implementation Arrangements in Prodoc y el revisor no ha recibido términos de referencia o actas de sus reuniones. Notas compartidas de estas reuniones (ej comentarios sobre POA) e entrevistas con diferentes personas que estuvieron presentes en las reuniones del comité técnico confirman el comentario (participantes revisaban y opinaban sobre las acciones a planificar el siguiente año dentro del POA). Entonces, si bien el comité fue importante para contribuir con opiniones, no son parte de la toma de decisiones. El POA es decidida y aceptada por Steering Committee</p>
85	MINAG	Sigla incompleta	MINAGRI	Texto cambiado de acuerdo

				a sugerencia
86	The project governance consisted of a small but Steering Committee consisting of the UNEP Task Manager and the MMA (Project Director)	Conformado por 4 integrantes: Task Manager Project director MMA Project technical supervisor MMA National Project Coordinator	The project governance consisted of a small but Steering Committee consisting of the UNEP Task Manager, <b>the MMA (Project Director and Project technical supervisor), and the NPC</b>	Texto cambiado de acuerdo a sugerencia: "The project governance consisted of a small Steering Committee consisting of the UNEP (Task Manager) and the MMA (Project Director, technical supervisor, NPC)" El revisor si nota que no es común que el personal del proyecto (Project technical supervisor MMA, National Project Coordinator) sean miembros de voz y voto del Steering Committee.
87	At the same time, it is also understandable that some agencies consider these meetings as only informative and therefore, they feel they are not included in decision making, which is limited to the two project partners.	Comentario relacionado con finding 28. El logro de los productos y metas alcanzados es el resultado de la participación en la toma de decisión de los actores involucrados.  La toma de decisión dentro del proyecto no estaba limitada a solo dos actores. Por ejemplo, el POA eran definidas las acciones por los actores vinculados directamente, y luego participaban en las decisiones de su ejecución, tal es el caso de que se creó con los servicios del MINAGRI la "Mesa MINAGRI del GEF Montaña" financiando el Proyecto un profesional como articulador para mantener las comunicaciones en cuanto a la toma de decisión sobre los pilotos ejecutados en conjunto.  Otro ejemplo es la alta convocatoria (52) y participación en la toma de decisión en el último comité técnico en que hicimos un taller para definir en conjunto el último POA de cierre del proyecto (2021 – 2022) con sus prioridades <a href="https://youtu.be/hmgC38JrzQE">https://youtu.be/hmgC38JrzQE</a>	At the same time, it is also understandable that some agencies consider these meetings as only informative and therefore, they feel they are not included in decision making <b>at higher level.</b>	No cambio. Véase respuesta a comentario sobre Finding 28
Conclusion 6 Page 50	In addition, almost 400,000 ha are under	Si esta frase se refiere a la planificación ecológica, el área evaluada es de 1.799.979	In addition, almost <b>1,799,979 ha</b> are under	El número exacto es hectáreas (389,351) es tomado del final report

	improved environmental planning, benefitting the entire population of the project area directly or indirectly	ha Evaluar si se cambia cifra	improved environmental planning, benefitting the entire population of the project area directly or indirectly	(paragraph 78). Por esto, se precisa la conclusion así: In addition, almost 400,000 ha of land have sustainable land and forest management plans, benefitting the entire population of the project area directly or indirectly
Conclusion 13 Page 51	Therefore, some government agencies considered they were not included in project governance	Relacionado con el comentario del párrafo 87. Entregados los antecedentes, evaluar si se parafrasea de otra forma.	Therefore some government agencies considered <b>they would have like to be included in the governance of the project at a higher level</b>	Sin cambio
100 Recommendation C	<i>To MMA:</i> Given the wealth of publications, communication products, videos, project results, etc. available on the project website, and the high number of visits to this website, MMA should ensure its continued availability and maintenance. It eventually could become a more general (not directly project related) environment portal for in the Mediterranean region (Finding 7, 10; Conclusion 4).	Se sugiere agregar finding 8	<i>To MMA:</i> Given the wealth of publications, communication products, videos, project results, etc. available on the project website, and the high number of visits to this website, MMA should ensure its continued availability and maintenance. It eventually could become a more general (not directly project related) environment portal for in the Mediterranean region (Finding 7, <b>8</b> , 10; Conclusion 4).	Texto cambiado de acuerdo a sugerencia
Annex 3 Page 61	Ministerio de Medio Ambiente Herrero Cortéz SEREMI Ambiente, Region Metropolitana Lupe Deroch Bertha	Corrección de nombre y cargos	Ministerio del Medio Ambiente Herreros Cortés SEREMI Medio Ambiente, Región Metropolitana Lepe Daroch Berta Riveros	Texto cambiado de acuerdo a sugerencia



	Rivera			
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## **ANNEX 10. Brief CV of the reviewer**

Robert Hofstede is an experienced and successful manager of projects and institutions in the area of ecosystem management, ecological research, climate change and rural development. He has a 30+ years track record of generating knowledge on sustainable development and translating this into policy and practice for the benefit of people and the planet. He is well acquainted with the international environmental management and global development sectors, and holds an extensive institutional and personal network among academic, governmental and civil society organizations. He has lived in four continents and gained working experience mostly in Latin America but also in Africa, Asia, Europe and North America. Trained as a tropical ecologist (Ph.D. Ecology, U. Amsterdam), his academic background includes many aspects of agronomy, forestry and geography. His current thematic expertise ranges from forest and landscape management to family agriculture and climate change adaptation and mitigation.

Currently, Robert works independently as an advisor on project and program management, evaluation, policy development and research for a wide range of international environmental organizations. He has done many evaluations of complex, multi-country and multi-institutional project and programs, for a series of multilateral (UNEP, FAO, World Bank, UNDP, GEF, among others) and bilateral agencies (Netherlands, UK, USA) as well as for international NGO's. In the past, he was Associate Director Climate Change at the Agriculture and Environment Division of the International Development Research Centre (IDRC, Canada) and he directed the regional program for South America at IUCN. He also held senior management positions at the Consortium for the Sustainable Development of the Andean Ecoregion (CONDESAN, CGIAR) and the University of Amsterdam.

**ANNEX 11. Terms of reference of the review**

**TERMS OF REFERENCE**

**Terminal Review of the UNEP/GEF project**

**“Protecting Biodiversity and Multiple Ecosystem Services in Biological Mountain Corridors in Chile’s Mediterranean Ecosystem”**

**GEF ID Number - 5135**

**Section 1: PROJECT BACKGROUND AND OVERVIEW**

**1. Project General Information**

**Table 1. Project summary**

<b>UNEP Sub-programme:</b>	Subprogram 3 – Healthy & Productive Ecosystems	<b>UNEP Division/Branch:</b>	UN Environment Programme Ecosystems Division/ Biodiversity and Land Branch/ GEF Biodiversity and Land Degradation Unit Biodiversity and Land Branch
<b>Expected Accomplishment(s):</b>	EA(b) Policymakers in the public and private sectors test and consider the inclusion of the health and productivity of ecosystems in economic decision-making	<b>Programme of Work Output(s):</b>	PoW 2018/2019 Subprogram 3 – Healthy & Productive Ecosystems
<b>SDG(s) and indicator(s)</b>	SDG targets 2, 11, 12, 13 and 15		
<b>GEF Core Indicator Targets (identify these for projects approved prior to GEF-7<sup>77</sup>)</b>	N/A		
<b>Dates of previous project phases:</b>	N/A	<b>Status of future project phases:</b>	N/A

<sup>77</sup> This does not apply to Enabling Activities

**FROM THE PROJECT'S PIR REPORT (2021) :**

<b>Project Title:</b>	Protecting Biodiversity and Multiple Ecosystem Services in Biological Mountain Corridors in Chile's Mediterranean Ecosystem		
<b>Executing Agency:</b>	Ministry of Environment of Chile (MMA) with the support of UNEP's Regional Office for Latin America and the Caribbean (ROLAC)		
<b>Project partners:</b>	Agriculture and Livestock Department (SAG), Metropolitan and Valparaiso Region, Institute of Agricultural Development (INDAP), Metropolitan and Valparaiso Region, National Forestry Corporation, Subnational and Municipal governments of the project area, various Academic and Private sector entities.		
<b>Geographical Scope:</b>	National		
<b>Participating Countries:</b>	Chile, Latin America		
<b>GEF project ID:</b>	5135	<b>IMIS number*<sup>78</sup>:</b>	GFL-11207-14AC0003-SB-004356
<b>Focal Area(s):</b>	Biodiversity, Land Degradation	<b>GEF OP #:</b>	BD 1 Improve Sustainability of Protected Area Systems BD 2 Mainstream Biodiversity Conservation and Sustainable Use into Production Landscapes/Seascapes and Sectors
<b>GEF Strategic Priority/Objective:</b>	BD 1, 2	<b>GEF approval date*:</b>	4 May 2015
<b>UNEP approval date:</b>	28 June 2016	<b>Date of first disbursement*:</b>	4 July 2016
<b>Actual start date<sup>79</sup>:</b>	28 June 2016	<b>Planned duration:</b>	June 2016 – June 2021 60 months
<b>Intended completion date*:</b>	June 2022	<b>Actual or Expected completion date:</b>	December 2022
<b>Project Type:</b>	FSP	<b>GEF Allocation*:</b>	USD 5,657,201
<b>PPG GEF cost*:</b>	USD 150,000	<b>PPG co-financing*:</b>	USD 155,500
<b>Expected MSP/FSP Co-financing*:</b>	USD 26,952,400	<b>Total Cost*:</b>	USD 32,915,101 (with PPG included)
<b>Mid-term Review/eval. (planned date):</b>	1 <sup>st</sup> semester 2020	<b>Terminal Evaluation/ Review (planned date):</b>	2 <sup>nd</sup> semester 2022
<b>Mid-term Review/eval. (actual date):</b>	July 2020	<b>No. of revisions*:</b>	#7 budget revisions
<b>Date of last Steering Committee meeting:</b>	December 2020	<b>Date of last Revision*:</b>	29 June 2022
<b>Disbursement as of 30 June 2022*:</b>	USD 5,453,502.76	<b>Date of planned financial closure*:</b>	30 June 2023
<b>Date of planned completion<sup>80</sup>*:</b>	December 2022	<b>Actual expenditures reported as of 30 June</b>	USD 5,453,502.76

<sup>78</sup> Fields with an \* sign (in yellow) should be filled by the Fund Management Officer

<sup>79</sup> Only if different from first disbursement date, e.g., in cases where a long time elapsed between first disbursement and recruitment of project manager.

		<b>2022<sup>81</sup>:</b>	
<b>Total co-financing realized as of 31 December 2022:</b>	USD 27,049,000	<b>Actual expenditures entered in IMIS as of 31 December 2021*:</b>	
<b>Leveraged financing:<sup>82</sup></b>			

## 2. Project Rationale<sup>83</sup>

Chile is one of only five places in the world with a Mediterranean climate, along with Australia, California, South Africa, and the Mediterranean basin, areas recognized not only for their high levels of wealth and endemism in plant and animal species, but also for being regions with high risk of extinction. The Chilean Mediterranean eco-region is located in the heart of the country's Central Zone, and the area covered by this Project includes the Metropolitan Region (MR) and part of the Valparaíso Region (Region V), incorporating a total surface area of 1,187,344 ha, including areas with a high level of biodiversity, mountainous areas (the Andean foothills and the Coastal Mountain Range), ravines, and some Central Valley lowlands, where the wetlands and the Maipo River mouth are to be found. The threats and environmental degradation factors in the Chilean Mediterranean Eco-Region, especially with regards to the Project area, are for the most part the result of human activities and overexploitation, which play a key role in the advancing deterioration of the ecosystem functions and habitats, which consequently affect the recovery capacity of the forests and biodiversity. The main factors are habitat loss, fragmentation and degradation caused by agricultural and urban expansion and forest fires; the increase in invasive and predatory wild species; deforestation of native species, extraction of forest soil, over-grazing and the scarce legal protection given to the ecosystem.

The objective of the Project is to consolidate public, public-private and private initiatives for overall conservation of significant biodiversity and multiple ecosystem services in the mountainous area of the Chilean Mediterranean ecosystem, in the Metropolitan Region and part of the Valparaíso Region. In order to fulfill this objective, this initiative includes three components. The first seeks to strengthen local environment management in the areas of forestry protection and management, biodiversity and ecosystem services. Under Component 2, conservation of forests, biodiversity and ecosystem services is improved through the promotion of practices that support the sustainable management of forests and soil and contribute to the fight against desertification. The objective of the third component is to establish and implement a pilot area under the legal framework entitled "Conservation District for soil, forest and water" to assure sustainable management of the territory. This Project responds to Chile's political and institutional deep concern for the environment, for the sustainability of the development process, and for biodiversity conservation, as expressed in the national Constitution. Its aims and objectives are consistent with the commitments made by Chile as signatory of the Convention on Biological Diversity (CBD) and the United Nations Convention to Combat Desertification (UNCCD) and the United Nations Framework Convention on Climate Change (UNFCCC). Chile has made significant efforts to comply with these agreements through the enactment and enforcement of policies, plans and sectoral strategies in these areas, with purposes fully coincident with the objectives of this initiative. This Project contributes to fulfilling the following GEF objectives: BD-2, LD-1, -2 and -3, and SFM/REDD+-1, which will be undertaken through local environment management activities, regional monitoring systems with environment and soil degradation components, in addition to programs which strengthen and promote sustainable soil and forest management. It is an initiative, which brings together stakeholders from various national, regional and local institutions, committed for the duration of Project implementation, some of whom will participate in the Steering Committee. This Committee will be in charge on the monitoring of the fulfilment of objectives, a process that will be supervised by the implementing agency, UNEP.

<sup>80</sup> If there was a "Completion Revision" please use the date of the revision.

<sup>82</sup> See above note on co-financing

<sup>83</sup> Grey = Info to be added

### 3. Project Results Framework

**Project Objective** is to consolidate public-private initiatives to conserve globally significant biodiversity and multiple ecosystem services in the mountain areas of Chile's Mediterranean Ecosystem in the Metropolitan Region.

**Component 1:** Local environmental governance capacity development and knowledge management on biodiversity conservation and sustainable land use. Expected outcome: Municipal environmental departments apply updated information on the biodiversity components and ecosystem services at a local scale for decision making in land use planning.

**Component 2:** Implementation and promotion of best practices for the sustainable management of landscapes for biodiversity and ecosystem services conservation. Expected Result (outcome): The scenario for conservation of biodiversity and key ecosystem services is improved in biological corridors by means of the implementation of best practices for the sustainable management of landscapes and financial incentive mechanisms, emphasizing SLM/SFM and the need to combat desertification

**Component 3:** Pilot-scale application of Integrated Conservation Districts for Soils, Forest and Water legislation. Expected Result (outcome): Integrated Conservation Districts for soils, forest and water effectively established and implemented in some 500,000 hectares of production/conservation pilot areas.

### 4. Executing Arrangements

This Project was directed by the Environment Ministry (EM), which acted as national responsible authority, in alliance with the implementing agency (UNEP) and the Regional Office for Latin America and the Caribbean (ROLAC), which provided administrative support to the EM. From the Project design phase, a directing board was created, incorporating different governmental and non-governmental institutions, in order to include the main stakeholders involved in the realms of biodiversity and sustainable management of forests and soils, incorporating their opinions and agreements. In the same manner, for the execution stage a Project Steering Committee (PSC) was established, presided by an Environment Ministry representative in collaboration with the Project Operational Coordinator (POC) and a UNEP representative. The PSC's main functions was to assure compliance with the Project's objectives, carry out tracking of its activities, offer strategic guidance and supervise compliance with the annual work plans, collaborate in inter-institutional coordination, and guarantee the active participation and compliance with the commitments acquired by the institutions they represent, as well as revising the reports of Project evaluation, monitoring and tracking, at mid-term and at the end of the process. The Project partners (members of the PSC and other strategic partners contributed to implementation of the different activities included in the Project, cofinancing initiatives in all three components, as well as providing information, technical and institutional support, and assistance in implementing pilot projects.

The Environment Ministry was in charge of guaranteeing correct Project execution, coordinating, monitoring and evaluation of Project objectives' fulfilment. For this purpose, it designated one of their staff professionals as the Project Operational Coordinator (POC), to preside over the Project Management Unit (PMU) and coordinate with the implementing and executing agencies, and any other ministerial staff member at the Division Head level or above presiding over the PSC. ROLAC, in its administration support role, was in charge of administrating the Project's funds and accounting, hiring of the executing team, as well as arranging for outside consultancies, in addition to the acquisition of all goods and services necessary for accomplishing the Project's objectives. UNEP, as the implementing agency, oversaw Project supervision, tracking and evaluation, including supervision of the mid-term and final evaluations, and revising and approving quarterly, semester and annual reports (financial and technical as appropriate).

### 5. Project Cost and Financing

**Total Budget as indicated in the Project Document:**

Category	Amount in USD	%
Cost to the GEF Trust Fund	5,657,201	17.35
Co-financing Total	26,952,404	82.65
<b>Total Project</b>	<b>32,609,605</b>	<b>100.00</b>
<b>Co-finance Summary</b>		
Cash		
Chilean Environment Ministry	2,545,455	7.80
Council for Clean Production	18,182	0.06
La Florida (Mining Company)	9,091	0.03
Sub-total	2,572,727	7.89
In-kind		
Chilean Environment Ministry	4,140,872	12.69
Agriculture and Livestock Department (SAG), Metropolitan Region	3,209,455	9.84
Institute of Agricultural Development (INDAP), Metropolitan Region	7,347,500	22.5
National Forestry Corporation	651,000	1.99
Municipality of Alhué	591,051	1.81
Municipality of Calera de Tango	747,273	2.29
Rural Municipalities Association (AMUR)	880,291	2.69
Cordillera Park Association	2,156,818	6.61
Agronomy Faculty, University of Chile	1,078,364	3.30
Forestry Faculty, University of Chile	1,578,818	4.84
La Parva Ski Resort	48,182	0.14
Counsel for Clean Production	370,955	1.13
Fundación Chile (NGO)	318,182	0.97
La Florida (Mining Company)	910,917	2.79
UNEP	350,000	1.07
<b>Sub-total</b>	<b>24,379,676</b>	<b>74.76</b>
<b>Total Co-financing</b>	<b>26,952,404</b>	<b>82.65</b>

**Co-finance summary as indicated in 2022 PIR:**

**Planned Co-financing Total:**

USD\$26,952,400

**Actual to date:**

USD\$27,049,000 representing 100.35%

The project has slightly surpassed the initially expected amount of co-financing. However, additionally leveraged Co-financing has been below expectations. Mainly, the contribution of SAG and INDAP financing mechanisms to productive activities with biodiversity protection objectives has been very low. Among the causes of the contribution below expectations is the slowness of the development of demonstration pilots that would originate replicas financed by these organizations. Even some pilots failed due to pandemic restrictions. This being said, it must be noted that the actual figure in national currency is relatively higher than the

equivalent dollar amount quoted in terms of planned co-financing, because of a sharp increase in the exchange rate since the project started.

## 6. Implementation Issues

The Terminal Review should pay special attention to the main implementation issues of the project as identified in sections 5-7 (Lessons Learned, Conclusions and Recommendations) of July 2020 Mid-term Evaluation.

### Section 2. OBJECTIVE AND SCOPE OF THE REVIEW

#### B. Objective of the Review

In line with the UNEP Evaluation Policy<sup>84</sup> and the UNEP Programme Manual<sup>85</sup>, the Terminal Review (TR) is undertaken at operational completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The Review has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP, UNEP's Regional Office for Latin America and the Caribbean (ROLAC) and Ministry of Environment of Chile (MMA). Therefore, the Review will identify lessons of operational relevance for future project formulation and implementation.

#### C. Key Review principles

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

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

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

**Communicating Review Results.** A key aim of the Review is to encourage reflection and learning by UNEP staff and key project stakeholders. The consultant should consider how reflection and learning can be promoted, both through the review process and in the communication of review findings and key lessons. Clear and

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<sup>84</sup> <https://www.unenvironment.org/about-un-environment/evaluation-office/policies-and-strategies>

<sup>85</sup> <https://wecollaborate.unep.org>



concise writing is required on all review deliverables. Draft and final versions of the main Review Report will be shared with key stakeholders by the Task Manager. There may, however, be several intended audiences, each with different interests and needs regarding the report. The consultant will plan with the Task Manager which audiences to target and the easiest and clearest way to communicate the key review findings and lessons to them. This may include some, or all, of the following; a webinar, conference calls with relevant stakeholders, the preparation of a review brief or interactive presentation.

#### D. Key Strategic Questions

In addition to the review criteria outlined in Section 10 below, the Review will address the **strategic questions**<sup>86</sup> listed below. These are questions of interest to UNEP and to which the project is believed to be able to make a substantive contribution. Also included are five questions that are required when reporting in the GEF Portal and these must be addressed in the TR:

- Q1: To what extent has the project contributed to protecting biodiversity and multiple ecosystem services in Biological Mountain Corridors in Chile's Mediterranean Ecosystem?
- Q2: Is there evidence and what impact has been achieved to improve health and productivity of targeted ecosystems?
- Q3: What changes were made to adapt to the effects of COVID-19 and how might any changes affect the project's performance?

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

a) Under Monitoring and Reporting/Monitoring of Project Implementation:

What was the performance at the project's-completion against Core Indicator Targets? (*For projects approved prior to GEF-7, these indicators will be identified retrospectively and comments on performance provided*<sup>87</sup>).

b) Under Factors Affecting Performance/Stakeholder Participation and Cooperation:

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

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

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

d) Under Factors Affecting Performance/Environmental and Social Safeguards:

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

e) Under Factors Affecting Performance/Communication and Public Awareness:

What were the challenges and outcomes regarding the project's completed Knowledge Management Approach, including: Knowledge and Learning Deliverables (e.g. website/platform development); Knowledge Products/Events; Communication Strategy;

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<sup>86</sup> The strategic questions should *not* duplicate questions that will be addressed under the standard review criteria described in section 10.

<sup>87</sup> This does not apply to Enabling Activities

Lessons Learned and Good Practice; Adaptive Management Actions? *(This should be based on the documentation approved at CEO Endorsement/Approval)*

## **E. Review Criteria**

All review criteria will be rated on a six-point scale. Sections A-I below, outline the scope of the review criteria. The set of review criteria are grouped in nine categories: (A) Strategic Relevance; (B) Quality of Project Design; (C) Nature of External Context; (D) Effectiveness, which comprises assessments of the availability of outputs, achievement of outcomes and likelihood of impact; (E) Financial Management; (F) Efficiency; (G) Monitoring and Reporting; (H) Sustainability; and (I) Factors Affecting Project Performance.

Annex 1 of these Terms of Reference provides a table with a list of various tools, templates and guidelines that can help Review Consultant(s) to follow a thorough review process that meets all of UNEP's needs.

### **A. Strategic Relevance**

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

#### **i. Alignment to the UNEP's Medium-Term Strategy<sup>88</sup> (MTS), Programme of Work (POW) and Strategic Priorities**

The Review should assess the project's alignment with the MTS and POW under which the project was approved and include, in its narrative, reflections on the scale and scope of any contributions made to the planned results reflected in the relevant MTS and POW. UNEP strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building<sup>89</sup> (BSP) and South-South Cooperation (S-SC). The BSP relates to the capacity of governments to: comply with international agreements and obligations at the national level; promote, facilitate and finance environmentally sound technologies and to strengthen frameworks for developing coherent international environmental policies. S-SC is regarded as the exchange of resources, technology and knowledge between developing countries.

#### **ii. Alignment to Donor/GEF/Partner Strategic Priorities**

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

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

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

#### **iv. Complementarity with Relevant Existing Interventions/Coherence<sup>90</sup>**

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<sup>88</sup> UNEP's Medium Term Strategy (MTS) is a document that guides UNEP's programme planning over a four-year period. It identifies UNEP's thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes, known as Expected Accomplishments (EAs), of the Sub-programmes. <https://www.unenvironment.org/about-un-environment/evaluation-office/our-evaluation-approach/un-environment-documents>

<sup>89</sup> <http://www.unep.fr/ozonaction/about/bsp.htm>

<sup>90</sup> This sub-category is consistent with the new criterion of 'Coherence' introduced by the OECD-DAC in 2019.

An assessment will be made of how well the project, either at design stage or during the project inception or mobilization<sup>91</sup>, took account of ongoing and planned initiatives (under the same sub-programme, other UNEP sub-programmes, or being implemented by other agencies within the same country, sector or institution) that address similar needs of the same target groups. The Review will consider if the project team, in collaboration with Regional Offices and Sub-Programme Coordinators, made efforts to ensure their own intervention was complementary to other interventions, optimized any synergies and avoided duplication of effort. Examples may include work within UNDAFs or One UN programming. Linkages with other interventions should be described and instances where UNEP's comparative advantage has been particularly well applied should be highlighted.

*Factors affecting this criterion may include:*

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

#### **B. Quality of Project Design**

The quality of project design is assessed using an agreed template during the review inception phase. Ratings are attributed to identified criteria and an overall Project Design Quality rating is established. The complete Project Design Quality template should be annexed in the Review Inception Report. Later, the overall Project Design Quality rating<sup>92</sup> should be entered in the final review ratings table (as item B) in the Main Review Report and a summary of the project's strengths and weaknesses at design stage should be included within the body of the Main Review Report.

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

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

#### **C. Nature of External Context**

At review inception stage a rating is established for the project's external operating context (considering the prevalence of conflict, natural disasters and political upheaval<sup>93</sup>). This rating is entered in the final review ratings table as item C. Where a project has been rated as facing either an *Unfavourable* or *Highly Unfavourable* external operating context, and/or a negative external event has occurred during project implementation, the ratings for Effectiveness, Efficiency and/or Sustainability may be increased at the discretion of the Review Consultant and Task Manager together. A justification for such an increase must be given.

#### **D. Effectiveness**

##### **i. Availability of Outputs<sup>94</sup>**

The Review will assess the project's success in producing the programmed outputs and making them available to the intended beneficiaries as well as its success in achieving milestones as per the project design document (ProDoc). Any formal modifications/revisions made during project implementation will be considered part of the project design. Where the project outputs are inappropriately or inaccurately stated in the ProDoc, reformulations may be necessary in the reconstruction of the Theory of Change (TOC). In such cases a table

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<sup>91</sup> A project's inception or mobilization period is understood as the time between project approval and first disbursement. Complementarity during project implementation is considered under Efficiency, see below.

<sup>92</sup> In some instances, based on data collected during the review process, the assessment of the project's design quality may change from Inception Report to Main Review Report.

<sup>93</sup> Note that 'political upheaval' does not include regular national election cycles, but unanticipated unrest or prolonged disruption. The potential delays or changes in political support that are often associated with the regular national election cycle should be part of the project's design and addressed through adaptive management of the project team. From March 2020 this should include the effects of COVID-19.

<sup>94</sup> Outputs are the availability (for intended beneficiaries/users) of new products and services and/or gains in knowledge, abilities and awareness of individuals or within institutions (UNEP, 2019).

should be provided showing the original and the reformulation of the outputs for transparency. The availability of outputs will be assessed in terms of both quantity and quality, and the assessment will consider their ownership by, and usefulness to, intended beneficiaries and the timeliness of their provision. It is noted that emphasis is placed on the performance of those outputs that are most important to achieve outcomes. The Review will briefly explain the reasons behind the success or shortcomings of the project in delivering its programmed outputs available and meeting expected quality standards.

*Factors affecting this criterion may include:*

- Preparation and readiness
- Quality of project management and supervision<sup>95</sup>

### ***ii. Achievement of Project Outcomes***<sup>96</sup>

The achievement of project outcomes is assessed as performance against the outcomes as defined in the reconstructed<sup>97</sup> Theory of Change. These are outcomes that are intended to be achieved by the end of the project timeframe and within the project's resource envelope. Emphasis is placed on the achievement of project outcomes that are most important for attaining intermediate states. As with outputs, a table can be used to show where substantive amendments to the formulation of project outcomes is necessary to allow for an assessment of performance. The Review should report evidence of attribution between UNEP's intervention and the project outcomes. In cases of normative work or where several actors are collaborating to achieve common outcomes, evidence of the nature and magnitude of UNEP's 'substantive contribution' should be included and/or 'credible association' established between project efforts and the project outcomes realised.

*Factors affecting this criterion may include:*

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

### ***iii. Likelihood of Impact***

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

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

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<sup>95</sup> For GEF funded projects 'project management and supervision' will refer to the project management performance of the Executing Agency and the technical backstopping provided by UNEP, as Implementing Agency.

<sup>96</sup> Outcomes are the use (*i.e. uptake, adoption, application*) of an output by intended beneficiaries, observed as changes in institutions or behavior, attitude or condition (UNEP, 2019)

<sup>97</sup> UNEP staff are currently required to submit a Theory of Change with all submitted project designs. The level of 'reconstruction' needed during a review will depend on the quality of this initial TOC, the time that has lapsed between project design and implementation (which may be related to securing and disbursing funds) and the level of any changes made to the project design. In the case of projects pre-dating 2013 the intervention logic is often represented in a logical framework and a TOC will need to be constructed in the inception stage of the review.

The Review will consider the extent to which the project has played a catalytic role<sup>98</sup> or has promoted scaling up and/or replication as part of its Theory of Change (either explicitly as in a project with a demonstration component or implicitly as expressed in the drivers required to move to outcome levels) and as factors that are likely to contribute to greater or long lasting impact.

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

*Factors affecting this criterion may include:*

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

### ***E. Financial Management***

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

*Factors affecting this criterion may include:*

- Preparation and readiness
- Quality of project management and supervision

### ***F. Efficiency***

Under the efficiency criterion the Review will assess the extent to which the project delivered maximum results from the given resources. This will include an assessment of the cost-effectiveness and timeliness of project execution.

Focusing on the translation of inputs into outputs, *cost-effectiveness* is the extent to which an intervention has achieved, or is expected to achieve, its results at the lowest possible cost. *Timeliness* refers to whether planned activities were delivered according to expected timeframes as well as whether events were sequenced efficiently. The Review will also assess to what extent any project extension could have been avoided through stronger project management and identify any negative impacts caused by project delays or

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<sup>98</sup> The terms *catalytic effect*, *scaling up* and *replication* are inter-related and generally refer to extending the coverage or magnitude of the effects of a project. *Catalytic effect* is associated with triggering additional actions that are not directly funded by the project – these effects can be both concrete or less tangible, can be intentionally caused by the project or implied in the design and reflected in the TOC drivers, or can be unintentional and can rely on funding from another source or have no financial requirements. *Scaling up* and *Replication* require more intentionality for projects, or individual components and approaches, to be reproduced in other similar contexts. *Scaling up* suggests a substantive increase in the number of new beneficiaries reached/involved and may require adapted delivery mechanisms while *Replication* suggests the repetition of an approach or component at a similar scale but among different beneficiaries. Even with highly technical work, where scaling up or replication involves working with a new community, some consideration of the new context should take place and adjustments made as necessary.

extensions. The Review will describe any cost or time-saving measures put in place to maximise results within the secured budget and agreed project timeframe and consider whether the project was implemented in the most efficient way compared to alternative interventions or approaches.

The Review will give special attention to efforts made by the project teams during project implementation to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities<sup>99</sup> with other initiatives, programmes and projects etc. to increase project efficiency.

The factors underpinning the need for any project extensions will also be explored and discussed. Consultants should note that as management or project support costs cannot be increased in cases of 'no cost extensions', such extensions represent an increase in unstated costs to UNEP and Executing Agencies.

*Factors affecting this criterion may include:*

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

### **G. Monitoring and Reporting**

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

#### **i. Monitoring Design and Budgeting**

Each project should be supported by a sound monitoring plan that is designed to track progress against SMART<sup>100</sup> results towards the achievement of the project's outputs and outcomes, including at a level disaggregated by gender, marginalisation or vulnerability, including those living with disabilities. In particular, the Review will assess the relevance and appropriateness of the project indicators as well as the methods used for tracking progress against them as part of conscious results-based management. The Review will assess the quality of the design of the monitoring plan as well as the funds allocated for its implementation. The adequacy of resources for Mid-Term and Terminal Evaluation/Review should be discussed, where applicable.

#### **ii. Monitoring of Project Implementation**

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

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

#### **iii. Project Reporting**

UNEP has a centralised project information management system (Anubis) in which project managers upload six-monthly progress reports against agreed project milestones. This information will be provided to the Review Consultant(s) by the Task Manager. Some projects have additional requirements to report regularly to funding partners, which will be supplied by the project team (e.g. the Project Implementation Reviews and

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<sup>99</sup> Complementarity with other interventions during project design, inception or mobilization is considered under Strategic Relevance above.

<sup>100</sup> SMART refers to results that are specific, measurable, achievable, relevant and time-oriented. Indicators help to make results measurable.

Tracking Tool for GEF-funded projects). The Review will assess the extent to which both UNEP and GEF reporting commitments have been fulfilled. Consideration will be given as to whether reporting has been carried out with respect to the effects of the initiative on disaggregated groups.

*Factors affecting this criterion may include:*

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

#### **H. Sustainability**

Sustainability<sup>101</sup> is understood as the probability of the benefits derived from the achievement of project outcomes being maintained and developed after the close of the intervention. The Review will identify and assess the key conditions or factors that are likely to undermine or contribute to the endurance of achieved project outcomes (i.e. 'assumptions' and 'drivers'). Some factors of sustainability may be embedded in the project design and implementation approaches while others may be contextual circumstances or conditions that evolve over the life of the intervention. Where applicable an assessment of bio-physical factors that may affect the sustainability of direct outcomes may also be included.

##### **i. Socio-political Sustainability**

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

##### **ii. Financial Sustainability**

Some project outcomes, once achieved, do not require further financial inputs, e.g. the adoption of a revised policy. However, in order to derive a benefit from this outcome further management action may still be needed e.g. to undertake actions to enforce the policy. Other project outcomes may be dependent on a continuous flow of action that needs to be resourced for them to be maintained, e.g. continuation of a new natural resource management approach. The Review will assess the extent to which project outcomes are dependent on future funding for the benefits they bring to be sustained. Secured future funding is only relevant to financial sustainability where the project outcomes have been extended into a future project phase. Even where future funding has been secured, the question still remains as to whether the project outcomes are financially sustainable.

##### **iii. Institutional Sustainability**

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

*Factors affecting this criterion may include:*

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

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<sup>101</sup> As used here, 'sustainability' means the long-term maintenance of outcomes and consequent impacts, whether environmental or not. This is distinct from the concept of sustainability in the terms 'environmental sustainability' or 'sustainable development', which imply 'not living beyond our means' or 'not diminishing global environmental benefits' (GEF STAP Paper, 2019, Achieving More Enduring Outcomes from GEF Investment)

## **I. Factors Affecting Project Performance and Cross-Cutting Issues**

*(These factors are rated in the ratings table but are discussed within the Main Review Report as cross-cutting themes as appropriate under the other review criteria, above. If these issues have not been addressed under the Review Criteria above, then independent summaries of their status within the reviewed project should be given in this section)*

### **i. Preparation and Readiness**

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

### **ii. Quality of Project Management and Supervision**

For GEF funded projects ‘project management and supervision’ may refer to the project management performance of the Executing Agency and the technical backstopping and supervision provided by UNEP as Implementing Agency. The performance of parties playing different roles should be discussed and a rating provided for both types of supervision (UNEP/Implementing Agency; Partner/Executing Agency) and the overall rating for this sub-category established as a simple average of the two.

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

### **iii. Stakeholder Participation and Cooperation**

Here the term ‘stakeholder’ should be considered in a broad sense, encompassing all project partners, duty bearers with a role in delivering project outputs, target users of project outputs and any other collaborating agents external to UNEP and the executing partner(s). The assessment will consider the quality and effectiveness of all forms of communication and consultation with stakeholders throughout the project life and the support given to maximise collaboration and coherence between various stakeholders, including sharing plans, pooling resources and exchanging learning and expertise. The inclusion and participation of all differentiated groups, including gender groups should be considered.

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

### **iv. Responsiveness to Human Rights and Gender Equality**

The Review will ascertain to what extent the project has applied the UN Common Understanding on the human rights-based approach (HRBA) and the UN Declaration on the Rights of Indigenous People. Within this human rights context the Review will assess to what extent the intervention adheres to UNEP’s Policy and Strategy for Gender Equality and the Environment<sup>102</sup>.

The report should present the extent to which the intervention, following an adequate gender analysis at design stage, has implemented the identified actions and/or applied adaptive management to ensure that Gender Equality and Human Rights are adequately taken into account. In particular the Review will consider to what extent project, implementation and monitoring have taken into consideration: (i) possible inequalities

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<sup>102</sup>The Evaluation Office notes that Gender Equality was first introduced in the UNEP Project Review Committee Checklist in 2010 and, therefore, provides a criterion rating on gender for projects approved from 2010 onwards. Equally, it is noted that policy documents, operational guidelines and other capacity building efforts have only been developed since then and have evolved over time. [https://wedocs.unep.org/bitstream/handle/20.500.11822/7655/-Gender\\_equality\\_and\\_the\\_environment\\_Policy\\_and\\_strategy-2015Gender\\_equality\\_and\\_the\\_environment\\_policy\\_and\\_strategy.pdf.pdf?sequence=3&isAllowed=y](https://wedocs.unep.org/bitstream/handle/20.500.11822/7655/-Gender_equality_and_the_environment_Policy_and_strategy-2015Gender_equality_and_the_environment_policy_and_strategy.pdf.pdf?sequence=3&isAllowed=y)



(especially those related to gender) in access to, and the control over, natural resources; (ii) specific vulnerabilities of disadvantaged groups (especially women, youth and children and those living with disabilities) to environmental degradation or disasters; and (iii) the role of disadvantaged groups (especially women, youth and children and those living with disabilities) in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation.

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

**v. Environmental and Social Safeguards**

UNEP projects address environmental and social safeguards primarily through the process of environmental and social screening at the project approval stage, risk assessment and management (avoidance, minimization, mitigation or, in exceptional cases, offsetting) of potential environmental and social risks and impacts associated with project and programme activities. The Review will confirm whether UNEP requirements<sup>103</sup> were met to: *review* risk ratings on a regular basis; *monitor* project implementation for possible safeguard issues; *respond* (where relevant) to safeguard issues through risk avoidance, minimization, mitigation or offsetting and *report* on the implementation of safeguard management measures taken. UNEP requirements for proposed projects to be screened for any safeguarding issues; for sound environmental and social risk assessments to be conducted and initial risk ratings to be assigned are reviewed above under Quality of Project Design).

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

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

**vi. Country Ownership and Driven-ness**

The Review will assess the quality and degree of engagement of government / public sector agencies in the project. While there is some overlap between Country Ownership and Institutional Sustainability, this criterion focuses primarily on the forward momentum of the intended projects results, i.e. either: a) moving forwards from outputs to project outcomes or b) moving forward from project outcomes towards intermediate states. The Review will consider the involvement not only of those directly involved in project execution and those participating in technical or leadership groups, but also those official representatives whose cooperation is needed for change to be embedded in their respective institutions and offices (e.g. representatives from multiple sectors or relevant ministries beyond Ministry of Environment). This factor is concerned with the level of ownership generated by the project over outputs and outcomes and that is necessary for long term impact to be realised. Ownership should extend to all gender and marginalised groups.

**vii. Communication and Public Awareness**

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

The project's completed Knowledge Management Approach, including: Knowledge and Learning Deliverables (e.g. website/platform development); Knowledge Products/Events; Communication Strategy; Lessons Learned

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<sup>103</sup> For the review of project concepts and proposals, the Safeguard Risk Identification Form (SRIF) was introduced in 2019 and replaced the Environmental, Social and Economic Review note (ESERN), which had been in place since 2016. In GEF projects safeguards have been considered in project designs since 2011.

and Good Practice; Adaptive Management Actions should be reviewed. This should be based on the documentation approved at CEO Endorsement/Approval.

### Section 3. REVIEW APPROACH, METHODS AND DELIVERABLES

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

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

- (a) **A desk review of:**
  - Relevant background documentation, inter alia biodiversity and natural resource management strategies, other substantive documents prepared by the projects and others;
  - Project design documents (including minutes of the project design review meeting at approval); Annual Work Plans and Budgets or equivalent, revisions to the project (Project Document Supplement), the logical framework and its budget;
  - Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence and including the Project Implementation Reviews and Tracking Tool and others;
  - Project deliverables (e.g. publications, reports, assessments, surveys);
  - Mid-Term Review or Mid-Term Evaluation of the project;
  - Evaluations/Reviews of similar projects.
  
- (b) **Interviews** (individual or in group) with:
  - UNEP Task Manager (TM);
  - Project Manager (PM);
  - Project management team;
  - UNEP Fund Management Officer (FMO);
  - Portfolio Manager and Sub-Programme Coordinator, where appropriate;
  - Project partners based on stakeholder analyses;
  - Relevant resource persons;
  - Representatives from civil society and specialist groups (such as women's, farmers and trade associations etc).
  
- (c) **Surveys;**
- (d) **Field visits;**
- (e) **Other data collection tools**, all as appropriate for the terminal review and elaborated in the inception report.

#### **F. Review Deliverables and Review Procedures**

The Review Consultant will prepare:

- **Inception Report:** (see Annex 1 for a list of all templates, tables and guidance notes) containing an assessment of project design quality, a draft reconstructed Theory of Change of the project, project stakeholder analysis, review framework and a tentative review schedule.
- **Preliminary Findings Note:** typically in the form of a PowerPoint presentation, the sharing of preliminary findings is intended to support the participation of the project team, act as a means to

ensure all information sources have been accessed and provide an opportunity to verify emerging findings.

- **Draft and Final Review Report:** containing an executive summary that can act as a stand-alone document; detailed analysis of the review findings organised by review criteria and supported with evidence; lessons learned and recommendations and an annotated ratings table.

A **Review Brief** (a 2-page overview of the evaluation and review findings) for wider dissemination through the UNEP website may be required. This will be discussed with the Task Manager no later than during the finalization of the Inception Report.

**Review of the Draft Review Report.** The Review Consultant will submit a draft report to the Task Manager and revise the draft in response to their comments and suggestions. The Task Manager will then forward the revised draft report to other project stakeholders, for their review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions as well as providing feedback on the proposed recommendations and lessons. Any comments or responses to draft reports will be sent to the Task Manager for consolidation. The Task Manager will provide all comments to the Review Consultant for consideration in preparing the final report, along with guidance on areas of contradiction or issues requiring an institutional response.

The final version of the Terminal Review report will be assessed for its quality by the UNEP Evaluation Office using a standard template and this assessment will be annexed to the final Terminal Review report.

At the end of the review process, the Task Manager will prepare a **Recommendations Implementation Plan** in the format of a table, to be completed and updated at regular intervals, and circulate the **Lessons Learned**.

#### **G. The Review Consultant**

The Review Consultant will work under the overall responsibility of the Task Manager in consultation with the Fund Management Officer, the Head of Unit/Branch, the Portfolio Manager and the Sub-programme Coordinators of the relevant UNEP Sub-programmes as appropriate.

The Review Consultant will liaise with the Task Manager on any procedural and methodological matters related to the Review. It is, however, the consultant's individual responsibility (where applicable) to arrange for their visas and immunizations as well as to plan meetings with stakeholders, organize online surveys, obtain documentary evidence and any other logistical matters related to the assignment. The UNEP Task Manager and project team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultants to conduct the Review as efficiently and independently as possible.

The Review Consultant will be hired for 40 workdays over a period of 4 months (1 September 2022 to 31 December 2022) and should have the following: a university degree in environmental sciences, international development or other relevant political or social sciences area is required and an advanced degree in the same areas is desirable; a minimum of 7 years of technical / evaluation experience is required, preferably including evaluating large, regional or global programmes and using a Theory of Change approach. A good/broad understanding of biodiversity and land management issues as well as ecosystem services is desired. For this consultancy, fluency in oral and written English and Spanish is required. The work will be home-based with possible field visits.

The Review Consultant will be responsible, in close consultation with the Task Manager, for overall quality of the review and timely delivery of its outputs, described above in Section 11 Review Deliverables, above. The Review Consultant will ensure that all review criteria and questions are adequately covered.

#### **H. Schedule of the Review**

The table below presents the tentative schedule for the Review over 4 months since start of the assignment.

**Table 3. Tentative schedule for the Review**

<b>Milestone</b>	<b>Tentative Dates</b>
Inception Report	3 weeks from starting date
Review Mission	6 weeks from starting date
E-based data collection through interviews, surveys and other approaches.	8 weeks from starting date
PowerPoint/presentation on preliminary findings and recommendations	8 weeks from starting date
Draft Review Report to Task Manager (and Project Manager)	12 weeks from starting date
Draft Review Report shared with wider group of stakeholders	13 weeks from starting date
Final Review Report	16 weeks from starting date
Final Review Report shared with all respondents	16 weeks from starting date

### **I. Contractual Arrangements**

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

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

Schedule of Payment:

<b>Deliverable</b>	<b>Percentage Payment</b>
Approved Inception Report ( <i>as per Annex I document #9</i> )	30%
Approved Draft Main Review Report ( <i>as per Annex I document #10</i> )	30%
Approved Final Main Review Report	40%

**Fees only contracts:** Where applicable, air tickets will be purchased by UNEP and 75% of the Daily Subsistence Allowance for each authorised travel mission will be paid up front. Local in-country travel will only be reimbursed where agreed in advance with the Task Manager and on the production of acceptable receipts. Terminal expenses and residual DSA entitlements (25%) will be paid after mission completion.

The consultant may be provided with access to UNEP’s information management systems (e.g. PIMS, Anubis, SharePoint, etc.) and, if such access is granted, the consultants agree not to disclose information from that system to third parties beyond information required for, and included in, the Review Report.

In case the consultant is not able to provide the deliverables in accordance with these guidelines, and in line with the expected quality standards by UNEP, payment may be withheld at the discretion of the Head of Branch or Portfolio Manager until the consultants have improved the deliverables to meet UNEP’s quality standards.

If the consultant fails to submit a satisfactory final product to the Project Manager in a timely manner, i.e. before the end date of their contract, UNEP reserves the right to employ additional human resources to finalize the report, and to reduce the consultant’s fees by an amount equal to the additional costs borne by the project team to bring the report up to standard or completion.

## ANNEX 12. QUALITY ASSESSMENT OF THE REVIEW REPORT

### Quality Assessment of the Terminal Review Report

Review Title: Protecting Biodiversity and Multiple Ecosystem Services in Biological Mountain Corridors in Chile. GEF 5135

Consultant: Robert Hofstede

All UNEP Reviews are subject to a quality assessment by the UNEP Evaluation Office. This is an assessment of the quality of the review product (i.e. Main Review Report).

Evaluation Manager to check the relevant guidance from core funding partners (e.g. GEF, GCF, Adaptation Fund) for variable interests. These are also noted in the Management-Led Terminal Review TOR template.

	UNEP Evaluation Office Comments	Final Review Report Rating
<b>Substantive Report Quality Criteria</b>		
<p><b>Quality of the Executive Summary:</b></p> <p>The Summary should be able to stand alone as an accurate summary of the main review product. It should include a concise overview of the review object; clear summary of the review objectives and scope; overall project performance rating of the project and key features of performance (strengths and weaknesses) against exceptional criteria (plus reference to where the review ratings table can be found within the report); summary of the main findings of the exercise, including a synthesis of main conclusions (which include a summary response to key strategic review questions), lessons learned and recommendations.</p>	<p><b>Final report:</b></p> <p>Good stand-alone summary provided in both English and Spanish.</p>	6
<p><b>I. Introduction</b></p> <p>A brief introduction should be given identifying, where possible and relevant, the following: institutional context of the project (sub-programme, Division, regions/countries where implemented) and coverage of the review; date of PRC approval and project document signature); results frameworks to which it contributes (e.g. Expected Accomplishment in POW); project duration and start/end dates; number of project phases (where appropriate); implementing partners; total secured budget and whether the project has been reviewed/evaluated in the past (e.g. mid-term, part of a synthesis evaluation, evaluated by another agency etc.)</p> <p>Consider the extent to which the introduction includes a concise statement of the purpose of the review and the key intended audience for the findings?</p>	<p><b>Final report:</b></p> <p>The review covers the required elements. It gives the GEF approval date rather than UNEP's PRC.</p>	5
<p><b>II. Review Methods</b></p> <p>A data collection section should include: a description of review methods and information sources used, including the number and type of respondents; justification for methods used (e.g. qualitative/quantitative; electronic/face-to-face); any selection criteria used to identify respondents, case studies or sites/countries visited; strategies used to increase stakeholder engagement and consultation; details of how data were verified (e.g. triangulation, review by stakeholders etc.). Efforts to include the voices of different groups, e.g. vulnerable, gender, marginalised etc) should be described.</p>	<p><b>Final report:</b></p> <p>A good summary covering all required elements.</p>	5

<p>Methods to ensure that potentially excluded groups (excluded by gender, vulnerability or marginalisation) are reached and their experiences captured effectively, should be made explicit in this section.</p> <p>The methods used to analyse data (e.g. scoring; coding; thematic analysis etc.) should be described.</p> <p>It should also address review limitations such as: low or imbalanced response rates across different groups; gaps in documentation; extent to which findings can be either generalised to wider review questions or constraints on aggregation/disaggregation; any potential or apparent biases; language barriers and ways they were overcome.</p> <p>Ethics and human rights issues should be highlighted including: how anonymity and confidentiality were protected and strategies used to include the views of marginalised or potentially disadvantaged groups and/or divergent views. E.g. <i>'Throughout the review process and in the compilation of the Final Review Report efforts have been made to represent the views of both mainstream and more marginalised groups. All efforts to provide respondents with anonymity have been made'</i></p>		
<p><b>III. The Project</b></p> <p>This section should include:</p> <ul style="list-style-type: none"> <li>• <i>Context:</i> Overview of the main issue that the project is trying to address, its root causes and consequences on the environment and human well-being (i.e. synopsis of the problem and situational analyses).</li> <li>• <i>Results Framework:</i> Summary of the project's results hierarchy as stated in the ProDoc (or as officially revised)</li> <li>• <i>Stakeholders:</i> Description of groups of targeted stakeholders organised according to relevant common characteristics</li> <li>• <i>Project implementation structure and partners:</i> A description of the implementation structure with diagram and a list of key project partners</li> <li>• <i>Changes in design during implementation:</i> Any key events that affected the project's scope or parameters should be described in brief in chronological order</li> <li>• <i>Project financing:</i> Completed tables of: (a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing</li> </ul>	<p><b>Final report:</b></p> <p>All required aspects were adequately covered.</p>	<p>5</p>
<p><b>IV. Theory of Change</b></p> <p>The reconstructed TOC at Review should be presented clearly in both diagrammatic and narrative forms. Clear articulation of each major causal pathway is expected, (starting from outputs to long term impact), including explanations of all drivers and assumptions as well as the expected roles of key actors.</p> <p>This section should include a description of how the <i>TOC at Review</i><sup>104</sup> was designed (who was involved etc.) and applied to the context of the project? Where different groups (e.g. vulnerable, gender,</p>	<p><b>Final report:</b></p> <p>The TOC misses steps linking assessment / monitoring systems and legal instruments in pilot areas to the</p>	<p>4</p>

<sup>104</sup> During the Inception Phase of the review process a *TOC at Design* is created based on the information contained in the approved project documents (these may include either logical framework or a TOC or narrative descriptions). During the review process this TOC is revised based on changes made during project intervention and becomes the *TOC at Review*.

<p>marginalised etc) are included in, or affected by the project in different ways, this should be reflected in the TOC.</p> <p>Where the project results as stated in the project design documents (or formal revisions of the project design) are not an accurate reflection of the project's intentions or do not follow UNEP's definitions of different results levels, project results may need to be re-phrased or reformulated. In such cases, a summary of the project's results hierarchy should be presented for: a) the results as stated in the approved/revised Prodoc logframe/TOC and b) as formulated in the TOC at Review. <i>The two results hierarchies should be presented as a two column table to show clearly that, although wording and placement may have changed, the results 'goal posts' have not been 'moved'.</i> This table may have initially been presented in the Inception Report and should appear somewhere in the Main Review report.</p>	<p>intended longer-term effects – which must flow through enforcement / implementation pathways. The assumptions and drivers are not explicitly associated with individual causal pathways / change processes.</p>	
<p><b>V. Key Findings</b></p> <p><b>A. Strategic relevance:</b></p> <p>This section should include an assessment of the project's relevance in relation to UNEP's mandate and its alignment with UNEP's policies and strategies at the time of project approval. An assessment of the complementarity of the project at design (or during inception/mobilisation<sup>105</sup>) with other interventions addressing the needs of the same target groups should be included. Consider the extent to which all four elements have been addressed:</p> <ul style="list-style-type: none"> <li>v. Alignment to the UNEP Medium Term Strategy (MTS), Programme of Work (POW) and Strategic Priorities</li> <li>vi. Alignment to Donor/Partner Strategic Priorities</li> <li>vii. Relevance to Regional, Sub-regional and National Environmental Priorities</li> <li>viii. Complementarity with Existing Interventions</li> </ul>	<p><b>Final report:</b></p> <p>A sound discussion that covers all the required elements.</p>	5
<p><b>B. Quality of Project Design</b></p> <p>To what extent are the strength and weaknesses of the project design effectively <u>summarized</u>?</p>	<p><b>Final report:</b></p> <p>Covers the main elements of the project's design. The project's indicators are discussed but not presented in the text (they are available in Annex 6).</p>	5

<sup>105</sup> A project's inception or mobilization period is understood as the time between project approval and first disbursement. Complementarity during project implementation is considered under Efficiency, see below.

<p><b>C. Nature of the External Context</b> For projects where this is appropriate, key external features of the project's implementing context that may have been reasonably expected to limit the project's performance (e.g. conflict, natural disaster, political upheaval<sup>106</sup>) and how they have affected performance, should be described.</p>	<p><b>Final report:</b> The discussion covered socio political factors caused by multiple changes of government.</p>	<p>4</p>
<p><b>D. Effectiveness</b> <b>(i) Outputs and Project Outcomes:</b> How well does the report present a well-reasoned, complete and evidence-based assessment of the a) availability of outputs, and b) achievement of project outcomes? How convincing is the discussion of attribution and contribution, as well as the constraints to attributing effects to the intervention.  The effects of the intervention on differentiated groups, including those with specific needs due to gender, vulnerability or marginalisation, should be discussed explicitly.</p>	<p><b>Final report:</b> A thorough and well-reasoned account with judgements supported by evidence.  Effects on differentiated groups is lacking.</p>	<p>5</p>
<p><b>(ii) Likelihood of Impact:</b> How well does the report present an integrated analysis, guided by the causal pathways represented by the TOC, of all evidence relating to likelihood of impact? How well are change processes explained and the roles of key actors, as well as drivers and assumptions, explicitly discussed? Any unintended negative effects of the project should be discussed under Effectiveness, especially negative effects on disadvantaged groups.</p>	<p><b>Final report:</b> Drivers are not fully discussed. Main causal pathways not fully described.</p>	<p>4</p>
<p><b>E. Financial Management</b> This section should contain an integrated analysis of all dimensions evaluated under financial management and include a completed 'financial management' table. Consider how well the report addresses the following:</p> <ul style="list-style-type: none"> <li>• <i>adherence</i> to UNEP's financial policies and procedures</li> <li>• <i>completeness</i> of financial information, including the actual project costs (total and per activity) and actual co-financing used</li> <li>• <i>communication</i> between financial and project management staff</li> </ul>	<p><b>Final report:</b> Narrative adequate but little financial detail in the form of tables. Financial communication is rated but not really described.  <i>(if this section is rated poorly as a result of limited financial information from the project, this is not a reflection on the consultant per se, but will affect the quality of the review report)</i></p>	<p>4</p>

<sup>106</sup> Note that 'political upheaval' does not include regular national election cycles, but unanticipated unrest or prolonged disruption. The potential delays or changes in political support that are often associated with the regular national election cycle should be part of the project's design and addressed through adaptive management of the project team.



<p><b>F. Efficiency</b> To what extent, and how well, does the report present a well-reasoned, complete and evidence-based assessment of efficiency under the primary categories of cost-effectiveness and timeliness including:</p> <ul style="list-style-type: none"> <li>• Implications of delays and no cost extensions</li> <li>• Time-saving measures put in place to maximise results within the secured budget and agreed project timeframe</li> <li>• Discussion of making use during project implementation of/building on pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc.</li> <li>• The extent to which the management of the project minimised UNEP's environmental footprint.</li> </ul>	<p><b>Final report:</b> The section is quite comprehensive although towards the end of the section- <i>why</i> the project is perceived to be more or less efficient than the other project examples given is not stated.</p>	5
<p><b>G. Monitoring and Reporting</b> How well does the report assess:</p> <ul style="list-style-type: none"> <li>• Monitoring design and budgeting (<i>including SMART results with measurable indicators, resources for MTE/R etc.</i>)</li> <li>• Monitoring of project implementation (<i>including use of monitoring data for adaptive management</i>)</li> <li>• Project reporting (<i>e.g. PIMS and donor reports</i>)</li> </ul>	<p><b>Final report:</b> A thorough assessment that covers the required aspects.</p>	5
<p><b>H. Sustainability</b> How well does the review identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved project outcomes including:</p> <ul style="list-style-type: none"> <li>• Socio-political Sustainability</li> <li>• Financial Sustainability</li> <li>• Institutional Sustainability (<i>including issues of partnerships</i>)</li> </ul>	<p><b>Final report:</b> A well-balanced and comprehensive discussion of the sustainability / durability of project results. Because all sub-criteria for sustainability are regarded as limiting factors the overall rating is equivalent to the lowest sub-criterion i.e. 'Moderately Likely'</p>	5
<p><b>I. Factors Affecting Performance</b> These factors are <u>not</u> discussed in stand-alone sections but are <b>integrated in criteria A-H as appropriate</b>. Note that these are described in the Evaluation Criteria Ratings Matrix. To what extent, and how well, does the review report cover the following cross-cutting themes:</p>	<p><b>Final report:</b> Most factors are treated comprehensively with the exception</p>	4

<ul style="list-style-type: none"> <li>• Preparation and readiness</li> <li>• Quality of project management and supervision<sup>107</sup></li> <li>• Stakeholder participation and co-operation</li> <li>• Responsiveness to human rights and gender equity</li> <li>• Environmental and social safeguards</li> <li>• Country ownership and driven-ness</li> <li>• Communication and public awareness</li> </ul>	of Country Ownership and environmental and social safeguards where a rating given with no supporting narrative.	
<p><b>VI. Conclusions and Recommendations</b></p> <p><b>Quality of the conclusions:</b> The key strategic questions should be clearly and succinctly addressed within the conclusions section. It is expected that the conclusions will highlight the main strengths and weaknesses of the project, and connect them in a compelling story line. Human rights and gender dimensions of the intervention (e.g. how these dimensions were considered, addressed or impacted on) should be discussed explicitly. Conclusions, as well as lessons and recommendations, should be consistent with the evidence presented in the main body of the report.</p>	<b>Final report:</b> Key strategic questions were not specified/reiterated but the conclusions do address them.	5
<p><b>ii) Quality and utility of the lessons:</b> Both positive and negative lessons are expected and duplication with recommendations should be avoided. Based on explicit review findings, lessons should be rooted in real project experiences or derived from problems encountered and mistakes made that should be avoided in the future. Lessons are intended to be adopted any time they are deemed to be relevant in the future and must have the potential for wider application (replication and generalization) and use and should briefly describe the context from which they are derived and those contexts in which they may be useful.</p>	<b>Final report:</b> Very useful lessons grounded in the evaluation's findings.	5
<p><b>iii) Quality and utility of the recommendations:</b></p> <p>To what extent are the recommendations <u>proposals for specific action to be taken by identified people/position-holders to resolve concrete problems affecting the project or the sustainability of its results?</u> They should be feasible to implement within the timeframe and resources available (including local capacities) and specific in terms of who would do what and when.</p> <p>At least one recommendation relating to strengthening the human rights and gender dimensions of UNEP interventions, should be given. Recommendations should represent a measurable performance target in order that the Evaluation Office can monitor and assess compliance with the recommendations.</p> <p>In cases where the recommendation is addressed to a third party, compliance can only be monitored and assessed where a contractual/legal agreement remains in place. Without such an agreement, the recommendation should be formulated to say that UNEP project staff should pass on the recommendation to the relevant third party in an effective or substantive manner. The effective transmission by UNEP of the recommendation will then be monitored for compliance.</p>	<b>Final report:</b> Recommendations separate problems from prescriptions but do not utilize the required template.	5

<sup>107</sup> In some cases 'project management and supervision' will refer to the supervision and guidance provided by UNEP to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the Executing Agency and the overall supervision/technical backstopping provided by UNEP, as the Implementing Agency. Comments and a rating should be provided for both types of supervision and the overall rating for this sub-category established as a simple average of the two.

Where a new project phase is already under discussion or in preparation with the same third party, a recommendation can be made to address the issue in the next phase.		
<b>VII. Report Structure and Presentation Quality</b>		
i) <b>Structure and completeness of the report:</b> To what extent does the report follow the Evaluation Office guidelines? Are all requested Annexes included and complete, including a gender disaggregation total for respondents.	<b>Final report:</b> The report follows the Evaluation Office guidelines and presents all the Annexes.	6
ii) <b>Quality of writing and formatting:</b> Consider whether the report is well written (clear English language and grammar) with language that is adequate in quality and tone for an official document? Do visual aids, such as maps and graphs convey key information? Does the report follow UNEP Evaluation Office formatting guidelines?	<b>Final report:</b> A well-prepared and well-written report	6
<b>OVERALL REPORT QUALITY RATING</b>		<b>4.9</b>

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