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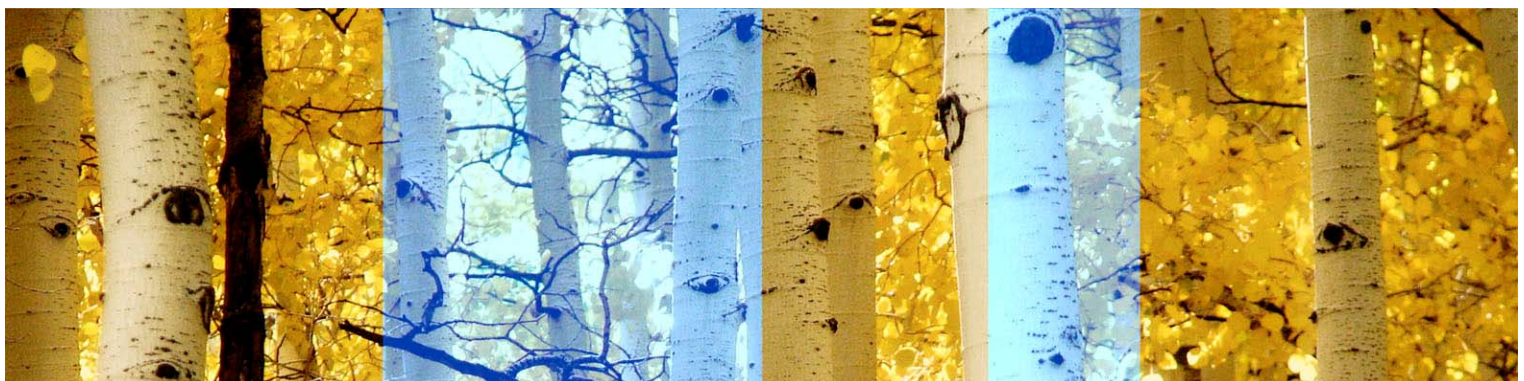
Ministry for Foreign Affairs of Finland

Final Evaluation: Regional Biodiversity Programme for the Amazon Region of the Andean Countries

Evaluation Report

Helsinki, Finland
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ABBREVIATIONS

| | |
|---------------|---|
| AAA | Agenda Ambiental Andina |
| AP | Áreas Protegidas |
| BioCAN | Programa Regional de Biodiversidad en la Amazonía de los Países Miembros de la CAN |
| BIODAMAZ | Proyecto Diversidad Biológica de la Amazonía Peruana |
| BIOINFO | Programa de Investigación en Información de la Biodiversidad Amazónica |
| CAN | Comunidad Andina |
| CASSIA | Catalogador SIB Sobre Información Ambiental (Colombia) |
| CCUT | Cambio de Cobertura y Uso de la Tierra |
| CDA | Corporación para el Desarrollo Sostenible del Norte y Oriente Amazónico (Colombia) |
| CDB | Convenio sobre la Diversidad Biológica |
| CI | Conservación Internacional |
| CIPLA | Central Indígena del Pueblo Lecos de Apolo (Bolivia) |
| CONDESAN | Consortio para el Desarrollo Sostenible de la Ecorregión Andina |
| CONGOPE | Consortio de Gobiernos Autónomos Provinciales del Ecuador |
| COPCI | Código Orgánico de la Producción, Comercio e Inversiones (Ecuador) |
| COPFP | Código Orgánico de Planificación y Finanzas Públicas (Ecuador) |
| CORPOAMAZONIA | Corporación para el Desarrollo Sostenible de la Amazonia |
| DGBAP | Dirección General de Biodiversidad y Áreas Protegidas (Bolivia) |
| DGOT | Dirección General de Ordenamiento Territorial (Perú) |
| ERB | Estrategia Regional de Biodiversidad |
| GAD | Gobiernos Autónomos Descentralizados (Ecuador) |
| GEF | Global Environment Facility |
| GTBOT | Grupo Técnico de Gestión de la Biodiversidad para el ordenamiento territorial Amazónico |
| GTZ - GIZ | Cooperación Técnica Alemana |
| IDEAM | Instituto de Hidrología, Meteorología y Estudios Ambientales (Colombia) |
| IDR | Instituto de Desarrollo Regional (Bolivia) |
| IIAP | Instituto de Investigaciones de la Amazonía Peruana |
| MADS | Ministerio de Ambiente y Desarrollo Sostenible (Colombia) |
| MAE | Ministerio del Ambiente de Ecuador |
| MEF | Ministerio de Economía y Finanzas (Perú) |
| MINAM | Ministerio del Ambiente (Perú) |
| MMAyA | Ministerio de Medio Ambiente y Agua (Bolivia) |
| MMNPT | Mancomunidad de Municipio del Norte Paceño Tropical (Bolivia) |



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| | |
|------------------|--|
| ONG | Organización No Gubernamental |
| OT | Ordenamiento Territorial |
| OTCA | Organización del Tratado de Cooperación Amazónica |
| PANE | Patrimonio de Áreas Naturales Protegidas del Ecuador |
| PDM | Plan de Desarrollo Municipal (Bolivia) |
| PDOT | Plan de Desarrollo y Ordenamiento Territorial (Ecuador) |
| PIRAA | Plataforma de Información Regional Ambiental Amazónica |
| PP | Proyecto Piloto |
| PROTERRA | Programa de Investigación en Cambio Climático, Desarrollo Territorial y Ambiente del IIAP (Perú) |
| PUCE | Pontificia Universidad Católica de Ecuador |
| RFA | Reserva Forestal Amazónica (Colombia) |
| RIDOT | Red Iberoamericana de Observación Territorial |
| SAF | Sistema de Administración Forestal (Ecuador) |
| SANIA | Sistema Andino de Información Ambiental |
| SENPLADES | Secretaría Nacional de Planificación y Desarrollo (Ecuador) |
| SERNANP | Servicio Nacional de Áreas Naturales Protegidas (Perú) |
| SERNAP | Servicio Nacional de Áreas Protegidas (Bolivia) |
| SGCAN | Secretaría General de la Comunidad Andina |
| SIAC | Sistema de Información Ambiental de Colombia |
| Siamazonía | Sistema de Información de la Diversidad Biológica y Ambiental de la Amazonía Peruana |
| SIATAC | Sistema de Información Ambiental Territorial de la Amazonía Colombiana |
| SIB | Sistema de Información sobre Biodiversidad |
| SIG | Sistema de Información Geográfico |
| SINAP | Sistema Nacional de Áreas Protegidas (Colombia) |
| SINIA | Sistema Nacional de Información Ambiental (Perú) |
| Instituto Sinchi | Instituto Amazónico de Investigaciones Científicas (Colombia) |
| SPN | Subsecretaría de Patrimonio Natural (Ecuador) |
| SUIA | Sistema Único de Información Ambiental (Ecuador) |
| TCO | Tierras Comunitarias de Origen (Bolivia) |
| UCN | Unidad de Coordinación Nacional |
| UCR | Unidad de Coordinación Regional |
| UICN | Unión Internacional para la Conservación de la Naturaleza |
| WCS | Wildlife Conservation Society |
| ZEE | Zonificación Ecológica Económica (Perú) |



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EXECUTIVE SUMMARY

The **overall objective** of the BioCAN programme implementation phase (2010 – 2013) was to contribute to the sustainable development of the Andean Community (CAN) member countries - Bolivia, Colombia, Ecuador and Peru - to improve the quality of life of Amazonian populations, and to reduce poverty by strengthening environmental management. The programme was implemented by the General Secretariat of the Andean Community (SGCAN), with financial support from the Ministry for Foreign Affairs of Finland. The BioCAN Implementation Phase, subject to this evaluation, started in July 2010 and finished in December 2013. The programme overall budget was EUR 6.275 million. The programme supported regional, national and local projects identified by the ministries responsible for the environment in the CAN countries, as well as specific local initiatives, financed through the BioCAN Competitive Fund. Thematically, BioCAN activities focused on: (i) genetic resources, (ii) wildlife management, (iii) communication, (iv) biodiversity information systems, (v) land-use planning, and (vii) sustainable use of biodiversity.

The final evaluation was carried out in February – March 2015, slightly more than a year after the BioCAN programme had formally ended.

The **main message** of the evaluation is that in a complex regional programme with a high level of ambition, such as BioCAN, the time scale and design of the engagement must better take into account the inherent strengths and weaknesses of such cooperation. Partnering with a regional high-level political organization provides high visibility and status to a programme and helps to leverage public policies with cross-border impacts, but the trade-off is often heavy bureaucratic and sometimes inefficient implementation. The BioCAN programme scheme did not sufficiently take into account that much more time and a more flexible design would have been required to successfully put into practice initiatives that first had to be approved by SGCAN, and the validated by the four CAN member countries. An in-depth institutional analysis should be part of the design of such cooperation to ensure that what is proposed is feasible in the given time and with the available resources.

BioCAN had a wide range of beneficiaries, ranging from ministries of environment, local governments, research and academic institutions to non-governmental organizations, local communities and indigenous peoples organizations. This huge scope - combined with the broad and ambitious focus of the programme, the relatively modest budget and timeframe, and the complex administrative structure - was one of the main handicaps for effective and efficient implementation. Despite of these challenges the programme managed to produce an impressive range of outputs which made a notable contribution towards the programme outcomes. As the activities supported by BioCAN were embedded in broader programmes and efforts of the implementing organizations there is, in general, a relatively good level of sustainability of the results. In some cases, the programme identified platforms and mechanisms that are now actively taking these results forward. The impact of the programme during its relatively short implementation period, however, remained modest.

The **key findings** of the evaluation were that the most concrete benefits of the BioCAN programme accrued to the organizations implementing the BioCAN supported projects. In many cases they were able to use BioCAN funding to strengthen existing strategies, projects or lobbying action. The non-governmental organizations working at the regional level in the CAN countries were able to strengthen their networks, partner with governments and, in some cases, to mobilize new funding to continue and broaden their activities. The local-level projects supporting the sustainable use of Amazonian flora and fauna by local and indigenous communities provided arguably the most concrete set of benefits as they were designed to support already on-going efforts by the implementing organizations. But many of them lacked a realistic business approach and will hence remain dependent on continuous external support. The BioCAN supported projects with the governments provided relatively modest and varied



benefits to policy implementation, the most concrete results being the introduction of common regional standards for sharing information on biodiversity and the improvements in national biodiversity information systems in some of the CAN countries. The most valuable contribution of BioCAN to land-use planning was the exchange of experiences between the CAN countries in a theme that has very diverse approaches across the CAN countries. The wider adoption of the approaches developed in the BioCAN projects varies from country to country, but in most cases the projects are being followed up by the respective ministries and local government entities at some level of intensity. By their nature, these planning processes are slow and subject to changes in political priorities, and the uptake of the results by the respective ministries has so far been limited. The regional information campaign on the biodiversity of the Andean Amazonia produced a large number of high-quality products and was professionally implemented, but due to its broad focus and short duration its impact was limited. Two potentially important regional processes were initiated within the CAN structures, one related to genetic resources and traditional knowledge, the other related to controlling illegal trade in wildlife and wildlife products. Both of these were at least temporarily paralyzed due to a change in the CAN political priorities.

The most important negative unexpected factor influencing BioCAN programme in its final year of programme implementation was the decision of the CAN member countries to refocus and restructure the operations of the CAN in 2013. This decision led to the dissolution of the environment unit in SGCAN and effectively left BioCAN without a host in the organization. Also, the policy processes regarding genetic resources and control of illegal wildlife trade came to a halt, as the respective Committees were abolished in the CAN structure. However, according to SGCAN their intention is to continue both processes to eventually reach binding Regional Decisions. The CAN restructuring also negatively influenced the compilation and dissemination of the programme results for their wider use in the region, as well as the sustainability of the regional portal for biodiversity information sharing hosted by CAN.

The following **conclusions** were drawn at the **programme level**:

| OECD/DAC EVALUATION CRITERIA | CONCLUSION |
|------------------------------|--|
| Relevance | High, both in the regional and national policy context. High also regarding priorities of local-level partners and beneficiaries. After CAN restructuring decision (Decision 792) abolishing the Environmental Area in CAN, relevance for CAN questionable. |
| Impact | Low, due to short duration, overly ambitious objectives, and discontinuity between the “installation” and “implementation” phases. Many (mainly national and local level) activities have been continued by the implementing organizations, with varying degrees of promise for future impact. |
| Effectiveness | Effectiveness was reduced by the slow and bureaucratic implementation structure of the programme, however, there is a large variation in the effectiveness of the various projects. By and large, the projects focusing on the sustainable management of biodiversity were most effective. |
| Efficiency | Efficiency was reduced by the same factors reducing programme effectiveness. Especially lack of operational autonomy, unclear mandates between the different decision-making bodies, and excessive control of operational management by CAN hindered efficient programme management. However, given these constraints, an impressive number of activities was carried out and high quality outputs produced. |
| Sustainability | The chosen strategy of the BioCAN programme, as well as the ability of the CAN countries and project implementing organisations to “embed” the support from the programme in a broader setting of on-going programmes and efforts greatly increased the sustainability of the BioCAN actions. Both the CAN countries and the project implementing organizations made smart use of the BioCAN support. |
| Coherence | The main negative factor regarding coherence was the CAN restructuring decision (Decision 792.) |



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Regarding **future regional cooperation**, the evaluation makes the following **key recommendations** to the Ministry for Foreign Affairs of Finland:

- 1) When working with a regional political body and aiming at policy work, prepare for a long-term engagement and build sufficient flexibility into the cooperation mechanism design. This will enable efficient resource mobilization and timely response to political opportunities when they emerge. A traditional development cooperation project may not be an appropriate instrument in this context.
- 2) For a relatively modest and short-term regional engagement, such as BioCAN, establish more realistic objectives, tighter focus, and a less ambitious implementation structure, e.g. by channelling the funding through an international NGO, or an NGO consortium well established in the region, with tested management systems.
- 3) Clarify the role of strategic and operational levels in programme management, and agree on clear Terms of Reference for all involved actors on all levels. The decision-making should be aligned with the principles of Result Based Management, and these principles should also be adhered to in practice. The programme management unit should be given sufficient autonomy in operational decisions to carry out its work effectively and efficiently.



RESUMEN EN ESPAÑOL

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I ANTECEDENTES SOBRE EL PROGRAMA BIOCAN

I.1 Contexto e Historia del Programa

Los países andinos están considerados entre los países con la diversidad biológica terrestre más alta del mundo (países megadiversos). Se estima que los cuatro países andinos - Bolivia, Colombia, Ecuador y Perú - poseen aproximadamente el 25% de toda la biodiversidad terrestre en el mundo. La conservación y el uso sostenible de este rico recurso biológico sostienen la diversidad cultural y étnica en la región, y provee servicios ambientales vitales, desde el ámbito local al mundial.

El Programa BioCAN apoyó la implementación y el desarrollo de instrumentos de política desarrolladas por la Comunidad Andina (CAN), relacionadas con la conservación y el uso sostenible de la biodiversidad en los cuatro países andinos, como la Estrategia Regional de Biodiversidad para los Países del Trópico Andino (Decisión 523) y la Agenda Ambiental Andina 2006 - 2010 y 2012 - 2016. En su implementación fueron también consideradas las Estrategias de Biodiversidad y las Políticas Ambientales de los cuatro países miembros de la CAN.

El Programa fue implementado por la Secretaría General de la Comunidad Andina (SGCAN), con el apoyo financiero del Ministerio de Asuntos Exteriores de Finlandia (MAEF). La Unidad de Coordinación Regional de BioCAN (UCR) fue ubicada en la SGCAN, bajo el Coordinador de Medio Ambiente en el Área de Medio Ambiente de la SGCAN. La Asistencia Técnica Internacional (ATI) fue proporcionada por Finnish Consulting Group (FCG).

El Programa BioCAN fue la continuación del proyecto BIODAMAZ, implementado en la Amazonía peruana (1999-2007) con el apoyo del Gobierno de Finlandia (GF). El acuerdo de cooperación BioCAN entre SGCAN y el Ministerio de Asuntos Exteriores de Finlandia (MAEF) fue firmado en Junio de 2007. La Fase de Instalación de BioCAN comenzó en Diciembre de 2007 y culminó a mediados de 2009. La Fase de Implementación comenzó en Julio de 2010 y culminó en Diciembre de 2013, aunque el cierre administrativo con insumos limitados de Asistencia Técnica se extendió hasta Abril de 2014. Entre la Fase de Instalación y la Fase de Implementación hubo una pausa operacional de un año aproximadamente.

Los instrumentos de la política ambiental regional de la CAN mencionados anteriormente siguieron siendo válidas en toda la Fase de Implementación de BioCAN aunque hubo algunos



cambios de política en los países de la CAN, sobre todo en Bolivia, que aprobó una singular ley de medio ambiente y desarrollo sostenible "Ley Marco de la Madre Tierra y Desarrollo Integral para Vivir Bien" en octubre de 2012. El cambio más drástico en el contexto del Programa BioCAN hecho por los países miembros de la CAN fue la Decisión 792, en septiembre 2013; relacionado con la reestructuración del Sistema Andino de Integración. Esta reorientación de las prioridades de la CAN dio lugar a la disolución del Área de Medio Ambiente de la CAN.

I.2 Objetivos y Estructura en la Fase de Implementación

El **objetivo general** de BioCAN fue de contribuir al Desarrollo Sostenible de los Países Miembros de la Comunidad Andina (CAN) – Bolivia, Colombia, Ecuador y Perú que permita mejorar la calidad de vida de sus poblaciones amazónicas y la reducción de la pobreza, a través del fortalecimiento de la gestión ambiental. El **objetivo específico (propósito)** del Programa fue de mejorar la gestión sostenible de la biodiversidad en las regiones amazónicas de los Países Miembros de la Comunidad Andina, mediante la promoción de la buena gobernanza y procesos interculturales de participación, promoción de la equidad de género, fortalecimiento de las interacciones en los diferentes niveles gubernamentales, y el potenciamiento de las sinergias intra e inter-regionales existentes.

El Programa fue organizado operacionalmente en cinco componentes. La estructura del Programa, Componentes y número de proyectos por cada componente se resume en el siguiente cuadro, adaptado del Informe de la Evaluación de Medio Término de BioCAN (Indufor 2013).

Figure 1.1 Componentes del Programa BioCAN, Proyectos y Resultados

| COMPONENTES Y NUMERO DE PROYECTOS POR CADA COMPONENTE | | | |
|--|---|---|---|
| Componente 1 Fortalecimiento Institucional, 3 proyectos | Componente 2 Sistemas de Información, 4 proyectos | Componente 3 Planificación Territorial, 6 proyectos | Componente 4 Incentivos para el Manejo Sostenible de la Biodiversidad, 5 proyectos |
| RESULTADOS | | | |
| Toma de decisiones apropiadas, respecto a la gestión de la biodiversidad y desarrollo sostenible, de los actores involucrados (público, privado y sociedad civil), que promueva la institucionalidad y el fortalecimiento de capacidades en los niveles regional, nacional, subnacional y local. | Gestión integral de la información ambiental amazónica fortalecida, a través de mecanismos equitativos de generación y acceso que propicien capacidades en las escalas local y nacional y un modelo de coordinación regional. | Planeamiento territorial fortalecido para el Desarrollo Sostenible de la Amazonía, vinculado a las políticas públicas de los Estados miembros, que propicien la participación activa de los actores locales y regionales. | Condiciones tecnológicas y de gestión mejoradas, para el desarrollo de economías locales basadas en el uso sostenible de la biodiversidad, con respeto al conocimiento tradicional. |
| Componente 5 (Transversal), | | | |
| Conservación y Gestión sostenible de la biodiversidad fortalecida a través de la implementación de un mecanismo financiero para el apoyo de iniciativas locales que promuevan la implementación de los Componentes del Programa BioCAN, 8 proyectos . | | | |



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BioCAN se implementó a través de **proyectos piloto regionales, nacionales y su nacionales** implementados por selectas ONG, autoridades ambientales de los países miembros de la CAN, organismos técnicos gubernamentales, organizaciones de investigación y universidades. Estos proyectos fueron, en esencia, principalmente componentes de iniciativas más amplias identificadas por las autoridades ambientales nacionales apoyando la implementación de políticas y planes ambientales nacionales, y la UCR de BioCAN proporcionó apoyo en su formulación a los formatos requeridos por BioCAN.

El **Fondo Concursable Regional BioCAN**, apoyó iniciativas locales, la mayoría de ellas similares a los proyectos del Componente 4. Se implementaron 8 proyectos financiados por el Fondo. Seis de estos proyectos se centraron en la gestión y uso sostenible de la biodiversidad y son muy similares a los proyectos piloto del Componentes 4. Un proyecto se centró en la planificación territorial y la gestión conjunta, siendo similar a los proyectos del Componente 3, y finalmente hubo un proyecto de radio comunicación regional similar a los proyectos del Componente 1.

La implementación de los proyectos piloto y de los proyectos del Fondo se complementó con **consultorías específicas y actividades regionales, incluyendo reuniones y talleres temáticos, y reuniones multi-actores** implementados por SGCAN/BioCAN UCR. En cuanto a los insumos a los procesos formales regionales a nivel de la CAN, las actividades fueron apoyadas en el marco del Comité Andino de Autoridades Ambientales, organizado bajo los auspicios de la CAN.

II REALIZACIÓN DE LA EVALUACIÓN

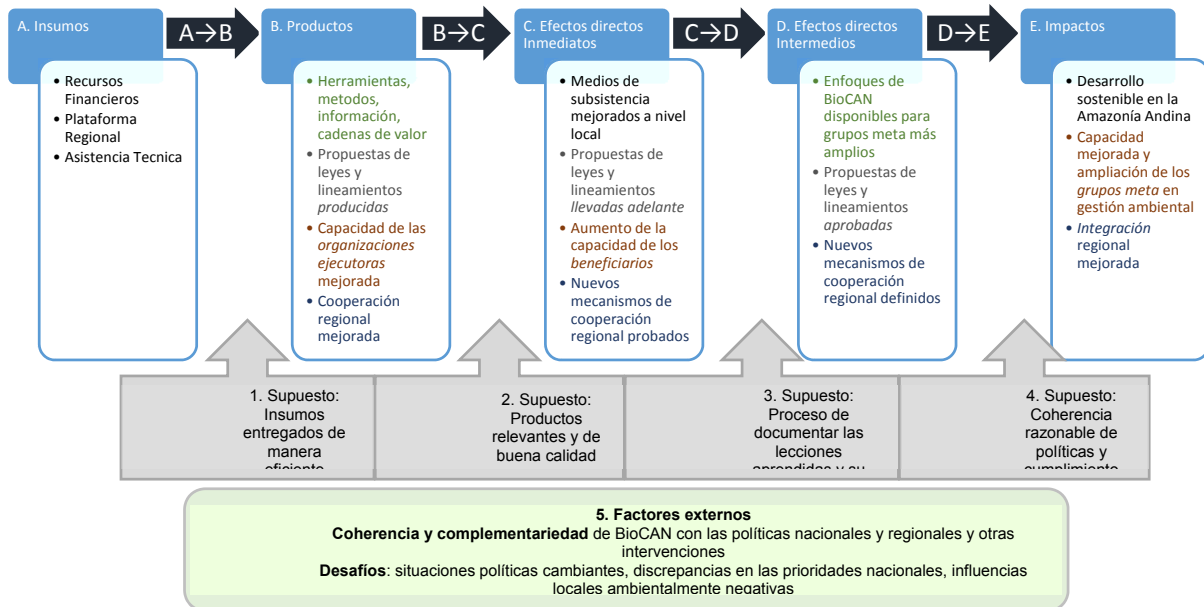
II.1 Metodología

El **objetivo** de la evaluación final de BioCAN fue proporcionar observaciones analíticas sobre el desempeño de la Fase de Implementación del Programa BioCAN. La evaluación se llevó a cabo poco más de un año después de que el Programa BioCAN terminara formalmente, y en una situación en la que la organización del programa se había disuelto, el Área de Medio Ambiente de la SGCAN había sido eliminado por la reingeniería de la CAN, y los Puntos Focales Nacionales de BioCAN en las Unidades de Coordinación Nacional se habían trasladado a otros puestos.

La metodología de evaluación se basó en el **análisis de contribución** que permite extraer conclusiones sólidas, dentro de un nivel razonable de confianza, sobre la *contribución* de BioCAN en los Efectos directos y los Impactos observados. La evidencia para apoyar las conclusiones se genera a partir del proceso de confirmar la **Teoría del Cambio** (TC) de la intervención y a la vez evaluar en qué medida el Programa ha logrado poner en práctica esta teoría. La TC cubre las seis áreas temáticas del Programa (i) recursos genéticos, (ii) gestión de vida silvestre, (iii) comunicación, (iv) sistemas de información, (v) planificación territorial y (vi) uso sostenible de la biodiversidad, en las que los 25 proyectos de BioCAN pueden ser agrupados sin mayores superposiciones o inconsistencias. Estas seis áreas temáticas son evaluadas a través de la cadena de la TC desde los Insumos a los Impactos, incluyendo también los supuestos subyacentes y los factores externos. Sobre la base de esta evaluación se presentan conclusiones tanto temáticas como también a nivel de programa y lecciones aprendidas para alimentar el diseño de futuros programas regionales del MAEF. El TC se presenta en la Figura 2.1.



Figure 1.2 Teoría del Cambio de BioCAN



Basado en la TC, una matriz de evaluación se preparó durante la fase de estudio de gabinete para resumir los hallazgos iniciales y proporcionar una base para la formulación de las preguntas de evaluación para los diferentes grupos de las partes interesadas. La metodología para recopilar información adicional durante la fase de campo de la evaluación fue diseñada para tener en cuenta las características específicas de los diversos grupos de las partes interesadas de BioCAN.

II.2 Proceso de Evaluación

En los cuatro países, el equipo de evaluación entrevistó a ex personal de BioCAN, representantes de las organizaciones ejecutoras (principalmente los coordinadores de proyectos que habían estado involucrados en actividades de BioCAN) y los beneficiarios finales de los proyectos. En Ecuador y Perú, el equipo de evaluación se reunió con los Vice Ministros de Medio Ambiente, y en Colombia con el Jefe de Asuntos Internacionales del Ministerio de Medio Ambiente, quienes fueron acompañados por el personal técnico que conocía BioCAN. En Bolivia, una reunión prevista con representantes del Ministerio no fue posible debido a los recientes cambios en las autoridades unos días antes de la misión de evaluación. En Lima, el equipo de evaluación fue recibido por el Secretario General de la Comunidad Andina.

Por último, para poder triangular alguna información (por ejemplo, respecto a la visibilidad de la campaña Amazonía Nuestra), y analizar el contexto de la cooperación regional y comparar diferentes estructuras de ejecución, el equipo de evaluación incluyó en su misión entrevistas cara a cara o por Skype con "organizaciones pares" pertinentes. Dichas organizaciones fueron la Organización del Tratado de Cooperación Amazónica (OTCA), la Unión Internacional para la Conservación de la Naturaleza (UICN) y la Iniciativa para la Conservación de la Amazonía Andina (ICAA) financiada por la USAID.

El equipo de evaluación puso especial énfasis en captar las experiencias de los beneficiarios finales de los proyectos y en la identificación de los posibles Efectos directos a los que BioCAN podría haber contribuido. Esto se consideró especialmente necesario en el caso de la evaluación del uso sostenible de la biodiversidad (proyectos piloto del Componente 4 y algunos de los proyectos del Fondo BioCAN), dado que todas las actividades de los proyectos



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dependieron de los ejecutores locales. Para ello, el equipo de evaluación subcontrató una organización en Bolivia, Perú y Colombia para organizar un taller a nivel provincial para reunir a representantes de las organizaciones ejecutoras, así como a las comunidades u organizaciones comunitarias de base. En Ecuador el equipo de evaluación entrevistó en persona o por teléfono a los representantes de cinco de los ocho proyectos ejecutados en el país.

Cada taller fue facilitado por el Equipo de Evaluación y siguió un enfoque participativo. Los talleres se centraron en (i) qué había sucedido después de BioCAN, en (ii) cuál fue su contribución a la misma, y en (iii) qué efectos directos o impactos se podría esperar de los proyectos basados en los avances recientes. También se puso significativa importancia en obtener información sobre los objetivos transversales de BioCAN, y en particular sobre cuestiones relativas a los pueblos indígenas, igualdad de género, la complementariedad y la distribución de beneficios.

En la organización de los talleres, el Equipo de Evaluación pidió específicamente a las organizaciones que enviaran representantes tanto mujeres como hombres, para fortalecer el equilibrio de género en las sesiones. En total, 77 mujeres y hombres participaron en estos talleres provinciales, siendo más de un tercio mujeres. En Bolivia y Colombia, algunas de las mujeres participantes fueron entrevistadas de manera informal y por separado, para que se expresen libremente.

La principal técnica utilizada en los talleres fueron las discusiones guiadas de los grupos focales, dando énfasis al análisis del proceso y la contribución: en lugar de concentrarse en los productos inmediatos a nivel de proyecto, los evaluadores hicieron un esfuerzo para identificar el posible conocimiento "silencioso" o redes informales que los participantes y beneficiarios de los proyectos podrían haber establecido durante la ejecución de los proyectos, y así ver si estos aún se estaban utilizando para promover el uso más amplio de los productos de BioCAN.

III HALLAZGOS CLAVE SOBRE LAS CONTRIBUCIONES DE BIOCAN CON RESPECTO A

LA TEORÍA DEL CAMBIO

III.1 Gestión, Recursos y Procesos de BioCAN

III.1.1 Organización y Gestión del Programa

Como consecuencia de su amplio alcance y diferentes niveles de operación, BioCAN tenía un conjunto extremadamente complejo de contrapartes, partes interesadas y beneficiarios. Los diversos actores incluyen, las (i) organizaciones internacionales (SGCAN, el Consejo de Ministros de Medio Ambiente y el Comité Andino de Autoridades Ambientales), (ii) las autoridades ambientales nacionales (Ministerios responsables de Medio Ambiente en los cuatro países de la CAN como las principales contrapartes nacionales), (iii) las instituciones nacionales de investigación sobre la gestión del medio ambiente y la biodiversidad, (iv) los gobiernos regionales y locales de las zonas amazónicas de los países, (v) agencias de áreas protegidas, (vi) organizaciones no gubernamentales ambientales y sociales, (vii) las poblaciones locales e indígenas, y (viii) empresas privadas y rurales. Los dos niveles - nacional y regional - estaban conjuntamente a cargo de la ejecución de las actividades definidas en el Plan Operativo Global y en los Planes Operativos Anuales.

De acuerdo con el Documento del Programa, la UCR tenía autonomía operativa dentro de los límites del Documento del Programa y los Planes Operativos aprobados por el Comité de Supervisión del Programa. Esta división de foco y responsabilidades entre los niveles estratégicos y operativos de gestión en la práctica nunca se hizo realidad. Por un lado la SGCAN ejercía fuerte control sobre la UCR, por otro lado los procedimientos de la CAN requerían que los cuatro países aprueben decisiones también a nivel operativo.



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Como consecuencia, la gestión del Programa en la SGCAN, mientras promovía la apropiación y alineación con las prioridades de la CAN y de los países, fue lento y engorroso y no adecuado para un proyecto con un período de ejecución corto y un cronograma en consecuencia apretado para las actividades. Los largos procesos fueron el resultado combinado de la necesidad de discutir y aprobar todas las iniciativas por unanimidad (entre los cuatro países), así como de los procesos administrativos largos dentro de la SGCAN.

La Asistencia Técnica Internacional proporcionada por FCG nunca fue plenamente integrada en las operaciones de la SGCAN y su eficiencia se vio restringida por las limitaciones operacionales, así como la falta de autonomía y definición clara de los mandatos operacionales entre SGCAN y la UCR. La gestión financiera separada del componente AT contribuyó, al menos en cierta medida, a esta separación.

El Programa BioCAN falló en establecer un sistema operativo de seguimiento y evaluación (S&E) para seguir el progreso. La falta de un sistema operativo de S&E para un programa tan grande y complejo complicó el trabajo del personal de BioCAN, especialmente de aquellos que trabajaban con varios proyectos (Planificación Territorial, Incentivos para el Uso Sostenible de la Biodiversidad y el Fondo BioCAN). Además, la ausencia del sistema afectó, por ejemplo, el seguimiento de los beneficiarios, los productos y los posibles efectos directos, y ha obstaculizado las decisiones de gestión eficientes en tiempo real.

En 2013, la Decisión Andina 792 de la CAN con respecto a la reestructuración de la Secretaría General llevó a la disolución del Área de Medio Ambiente en la SGCAN y la salida de personal clave, incluyendo su jefe, dejando el UCR sin una contraparte institucional en la organización. Ésta dificultó la ejecución del Programa en los últimos meses de BioCAN, así como al proceso de cierre administrativo. Además, la falta de claridad y de información sobre el papel de la CAN en las actividades ambientales afectó a la motivación del personal de BioCAN y trajo consigo un período de ambigüedad que, en el momento de esta evaluación, aún prevalece entre los actores ambientales en los cuatro países. Debido a la Decisión Andina 792, muchas de las actividades planificadas de BioCAN fueron detenidas, además, las publicaciones que recolectaban la sistematización y lecciones aprendidas nunca fueron revisadas por SGCAN ni publicadas.

III.1.2 Recursos Financieros y Uso de los Recursos

El **presupuesto** global del Programa BioCAN fue **6.275 millones de euros**, el cual se dividió en dos partes. El primero, por **4.875 millones de euros**, cubrió los costos relacionados con el llamado período de ejecución desde el 18 de Junio de 2010 hasta 31 de Diciembre de 2014. La segunda parte, por **1.40 millones de euros**, cubrió toda la asistencia técnica internacional proporcionada al Programa por FCG entre el 10 de Enero de 2011 y 30 de Abril de 2014. El contrato original de AT con FCG duró hasta el 9 de Enero de 2014, pero debido a los retrasos en el desempeño del programa y a la necesidad de un cierre fluido de las actividades y la presentación de informes del programa, se extendió sin costo hasta finales de Abril.

El **gasto** total del Programa fue de **5 396 737 euros**, según el cuadro debajo¹. El Programa encontró varios obstáculos en la realización de sus actividades, lo que resulta en un **86% de ejecución financiera en comparación con el presupuesto previsto inicialmente**. La suma total desembolsada por el MAEF a la SGCAN fue 4 115 284 euros, de los cuales 111 500 euros no fueron utilizados y fueron devueltos más tarde al MAEF, en Septiembre de 2014.

¹ Todas las cifras en relación con el gasto total del Programa y el nivel de componente (incluidas las que se utilizan en el Anexo 7 (Gastos por Componente y país) se basan en la auditoría final del Período de Ejecución de BioCAN que se llevó a cabo por Ramírez Enríquez y Asociados (31 de marzo de 2014), así como la información adicional proporcionada al equipo de evaluación por el MAEF en enero de 2015.



Cuadro 1.1 Presupuesto de BioCAN y el gasto durante el período de implementación (según informe final de auditoría)

| Categoría | Periodo | Presupuesto planificado (en EUR) | Gastos (en EUR) | % Gastos vs. presupuesto planificado |
|---|---------------------------|----------------------------------|-----------------|--------------------------------------|
| Implementación del Programa | 18 Jun 2010 – 31 Dic 2013 | 4 875 000 | 3 952 954 | 81% |
| Gastos relacionados al cierre: administración, auditorías, etc. | | | 55 144 | |
| Presupuesto ATI (Consultoría de FCG) | 10 Ene 2011 – 30 Abr 2013 | 1 400 000 | 1 388 639 | 99% |

III.2 Área Temática 1: Gestión de Vida silvestre

Resumen de la Evaluación de Contribución

Resumen del propósito: a medida que esta área temática fue parte del Componente 1 de BioCAN, ella compartía el objetivo de "mejor toma de decisiones en relación con la biodiversidad y el desarrollo sostenible por los actores de los sectores público, privado y sociedad civil, el fortalecimiento de las capacidades en los ámbitos local, nacional y regional".

Aunque en un principio el alcance del tema cubría tanto la fauna y flora, el trabajo real se centró en el control del comercio ilegal de vida silvestre a través de (i) la creación de capacidades en varios niveles, (ii) la coordinación intersectorial e interinstitucional, y (iii) el intercambio de experiencias y mejores prácticas. Este enfoque más preciso se introdujo en la propuesta de la Wildlife Conservation Society (WCS) que implementó el proyecto piloto de USD 217 159 que proporcionó el principal apoyo a esta labor. En menor medida, el trabajo se centró también en la resolución de los conflictos humanos - vida silvestre y la planificación integrada/ecosistémico de la gestión de vida silvestre



| Cantidad de productos logrados | Calidad de productos logrados | Contribución de los Productos a los Efectos directos | Mecanismos y Procesos usados | Contribución de los Efectos directos a los Impactos | Mecanismos y Procesos usados |
|---|---|---|--|--|---|
| Medio a alto – principalmente herramientas, lineamientos y propuestas, y redes informales | Medio a alto – en general bien recibido por los potenciales usuarios, y algún uso continuado identificado | Medio – número limitado de Efectos directos a nivel de país | Proyectos de BioCAN incorporados en programas a largo plazo de las organizaciones ejecutoras proporcionaron en algunos casos, plataformas para un apropiación más amplio | Ninguna aún pero algunas iniciativas prometedoras han sido identificadas | Colaboración entre BioCAN y los socios de implementación a nivel nacional |
| Resumen de la evaluación de Eficiencia: Alto , dado el corto tiempo de implementación y la compleja organización de BioCAN | | Resumen de la evaluación de Eficacia: Medio –principalmente debido al corto tiempo de implementación pero también influenciado por la reingeniería de SGCAN (ver más abajo). Más a nivel de país que regionalmente | | Resumen de la evaluación de Impacto: Tiempo de Implementación demasiado corto para que los impactos se materialicen -pero algo prometedor para futuros impactos evidenciados | |

Factores externos clave que influyeron en la contribución de BioCAN:

Positivo: el interés activo de WCS y algunas autoridades a nivel nacional (Ministerio del Ambiente en Ecuador y SERFOR en Perú) en la búsqueda activa de nuevas iniciativas que hacen uso de la información y los contactos generados a través de la participación en BioCAN.

Negativo: la reingeniería de la SGCAN resultando en la disolución del Área de Medio Ambiente y la falta de seguimiento de los procesos políticos que fueron iniciados e informados a través del trabajo con el apoyo de BioCAN.

Conclusiones y Recomendaciones del Área Temática

La contribución más alta de BioCAN bajo este tema fue en el potenciamiento del trabajo de WCS sobre estos temas en los países donde había actividades y contactos anteriormente limitados, sobre todo en el plano político. Esto ha permitido la continuación del trabajo, sobre todo en el control del comercio ilegal de vida silvestre, sobre la base de los productos y Efectos directos de BioCAN.

La elección de la organización socio adecuada con la capacidad de seguir y aprovechar los resultados de un proyecto a corto plazo como BioCAN - en este caso WCS - es esencial para que cualquier Efecto directo y los Impactos se materialicen.

III.3 Área Temática 2: Recursos Genéticos

Resumen de la Evaluación de Contribución

Resumen del propósito: a medida que esta área temática fue parte del Componente 1 de BioCAN, ella compartía el objetivo de "mejor toma de decisiones en relación con la biodiversidad y el desarrollo sostenible por los actores de los sectores público, privado y sociedad civil, el fortalecimiento de las capacidades en los ámbitos local, nacional y regional".



Más específicamente, como se define en el documento de trabajo "Plan de Fortalecimiento sobre Políticas, Normativa y Marcos Institucionales en Materia de Acceso a los Recursos Genéticos y Protección de Conocimientos Tradicionales", preparado por BioCAN en Diciembre de 2011, el trabajo relacionado con este tema se dirigió a:

- Activación del Comité Andino sobre Acceso a los Recursos Genéticos, CARG (comité de la CAN), y dentro del CARG apoyar un proceso para analizar la necesidad de revisiones en la Decisión Andina 391 "Régimen Común sobre Acceso a los Recursos Genéticos de 1996", y concordar sobre las revisiones necesarias.
- Fortalecimiento de la capacidad de los funcionarios públicos y los negociadores de los países andinos, representantes del Consejo Consultivo de los Pueblos Indígenas y la comunidad científica a participar en las negociaciones sobre los recursos genéticos y los conocimientos tradicionales.
- Desarrollo de estrategias y herramientas para combatir la biopiratería y manejar casos de biopiratería que se han sido detectados.

El trabajo en esta área temática fue, en gran medida llevada a cabo en el marco del Comité Andino sobre Recursos Genéticos y Conocimientos Tradicionales, CARG, en estrecha colaboración con la SGCAN, y con aportaciones técnicas de la Sociedad Peruana de Derecho Ambiental, SPDA.

| Cantidad de productos logrados | Calidad de productos logrados | Contribución de los Productos a los Efectos directos | Mecanismos y Procesos usados | Contribución de los Efectos directos a los Impactos | Mecanismos y Procesos usados |
|---|--|---|--|---|------------------------------|
| Medio a alto – principalmente estudios de antecedentes y documentos de trabajo | Medio a alto – Los productos en general bien recibidos por los potenciales usuarios | Medio | El trabajo estuvo incorporado en la estructura del Comité de la CAN y tuvo éxito en la activación del CARG | Bajo en este momento, pero con algún potencial debido a la posible reactivación del trabajo del CARG dentro del Comité Andino de Propiedad Intelectual | No encontrado |
| Resumen de la evaluación de Eficiencia: Alto dado el corto tiempo de implementación y la compleja organización de BioCAN | | Resumen de la evaluación de Eficacia: Bajo – influenciados negativamente por la Decisión 792 de reingeniería de la SGCAN y la consiguiente supresión del CARG de la estructura de los comités de la CAN, lo que efectivamente detuvo el proceso. | | Resumen de la evaluación de Impacto: tiempo de implementación demasiado corto para que los impactos se materialicen | |

Factores externos clave que influyeron en la contribución de BioCAN:

Positivo: alto nivel de interés sobre este tema por los países de la CAN y el apoyo político al proceso dentro del CARG.

Negativo: la reingeniería de la SGCAN resultando en la disolución del Área de Medio Ambiente y la falta de seguimiento de los procesos políticos que fueron iniciados e informados a través del trabajo con el apoyo de BioCAN.



Conclusiones y Recomendaciones del Área Temática

Es evidente que los productos dentro de este tema se pueden atribuir directamente a BioCAN y que estos productos fueron entregados a tiempo y eran de una calidad que hace que sean útiles para el proceso previsto. La propuesta para la nueva redacción de la Decisión 391 incluyó temas importantes para las organizaciones indígenas que surgen de los procesos internacionales y el proceso regional apoyado por BioCAN.

El trabajo en esta área temática se vió interrumpido por la Decisión 792 de la CAN que suprimió el CARG. Se recomienda a la SGCAN discutir con los representantes de los Ministerios de Medio Ambiente de los países de la CAN cómo continuar este proceso dentro de la nueva estructura de los comités en el marco del trabajo del Comité Andino de Propiedad Intelectual. En la medida que sea posible, la Embajada de Finlandia debería seguir el progreso en este tema.

La SGCAN - en colaboración con la SPDA - también deberían asegurar que todo el material producido bajo este tema sea efectivamente re-distribuido a los Ministerios de Medio Ambiente y a otras partes interesadas en los países de la CAN a medida que muchas personas han cambiado de posición desde que esto fue hecho por BioCAN, y el material no es ampliamente conocido por el momento.

III.4 Área Temática 3: Comunicaciones y Visibilidad

Resumen de la Evaluación de Contribución

Resumen del propósito: a medida que ésta área temática fue parte del Componente 1 de BioCAN, ella compartía el objetivo de "mejor toma de decisiones en relación con la biodiversidad y el desarrollo sostenible por los actores de los sectores público, privado y sociedad civil, el fortalecimiento de las capacidades en los ámbitos local, nacional y regional". Por lo tanto, en principio, el tema de las comunicaciones y la visibilidad deberían haber contribuido a las organizaciones mejor informadas con herramientas para la promoción y la toma de decisiones acerca de la Amazonía Andina.

El "Plan de Visibilidad y Comunicación del Programa BioCAN" fue formulada en Noviembre de 2011 con el objetivo de difundir los resultados y logros del Programa BioCAN, así como de "renovar" la imagen pública de la Amazonía Andina, con relación a la Amazonia brasilera, por un lado, y con el altiplano andino, en el otro lado. El contenido del Plan de Visibilidad y Comunicación fue negociado y acordado con los representantes de los cuatro países del Programa.

El núcleo de este plan fue la campaña "Amazonía Nuestra" que pretendió informar sobre los valores biológicos y culturales de la Amazonía Andina a un gran número de grupos meta, la población general de los países de la CAN a las ONG, los pueblos indígenas amazónicos, los gobiernos locales, la comunidad científica, empresas privadas, agencias gubernamentales centrales, delegaciones diplomáticas, fuentes de financiación externa etc.

Las actividades de este tema fueron apoyados por un proyecto piloto, para lo cual se lanzó una convocatoria abierta de propuestas. El ganador fue un consorcio liderado por la ONG Soluciones Prácticas con base en Lima. Para la divulgación de los productos de comunicación en los países de la CAN, Soluciones Prácticas subcontrató a la Fundación Natura de Colombia y a la Asociación Latinoamericana de Educación Radial, ALER (una asociación especializada en la transmisión local de radio y en la educación) en Ecuador. Todos los materiales audiovisuales fueron producidos por Guarango de Lima, y en Bolivia, la difusión de la campaña se llevó a cabo por la oficina de Soluciones Prácticas de La Paz.

Además de la campaña Amazonía Nuestra, uno de los proyectos seleccionados para recibir financiación del Fondo BioCAN (Componente 5) que contribuyó al tema de las comunicaciones fue el proyecto "Comunicación para la promoción e integración andino amazónica sobre



biodiversidad e interculturalidad en Bolivia, Colombia, Ecuador y Perú”, implementado por separado de la campaña Amazonía Nuestra por la sede de ALER de Quito.

| Cantidad de productos logrados | Calidad de productos logrados | Contribución de los Productos a los Efectos directos | Mecanismos y Procesos usados | Contribución de los Efectos directos a los Impactos | Mecanismos y Procesos usados |
|---|---|--|---|--|--|
| Medio a alto – gran variedad de productos comunicacionales y resultados. | Medio a alto – bien recibido pero de carácter muy genérico - no dirigidos a grupos meta específicos | Varía entre países – Estimado lo más alto en el Perú y lo más baja en Colombia. No es posible calificar. | Una gran variedad de canales de bajo costo fueron usados principalmente | No es posible evaluar | Ninguno detectado por Amazonía Nuestra. Difusión a través de la Red Global ALER Satelital para la radio y spots en televisión. |
| Resumen de la evaluación de Eficiencia: Medio a alto basado en cifras que figuran en los informes - que no son posibles de triangular o verificar. | | Resumen de la evaluación de Eficacia: Selección del grupo meta disperso y sin seguimiento. Evaluación imposible. | | Resumen de la evaluación de Impacto: Selección del grupo meta disperso y la naturaleza a corto plazo de los esfuerzos, es probable que tenga un menor impacto. Sin embargo, la distribución gratuita continuado de los programas de radio y spots a través de la Red Global ALER Satelital (ambos radio y TV) puede contribuir a la creación de conciencia, incluso más allá de la región Pan-Amazónica. | |

Factores externos clave que influyeron en la contribución de BioCAN:

Positivo: el apoyo del alto nivel de la CAN y de los Ministerios de Medio Ambiente de los cuatro países a la campaña Amazonía Nuestra, demostrado p.ej. por el Área de Comunicaciones de la SGCAN que apoyó la inauguración de la campaña. Como resultado del lobby del alto nivel, el Ministro de Medio Ambiente del Perú y varios Vice-ministros de la CAN asistieron y se dirigieron a la audiencia en este evento.

Negativo: en algunos países (p.ej. Colombia) el apoyo institucional a este esfuerzo no fue suficiente para que sea visible para el público en general.

Conclusiones y Recomendaciones del Área Temática

La campaña Amazonía Nuestra dependía totalmente del apoyo de BioCAN, y no habría podido existir sin su apoyo. En el caso del proyecto de ALER, este fue parte de un esfuerzo estratégico más amplio para enlazar las estaciones de radio no comerciales de la Amazonía en la Red Pan-Amazónica, que dicha asociación ha estado impulsando desde hace algunos años.



En el momento de BioCAN, la Red Pan-Amazónica ya se había iniciado con algún tipo de financiación externa de una organización francesa, y si la propuesta no hubiera sido seleccionada para el Fondo BioCAN, ALER hubiera solicitado alguna otra financiación.

Las recomendaciones para este tema incluyen: i) dar tiempo suficiente para planificar e implementar una campaña de comunicación, sobre todo si todos los materiales deben ser coordinados con las entidades políticas o con una amplia gama de partes interesadas; ii) centrarse en uno o dos públicos meta y adaptar los mensajes y los canales a sus características (el más específico el público meta, el mejor); iii) mantener los mensajes principales de la campaña, siendo éstas claras y sólidas; iv) separar las actividades y productos de visibilidad de los de sensibilización/educación; v) asignar recursos suficientes para asegurar la suficiente exposición del público meta a los mensajes de la campaña; vi) en función del público meta y tema, poner más énfasis en los medios y redes sociales.

III.5 Área Temática 4: Sistemas de Información

Resumen de la Evaluación de Contribución

Resumen del propósito: el objetivo de este componente fue de contribuir a la gestión integral de información sobre biodiversidad a través del fortalecimiento de las redes nacionales que proporcionen datos sobre biodiversidad para necesidades nacionales y/o internacionales, como también el de proponer modelos para la coordinación regional; a través de mecanismos de intercambio de información e implementación de proyectos piloto de redes de información que estén de acuerdo a las necesidades nacionales.

| Cantidad de productos logrados | Calidad de productos logrados | Contribución de los Productos a los Efectos directos | Mecanismos y Procesos usados | Contribución de los Efectos directos a los Impactos | Mecanismos y Procesos usados |
|--|---|---|---|---|------------------------------|
| Medio – Principalmente aplicaciones, lineamientos, manuales de usuario | Medio –En general bien recibido por los potenciales usuarios | Variable –A pesar de que el sistema no está funcionando a nivel regional, ha contribuido con información a los sistemas nacionales. | Los proyectos implementados por las organizaciones ejecutoras de BioCAN a nivel nacional siguen siendo promovidos en la mayoría de los casos (excepto Bolivia). | Bajo | No encontrado |
| Resumen de la evaluación de Eficiencia: Medio , dado el corto tiempo de implementación y la compleja organización de BioCAN | | Resumen de la evaluación de Eficacia: Bajo –principalmente debido al corto tiempo de implementación pero también influenciado por la reingeniería de SGCAN | | Resumen de la evaluación de Impacto: Tiempo de Implementación demasiado corto para que los impactos se materialicen | |



Factores externos clave que influyeron en la contribución de BioCAN:

Positivo: grupos de trabajo dedicados que proporcionan servicios especializados a nivel nacional.

Negativo: la reingeniería de la SGCAN significaba que la prioridad de la CAN para la gestión de un sistema regional de información se redujera considerablemente. Los requisitos de los sistemas nacionales de información tienen mayor prioridad para los países individuales que una plataforma regional de información ambiental (PIRAA).

Conclusiones y Recomendaciones del Área Temática

La contribución más alta de BioCAN en este tema ha sido la introducción de estándares para el intercambio de información compatible entre una amplia gama de organizaciones. Se identificaron deficiencias, especialmente en relación con el corto tiempo de operación de BioCAN, los procedimientos engorrosos de la gestión financiera interna, y el alto costo de transacción debido a los contextos de los países muy diferentes.

El tiempo para que la PIRAA sea plenamente desarrollada y hecha operativamente sostenible fue demasiado corto. Las diferencias en el estado de desarrollo e integración de sistemas en los Puntos Focales involucrados no permitieron un enfoque unificado. Los formatos y métodos de visualización estandarizados y acordados hubieran tenido una mejor oportunidad de ser sostenidos (i) si se hubiera puesto mayor atención en el fortalecimiento de los sistemas nacionales dentro un marco institucional y tecnológico, relevante para los países, (ii) si estos sistemas hubieran sido desarrollados a lo largo de un período más prolongado. Con el tiempo, algunos elementos de importancia regional pudieran haber sido puestos a disposición ampliamente.

Después de la finalización del Programa BioCAN no hubo acuerdos formales con la CAN para la continuación de la PIRAA. Sobre todo, si después de la Decisión 792, la CAN no está interesada en continuar el apoyo a la PIRAA, sería prudente buscar otro administrador para el sistema. A medida que la PIRAA sea un componente del Sistema Andino de Información ambiental (SANIA) de la CAN, se requiere esfuerzo para que la PIRAA funcione fuera del SANIA. No puede ser separado por completo, pero tendría que utilizar componentes del SANIA. Una propuesta de este tipo de trabajo fue preparada para BioCAN al final de 2013, requiriendo también el permiso de la CAN para poder acceder a trabajar en el sistema del SANIA.

Sin embargo, como ya se ha encontrado a través de los esfuerzos conjuntos de la Embajada de Finlandia y la SGCAN, no es fácil de encontrar un socio adecuado que sea capaz o que tenga la voluntad para tomar a su cargo la administración de la PIRAA. Para que una institución privada asuma esa tarea, hubiera preocupaciones sobre el reparto de la información pública a través de redes privadas.

En el acuerdo gubernamental de BioCAN con Finlandia, se supone que la CAN debería tomar la responsabilidad de mantener el sistema, pero la CAN no ha pronunciado una respuesta definitiva sobre el tema y, efectivamente, no existe actualmente ningún tipo de mantenimiento ni actualización del sistema de la PIRAA y su contenido. Fuera de la CAN, la OTCA sigue siendo un candidato interesante para administrar y promover los objetivos de la PIRAA; a medida que cabalmente ella misma está en un proceso de creación de un sistema. Sin embargo, queda por ver cuáles serían los elementos que puedan hacer que los intereses se converjan en un sistema que atendería a los intereses de la PIRAA.



III.6 Area Temática 5: Planificación Territorial

Resumen de la Evaluación de Contribución

Resumen del propósito: el objetivo de este componente fue fortalecer la planificación territorial para el desarrollo sostenible de la región amazónica a través de la mejora de los procesos de planificación que integran la gestión sostenible de la biodiversidad. El trabajo real se concentró en el fortalecimiento de las capacidades de las organizaciones y el personal involucrado de acuerdo a su posición específica en la planificación territorial, la generación de metodologías para la elaboración de políticas a nivel regional, y el desarrollo de mecanismos para la gestión territorial de los ecosistemas amazónicos.

Las actividades de este componente se llevaron a cabo a través de la ejecución de seis proyectos piloto a nivel nacional y la organización de eventos a nivel sub-regional.

| Cantidad de productos logrados | Calidad de productos logrados | Contribución de los Productos a los Efectos directos | Mecanismos y Procesos usados | Contribución de los Efectos directos a los Impactos | Mecanismos y Procesos usados |
|--|------------------------------------|--|---|---|------------------------------|
| Medio – Principalmente propuestas y herramientas específicas | Medio – grandes variaciones | Variable – apropiación limitada de los productos | Los proyectos implementados por las organizaciones ejecutoras de BioCAN a nivel nacional siguen siendo promovidos en la mayoría de los casos (excepto Bolivia). | Bajo | No encontrado |
| Resumen de la evaluación de Eficiencia: Medio , teniendo en cuenta los procesos de transacción engorrosos | | Resumen de la evaluación de Eficacia: Bajo, con alguna variación - obstaculizado por corto tiempo de implementación, complejo entorno y las políticas y los contextos institucionales variables de los países | | Resumen de la evaluación de Impacto: Tiempo de Implementación demasiado corto para que los impactos se materialicen | |

Factores externos clave que influyeron en la contribución de BioCAN:

Positivo: los procesos de planificación territorial estaban en marcha en todos los países, lo que fue posible de integrar los proyectos piloto de acuerdo a los intereses nacionales enunciados.

Negativo: la perspectiva regional se perdió a medida que las diferencias en los marcos institucionales, entorno político y aspectos jurisdiccionales y legales complejos se hicieron difícil de coincidir sobre un conjunto de lineamientos comunes, teniendo en cuenta el período corto de operación de BioCAN. Además, el mandato de la planificación territorial estaba, en la mayoría de los casos, con otras instituciones (Ministerio de Planificación) y no con las instituciones homólogas de BioCAN.

Conclusiones y Recomendaciones del Área Temática

La contribución más alta de BioCAN en este tema ha sido los encuentros regionales para el intercambio de experiencias. También es probable que las organizaciones ejecutoras en Ecuador y Bolivia se fortalecieron como resultado de su participación en BioCAN, mientras que este no es el caso de Colombia y Perú.

La formulación de políticas regionales o la preparación de lineamientos regionales no eran una prioridad debido a las grandes diferencias entre los países en cuanto a la planificación del uso del suelo, y las correspondientes políticas, marcos institucionales y desarrollos. Como



consecuencia, dicho proceso no dio lugar a ningún acuerdo regional. La realidad política y administrativa interna de cada país también ha afectado negativamente a una adopción y utilización más amplia de los productos.

Ecuador ha tenido buenos resultados durante la implementación del proyecto, en la preparación de lineamientos y un acuerdo ministerial, lo que hubiera podido tener un buen efecto, pero se vio interrumpido debido a los cambios de personal y prioridades en el MAE. Bolivia ha utilizado un enfoque de abajo hacia arriba para preparar un Plan Municipal, que es ampliamente aceptado por los actores locales en todos los niveles, y ha establecido un proceso de planificación que se está replicando en otros municipios. La experiencia colombiana ha tenido menos incidencia en la planificación territorial actual, los documentos del Instituto Sinchi son documentos de investigación científica voluminosas, pero corresponde completamente a las Corporaciones y Municipios para dar curso a las propuestas. Es probable que el proyecto peruano no haya tenido un impacto en la promoción de cambios en las políticas o cambios de procedimiento en el modelo vigente de la Zonificación Ecológica Económica, ZEE.

III.7 Área Temática 6: Uso Sostenible de la Biodiversidad

Resumen de la Evaluación de Contribución

Resumen del propósito: ésta área temática se implementó a través de los **cinco** proyectos piloto del Componente 4 (Incentivos para el Uso Sostenible de la Biodiversidad), con el objetivo de mejorar las condiciones tecnológicas y la gestión de los modelos económicos locales basados en el uso sostenible de las especies amazónicas. Se esperaba que todas las actividades tengan un impacto positivo en la conservación de los ecosistemas amazónicos, respeten los conocimientos tradicionales (indígenas), promuevan una distribución justa de los beneficios (como un tema transversal), y fortalezcan las capacidades asociativas de los productores.

Además de los proyectos piloto, seis proyectos financiados a través del mecanismo financiero del Fondo BioCAN (Componente 5) y ejecutados por ONG nacionales o locales, han contribuido a uso más sostenible de la biodiversidad, los que también fueron evaluados en este capítulo.

| Cantidad de productos logrados | Calidad de productos logrados | Contribución de los Productos a los Efectos directos | Mecanismos y Procesos usados | Contribución de los Efectos directos a los Impactos | Mecanismos y Procesos usados |
|---|---|--|--|--|---|
| Alto – Todos los productos apoyaron a cadenas de valor incipientes y planes de manejo mejorados; algunas reforzaron comunicaciones y materiales de relaciones públicas relacionadas con la comercialización de productos | Alto – Los productos se consideran relevantes y de alta calidad por los usuarios reales y potenciales. | Medio a alto - La ampliación del uso de los productos ha sido principalmente horizontal, y muchos productos se utiliza como referencia en otras comunidades, nuevas cadenas de valor o por otras organizaciones | Varía, dependiendo del proyecto | Varía, dependiendo del Proyecto Los proyectos de biodiversidad fueron parte de programas más amplios, por lo que es más probable para ellos en tiempo lograr mayor impacto y sostenibilidad. | Catalizar una intervención a corto plazo en un continuo más largo de la intervención y el apoyo |



| Cantidad de productos logrados | Calidad de productos logrados | Contribución de los Productos a los Efectos directos | Mecanismos y Procesos usados | Contribución de los Efectos directos a los Impactos | Mecanismos y Procesos usados |
|---|-------------------------------|--|------------------------------|---|------------------------------|
| Resumen de la evaluación de Eficiencia: Alto a pesar del tiempo de implementación y los procedimientos administrativos complicados que retrasó por ejemplo, pagos. | | Resumen de la evaluación de Eficacia: Variable - Depende del Proyecto | | Resumen de la evaluación de Impacto: Variable - Impacto previsto depende del proyecto. En algunos casos, es poco probable impacto y hay una alta dependencia de la contraparte o de la organización ejecutora. | |

Factores externos clave que influyeron en la contribución de BioCAN:

Positivo: los factores externos que contribuyeron positivamente al logro de resultados en los proyectos de uso sostenible de la biodiversidad, son: (i) la apropiación de los proyectos por parte de las organizaciones ejecutoras; (ii) el fuerte respaldo del gobierno (Ministro de Medio Ambiente) a las iniciativas (en el caso de los proyectos piloto); y (iii) el creciente interés y la demanda del público en general de productos de la Amazonía, ofreciéndose de esta manera un mercado potencial para dichos productos.

En el mediano y largo plazo, los procesos en curso se beneficiarán del compromiso del gobierno y la disponibilidad de fondos públicos para las organizaciones comunitarias de base, así como un mayor desarrollo de las cadenas de valor. Un buen ejemplo de esto, es el caso de la organización APPROCANT y su producción de camu en Loreto (Perú): después de un año de apoyo de BioCAN, el proyecto fue asumido por el fondo de empleo dirigido por el gobierno, que ha estado apoyando el desarrollo comercial de la organización hasta Febrero de 2015, con resultados muy positivos.

Negativo: los principales factores externos que podrían obstaculizar la contribución de BioCAN, así como la futura sostenibilidad y el impacto de las actividades, han sido identificados como sigue: (i) el suministro de materias primas, (ii) acceso a los mercados, y (iii) los patrones de lluvia impredecibles como resultado de los efectos del cambio climático.

Conclusiones y Recomendaciones del Área Temática

Para todos los once proyectos de uso sostenible de la biodiversidad, BioCAN vino a *apoyar los procesos en marcha* de fortalecimiento organizacional y desarrollo de cadenas de valor. Esta fue una decisión crucial que permitió a BioCAN de actuar como catalizador de los procesos, contribuyendo con un impulso único que, dependiendo del proyecto, puede haber sido decisivo para inducir nuevos desarrollos.

Las dos deficiencias más importantes identificadas por el Equipo de Evaluación relacionados con estos proyectos son los siguientes: i) el período de implementación muy corto (entre 12 y 18 meses), agravado por la administración financiera retardada de la SGCAN, que en algunos proyectos obstaculizó el alcance para más beneficiarios, la calidad de las actividades y los procesos de fortalecimiento organizacional; y ii) las cuestiones relacionadas con la viabilidad económica de las cadenas de valor propuestas: en algunos casos (por ejemplo, la producción de cosméticos en Ecuador y Perú), el modelo planteado por las ONG parece estar incurriendo en la dependencia económica de las comunidades sobre las ONG y el apoyo externo, así como el aumento de los riesgos de las comunidades, al cambiar de actividades económicas anteriores por aquellas que son promovidas por las ONG. En este sentido, los proyectos se hubieran beneficiado de la tutoría comercial real, p.ej., por las Cámaras de Comercio locales o empresarios independientes. Esta actividad pudiera haber sido facilitada y apoyada por BioCAN.



IV TEMAS TRANSVERSALES DE BIOCAN

En su diseño el Programa BioCAN definió seis temas transversales que se consideraron relevantes en la región andino-amazónica y en el contexto del Programa. En el contexto de BioCAN, también se acordó que estos seis temas cubrían suficientemente los temas transversales importantes para Finlandia. Estos temas fueron:

- Enfoque ecosistémico
- Regionalidad
- Interculturalidad
- Complementariedad
- Distribución de beneficios; y
- Equidad de género

A pesar de ser considerado relevante e importante por los países de la CAN durante la formulación del programa, en general, los temas transversales no se incorporaron en los documentos ni a las actividades del programa y de los proyectos. No había ninguna asignación presupuestaria específica para la promoción de los temas transversales, tampoco no había hojas de ruta claras con respecto a las prioridades. En principio, promover los temas transversales se incluyó como una de las tareas en los Términos de Referencia de la Asesora Socio-Ambiental Internacional, pero en la práctica, sus funciones cambiaron y ella no pudo llevar a cabo esta tarea.

Si se hubiera tomado en serio los temas transversales por la SGCAN y la Gerencia del Programa, la incorporación de ellos, lógicamente, hubiera sido la responsabilidad de todo el personal de BioCAN, y cada uno hubiera sido responsable de su implementación. Sin embargo, sin papeles y responsabilidades claras ni orientación metodológica, la aplicación y el seguimiento de los temas transversales se quedó al margen. En esta situación, el elevado número de temas transversales apenas ayudó; por lo que habría sido mejor elegir sólo dos o tres temas, y realmente centrarse en ellos.

A pesar de no tener un enfoque sistemático ni liderazgo en la promoción de los temas transversales, se logró un avance importante con respecto a muchos de ellos, a medida que la mayoría de ellos estaban integrados de alguna manera en el diseño del programa: (i) el **Enfoque Ecosistémico** fue ampliamente integrado p.ej. a nivel de diversos lineamientos, en los materiales de comunicación, así como en los planes de manejo de los proyectos productivos, (ii) la **regionalidad** pudiera haber sido más pronunciada en todas las actividades del programa, sobre todo si el programa hubiera sido capaz de aprovechar las sinergias entre los componentes y superar las limitaciones de las actividades específicas de cada país, (iii) la **interculturalidad** no se incluyó en BioCAN y, en general, los documentos del programa y de los proyectos de BioCAN no reflejan las diferentes expresiones culturales o cosmovisiones, (iv) la **complementariedad** puede ser evaluada como uno de los temas transversales que tuvo más éxito, (v) la **distribución de beneficios**, se tuvo en cuenta principalmente con los proyectos productivos, pero también en cierta medida en el trabajo relacionado con los recursos genéticos, y, finalmente, (vi) la **equidad de género**, fue impulsada más sistemáticamente dentro de los proyectos del Fondo BioCAN; durante el proceso de selección se dio ventaja a los proyectos que tengan en cuenta las consideraciones de género.



V CONCLUSIONES A NIVEL DEL PROGRAMA

Pertinencia

El Programa BioCAN fue pertinente en el contexto de la Estrategia Regional de Biodiversidad de la CAN (Decisión 523), así como de la Agenda Ambiental Andina 2006-2010, y 2012 - 2016. Sin embargo, la importancia del Programa para la CAN como un órgano político regional, se hizo cuestionable después de la Decisión 792 de la CAN sobre la reingeniería, lo que resultó en la disolución del Área de Medio Ambiente y los Comités de la CAN directamente relacionados al tema de medio ambiente.

El Programa, fue bien alineado con las Estrategias de Biodiversidad y Políticas Ambientales de los cuatro países miembros de la CAN, y no hubo ningún cambio importante al respecto durante la Fase de Implementación.

Dentro de la estructura temática, los países de la CAN fueron en gran medida capaces de adaptar los proyectos piloto y del Fondo a sus prioridades nacionales y locales, de esta manera aumentando su pertinencia también en el contexto nacional. Además, los proyectos a nivel local fueron en gran medida pertinentes a los beneficiarios.

Impacto

Se logró poco impacto durante la Fase de Implementación debido (i) al objetivo general excesivamente ambicioso, (ii) las discontinuidades entre las Fases de Instalación y de Implementación, (iii) la corta duración efectiva de la Fase de Implementación, y (iv) el complejo, lento y burocrático estructura de gestión del programa. Sin embargo, existe una continuidad en la mayor parte de estas actividades dado que muchos de los proyectos piloto y del Fondo son incorporados en programas más amplios de los gobiernos de los países miembros de la CAN, y de las organizaciones ejecutoras. Este es especialmente el caso de los proyectos que se centran en el uso sostenible de la biodiversidad. Por lo tanto, existe una promesa variable de su impacto a futuro.

No se evidenció ningún impacto con el desarrollo de sistemas de información al nivel regional (es decir, la PIRAA), fuertemente afectada por la Decisión 792 de la CAN. Tampoco se evidenció algún impacto en la planificación territorial, que es un campo muy afectado por los cambios de los gobiernos y las políticas; y en el cual los Ministerios de Medio Ambiente poseen un papel menor en la implementación.

En cuanto a la campaña de comunicación, los esfuerzos fueron únicos y de corto plazo, y no es posible estimar su impacto ya que ningún mecanismo para realizar seguimiento de éste fue construido en el proceso.

El trabajo a nivel de la CAN sobre los recursos genéticos y gestión de vida silvestre fue eliminado por la Decisión 792 de la CAN. Cualquier impacto en estas áreas dependerá de los procesos nacionales en los países de la CAN, lo cual en algunas áreas (por ejemplo, el control del comercio ilícito de productos de vida silvestre) parecen seguir, así como los intereses de los países de la CAN para continuar estos procesos dentro de la nueva estructura de la CAN.

Eficacia

La eficacia de BioCAN fue reducida por los mismos factores que limitaron el impacto del Programa. Hay, sin embargo, una gran variación en la eficacia entre los temas y los proyectos individuales.

Los proyectos que se centraron en el uso sostenible de la biodiversidad eran por lo general los más efectivos a medida que en la mayoría de los casos fueran un componente o un conjunto específico de actividades dentro de programas de largo plazo en marcha. Por lo tanto sus resultados y productos fueron adaptados para satisfacer las necesidades de estos procesos, basados en evaluaciones anteriores y/o evaluaciones en marcha, relacionadas a las necesidades de los beneficiarios. Así, los resultados y productos de esta Área Temática tenían más y mejor uso inmediato y apropiación que en algunos de los otros temas.



La eficacia de los resultados y productos de la planificación territorial varió entre los países. El enfoque de abajo hacia arriba escogido por Bolivia tuvo una mejor apropiación y resistencia al cambio político, que el enfoque de arriba hacia abajo, aplicado en los otros tres países. En muchos casos, la eficacia de los enfoques de arriba hacia abajo fue restringida por el hecho de los Ministerios de Ambiente, como socios y organizaciones ejecutoras de los proyectos de BioCAN, no tenían mandato directo sobre la planificación territorial. Los Ministerios de Ambiente sólo tenían influencia limitada sobre los Ministerios u organismos públicos descentralizados que tienen el mandato de la Planificación Territorial.

A nivel regional la eficacia en relación con los sistemas de información fue baja. Las contribuciones más notables son el establecimiento de estándares regionales para el intercambio de información, y variados pero limitadas contribuciones al desarrollo de los sistemas de información en los países de la CAN.

La falta de creación sistemática de sinergias entre los componentes aplazó los más notables efectos directos y los posibles impactos. Esto fue especialmente evidente entre el Componente 4 y los proyectos del Fondo BioCAN, que se centraron en las cadenas de valor y el uso sostenible de la biodiversidad amazónica, que a la vez es relevante para los otros componentes. P.ej. los procesos de planificación territorial a nivel macro hubieran podido haberse beneficiado de las aportaciones del nivel local y de los actores comunitarios de base; contribuyendo a un enfoque más participativo de abajo hacia arriba.

La eficacia de los proyectos regionales (relacionados a la gestión de vida silvestre y recursos genéticos) se vio limitada especialmente por la Decisión 792 de la CAN y sus consecuencias al Área de Medio Ambiente. Los mismos factores que hicieron que su impacto sea insignificante. Sin embargo, una labor sumamente valiosa fue hecha relacionada con la gestión de vida silvestre, y los efectos directos fueron limitados pero valiosos a nivel país. En cuanto a los recursos genéticos, los efectos directos son hasta ahora limitados, pero potencialmente rescatables, si el trabajo continúa dentro de la estructura re-organizada de los Comités de la CAN.

En general, se puede concluir que, en términos de fortalecimiento de las capacidades y contactos nuevos (a nivel superior), han sido las organizaciones ejecutoras las que se beneficiaron sustancialmente de BioCAN, en especial los ONG. Los contactos establecidos con los gobiernos en la región les han ayudado a expandir sus actividades y dar un mayor uso a los productos de BioCAN. Esto, en sí mismo, es un efecto directo valioso.

Eficiencia

La eficiencia de BioCAN se redujo por su entorno institucional de la CAN. La subsiguiente complejidad de los procesos de toma de decisiones, que requieren un consenso tanto sobre cuestiones estratégicas como operativas entre los cuatro países miembros y la SGCAN, dieron lugar a procesos largos y engorrosos en temas operativos y de gestión. Dichos procesos hubieran podido ser resueltos rápidamente, si se hubiera dado a la Unidad de Coordinación Regional de BioCAN suficiente autonomía, y si el papel de la CAN y de los cuatro países miembros se hubiera mantenido en un nivel más estratégico.

Los procesos de administración financiera - con la UCR y administración financiera de la CAN - ambos teniendo que aprobar todos los gastos en un proceso de varios niveles - redujo aún más la eficiencia de la ejecución de BioCAN. Esto, junto con el corto período de implementación efectiva, fue la restricción negativa más importante a la implementación de BioCAN, y dio a lugar a un impacto negativo en cascada de la eficiencia a la eficacia e impacto.

Bajo estas limitaciones, la UCR, los proyectos piloto y del Fondo lograron implementar una cantidad considerable de diversas actividades. La calidad y cantidad de los productos obtenidos en el breve tiempo es, en general, impresionante.

Sostenibilidad

La sostenibilidad de las acciones de BioCAN aumentó en gran medida debido al hecho que se integró el apoyo en programas más amplios y actividades en marcha. Eso fue la estrategia



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elegida por BioCAN, pero además los países de la CAN y las organizaciones ejecutoras de los proyectos tuvieron la capacidad de incorporar dicho enfoque en sus acciones y asumieron un enfoque sensato para hacer el mejor uso de dicho apoyo. Esto indica que, ellos tenían desde el principio una buena comprensión del carácter temporal y relativamente corto plazo del apoyo de BioCAN

Coherencia

La cuestión más significativa relativa a la coherencia, fue el cambio drástico en las políticas de la CAN debido a la Decisión 792 de reingeniería de la CAN. Afortunadamente ocurrió bastante tarde en la Fase de Implementación. Sin embargo, tuvo y tiene un impacto importante en la contribución futura de algunos de los resultados y productos de BioCAN, como en el caso de la PIRAA. También hubo cambios específicos en las políticas de algunos de los países de la CAN que redujeron en parte la coherencia a nivel nacional.

VI RECOMENDACIONES CLAVE AL MINISTERIO DE ASUNTOS EXTERIORES DE FINLANDIA

El **mensaje principal** de la evaluación es que en un programa regional complejo, con un alto nivel de ambición, la escala de tiempo y el diseño de la intervención deben mejor tener en cuenta las inherentes fortalezas y debilidades de este tipo de cooperación. Asociarse con una organización política regional de alto nivel proporciona alta visibilidad y estatus a un programa y ayuda a impulsar políticas públicas con impactos transfronterizos, pero la desventaja es a menudo la implementación burocrática pesada y a veces ineficiente. El diseño del Programa BioCAN no tomó suficientemente en cuenta que mucho más tiempo y un diseño más flexible habría sido necesario para poner en práctica las diversas actividades e iniciativas, que primero tuvieron que ser aprobadas por la SGCAN, y luego validadas por los cuatro países miembros de la CAN. Un análisis institucional a fondo debería ser parte del diseño de este tipo de cooperación para asegurar que lo que se propone es factible en el período de tiempo determinado y con los recursos disponibles.

Con respecto a **la futura cooperación regional**, la evaluación hace las siguientes recomendaciones clave al Ministerio de Asuntos Exteriores de Finlandia:

- 1) Cuando se trabaja con un órgano político regional y con el fin de elaborar políticas, prepararse para un compromiso a largo plazo e incorporar suficiente flexibilidad en el mecanismo de cooperación. Esto permitirá la eficiente movilización de los recursos y una oportuna respuesta a las oportunidades políticas cuando surgen.
- 2) Para una intervención regional relativamente modesta y a corto plazo, tal como BioCAN, establecer objetivos más realistas, foco más estricto y una estructura de ejecución menos ambiciosa, p.ej. canalizando los fondos a través de una ONG internacional, o un consorcio de ONG establecido en la región, con sistemas de gestión probados.
- 3) Aclarar la función de los niveles estratégicos y operativos en la gestión del programa y acordar los Términos de Referencia para los actores involucrados en todos los niveles. La toma de decisiones debe estar alineada con los principios de Gestión Basada en Resultados (Result Based Management), y estos principios también deben respetarse en la práctica. Se debe dar suficiente autonomía a la unidad de gestión del programa en las decisiones operativas para llevar a cabo su trabajo con eficacia y eficiencia.



1. BACKGROUND ON THE BIOCAN PROGRAMME

1.1 Context and History of the Programme

The Andean countries are considered amongst the countries with the highest terrestrial biological diversity in the world (megadiverse countries). It is estimated that the four Andean countries - Bolivia, Colombia, Ecuador and Peru – possess approximately 25% of all terrestrial biodiversity in the world. The conservation and sustainable use of this rich biological resource supports the cultural and ethnic diversity in the region, and provides vital environmental services from local to global levels.

The BioCAN Programme supported the implementation and further development of policy instruments developed by the Andean Community (CAN), related to the conservation and sustainable use of biodiversity in the four Andean countries, such as the Regional Biodiversity Strategy (Decision 523) and the Andean Environmental Agenda 2006 - 2010, and 2012 - 2016. Its implementation was also aligned with the Biodiversity Strategies and Environmental Policies of the four CAN member countries.

The programme was implemented by the General Secretariat of the Andean Community (SGCAN), with financial support from the Ministry for Foreign Affairs of Finland (MFA). The BioCAN Regional Coordination Unit (RCU) was located in SGCAN, under the Environmental Coordinator in the SGCAN Environmental Area. SGCAN was strengthened through financial resources and Technical Assistance (TA). The total contribution of MFA to BioCAN implementation was EUR 6.275 million, of which EUR 4.875 million was channelled through SGCAN to finance operations, and EUR 1.4 million was channelled for TA through the Finnish Consulting Group (FCG). SGCAN provided in-kind inputs in the form of office space, logistics facilities, minor communication and administrative services, and the general direction and coordination of the programme.

The BioCAN programme was the continuation of the BIODAMAZ project implemented in the Peruvian Amazon (1999-2007) with Government of Finland (GOF) support. The BioCAN cooperation agreement between SGCAN and the Ministry for Foreign Affairs of Finland (MFA) was signed in June 2007. The Installation Phase of BioCAN started in December 2007 and finished in mid-2009. The Implementation Phase started in July 2010 and finished in December 2013, although the administrative closure with limited TA inputs was extended until April 2014. Between the Installation Phase and the Implementation Phase there was an operational break of approximately one year.

The CAN regional environmental policy instruments referred to above remained valid throughout the Implementation Phase of BioCAN although there were some policy changes in the CAN countries, most notably in Bolivia, which passed a unique environmental and sustainable development law “Ley Marco de la Madre Tierra y Desarrollo Integral para Vivir Bien” in October 2012. The most drastic change in the context of the BioCAN programme was the Decision 792 made by the member countries of CAN in September 2013 regarding the restructuring of the Andean System of Integration. This refocusing of the CAN priorities, although not conclusive, did not give an apparent role to environment or biodiversity in future work of CAN, and in practice resulted in the dissolution of the Environmental Area of CAN.

1.2 Objectives and Structure of the Implementation Phase

The **overall objective** of BioCAN was to contribute to the sustainable development of the member countries of the Andean Community (CAN) - Bolivia, Colombia, Ecuador and Peru - to improve the quality of life of Amazonian populations and reduce poverty by strengthening environmental management. The **specific objective (purpose)** of the programme was to improve sustainable biodiversity management in the Amazonian regions of the member countries of the Andean Community by promoting good governance and intercultural



participation processes, promoting gender equity, strengthening interactions at different governmental levels, and enhancing existing intra- and inter-regional synergies.

The programme was operationally organised into five components. The programme structure, components and number of projects in each component is summarized in the following table adapted from the BioCAN Mid Term Review Report (Indufor 2013).

Table 1.1 BioCAN Programme Components, Projects and Results

| COMPONENTS AND NUMBER OF PROJECTS IN EACH COMPONENT | | | |
|--|--|--|--|
| Component 1 Institutional Strengthening, 3 projects | Component 2 Information Systems, 4 projects | Component 3 Territorial Planning, 6 projects | Component 4 Incentives for Sustainable Management of Biological Diversity, 5 projects |
| RESULTS | | | |
| Proper decisions regarding Biodiversity Management and Sustainable development, of actors involved (public, private and civil society), that promote institutional enforcement and strengthening of capacities at regional, national, sub-national and local levels. | Integrated management of environmental information of the Amazon, strengthened by equitable information generation and access mechanisms, which promote capacities at local and national levels, as well as a model of regional coordination | Territorial planning to the Sustainable Development of the Amazon strengthened and linked to public policies of Member States, which promote active participation of local and regional actors | Technological and Management conditions improved for the development of local economies based on sustainable use of biodiversity and respecting traditional knowledge. |
| Component 5 (cross-cutting), | | | |
| Conservation and sustainable management of Biodiversity strengthened by implementing a financial mechanism to support local initiatives promoting the implementation of BioCAN components, 8 projects. | | | |

BioCAN was implemented through **regional, national and sub-national pilot projects** implemented by selected NGOs, Environmental Authorities of the CAN member countries, technical government agencies, research organisations and universities. All in all 18 such projects were implemented. These projects were in essence mainly components of existing broader initiatives identified by National Environmental Authorities supporting the implementation of national environmental policies and plans, and the BioCAN RCU provided support in their formulation to the formats required by BioCAN.

The **BioCAN Regional Competitive Fund (Fund)**, supported local initiatives, most of them similar to component 4 projects. 8 projects were implemented financed by the fund. Six of these projects focus on sustainable management and use of biodiversity and are rather similar to component 4 pilots. One project focused on territorial planning and joint management, and is similar to component 3 projects, and one was a regional radio communications project similar to projects under component 1.

The pilot and Fund project implementation was complemented by **specific consultancies and regional activities, including thematic meetings and workshops, and broader multi-stakeholder meetings** implemented by SGCAN/BioCAN RCU. Regarding inputs to formal



CAN-level regional processes, activities were supported under the Andean Committee of the Environmental Authorities, organized under the auspices of CAN.

1.3 Main Conclusions of the BioCAN MTR

The Mid Term Review of BioCAN was carried out in the last quarter of 2012. The MTR conclusions most relevant to this Final Evaluation include the following:

- i. The BioCAN programme document does not meet the quality criteria that could be expected and does not form a realistic basis for the assessment of programme impact and effectiveness. Even regarding efficiency, the formulations in the programme document do not as such form a solid basis for monitoring and evaluation due to their complexity and the vagueness of the indicators.
- ii. The programme continued to be highly relevant from the CAN regional and CAN member country national perspective, and also for the local beneficiaries involved. It has been relevant under Finland's 2007 Development Policy Programme, and had also maintained its relevance in terms of the (then valid) 2012 Development Policy Programme.
- iii. The MTR team was not able to find credible evidence that the BioCAN programme would at that point (late 2012) have achieved any discernible impact towards its overall objective. However, the programme had stimulated policy dialogue at different levels and contributed to lessons learned between the countries, which may eventually, through improved and more socially sensitive environmental management, lead to the expected impacts.
- iv. It was considered unlikely that the programme would be able to successfully complete its activities and reach its specific objective (purpose) given the status of execution of the activities at the moment and the short remaining time to complete these at the various levels where the programme operated.
- v. At the output level the MTR concluded that the progress made towards the outputs and products was notable considering the initial delays, and despite of the significant administrative difficulties that had been encountered.
- vi. Regarding institutional and management issues the MTR concluded that SGCAN had provided high value due to its political weight and capacity for supporting processes towards regional decisions and agreements on common regional guidelines. Regional information exchange has been a highly appreciated feature of the BioCAN programme and its organisation under CAN umbrella had given it a higher status and credibility than what could have been otherwise obtained, potentially also increasing the impact at the national level. However, regarding the purely technical exchange of information without any higher political level ambitions, other more efficient options would have existed.
- vii. The MTR also noted that mainly due to its complex institutional setting, cumbersome internal procedures (both in the CAN member countries and within SGCAN/RCU), and management and administrative issues, the programme had lost most of 2011 in terms of implementation of the activities (thus the effective time to execute the Implementation Phase had been reduced to less than two years).
- viii. It was also concluded that the programme management and the division of responsibilities between SGCAN and BioCAN RCU had not been sufficiently clearly defined in the Programme Document and during programme implementation to ensure efficient programme management and the building of a well-functioning programme implementation team.
- ix. Regarding sustainability the MTR team found that despite of the delays that had been experienced, and that to some extent continued to influence the implementation of the BioCAN programme, the overall perspective regarding the continuation of the activities supported by the programme was considered good. At the regional level good possibilities for sustainability and continuous development in those lines of action



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- which were most intimately related to CAN-level political processes were seen. Similarly, a good level of sustainability was expected in the regional work on PIRAA.
- x. The cross-cutting objectives that were formulated at the start of the BioCAN programme, had not been sufficiently analysed and discussed by the BioCAN team. As a consequence, most projects had not been applying the cross-cutting objectives consciously and were not really aware of their importance.
 - xi. It was also observed that the scientific cooperation nature of the earlier bilateral (Peru-Finland) phases of the programme had to all practical purposes been lost. As this change in the nature of the cooperation had taken place already prior to the current Implementation Phase of BioCAN it was not possible for the MTR team to find out to what extent this has been a deliberate decision by the parties at some point, and to what extent it has been a gradual evolution during the process.

These conclusions of the BioCAN MTR both informed the choice of methodology for the Final Evaluation, and helped the evaluation team in focusing the evaluation on those issues that could provide most valuable additional information regarding the evaluation objectives without repeating the findings and conclusions of the MTR.



2. CONDUCT OF THE EVALUATION

2.1 Methodology

The **objective** of the BioCAN final evaluation, as defined in the Terms of Reference (Annex 1), was to provide analytical observations on the performance of the implementation phase of the BioCAN programme. The evaluation was expected to particularly assess whether the institutional setting and approaches for implementation were efficient, effective and sustainable. In addition, the evaluation was expected to cover the additional OECD/DAC criteria of relevance, impact, aid effectiveness, and coherence. In the Inception Phase of the evaluation it was, however, agreed that the evaluation report would not need to follow the structure of the OECD/DAC criteria but a more suitable structure could be used based on the chosen evaluation methodology.

The BioCAN Programme was set in the context of the Finland's Development Policy Programme from 2007, whose cross-cutting themes were promotion of gender and social equality, human rights and equal participation opportunities (including children, people with disabilities, indigenous peoples and ethnic minorities), and HIV/AIDS as a development challenge. In addition, according to MFA's evaluation instructions, the evaluation team assessed BioCAN's contribution to environment and its vulnerability, climate change and disaster risks, governance, and the Programme's contribution to the Millennium Development Goals. In the Inception Phase it was agreed that Final Evaluation would look at the cross cutting issues in the context of BioCAN's "own" cross-cutting themes of (i) ecosystem approach, (ii) regionality, (iii) interculturality, (iv) complementarity, (v) distribution of benefits, and (vi) gender equity. This had also been the approach in the BioCAN MTR.

The evaluation was carried out slightly more than a year after the BioCAN programme formally ended, and in a situation where the programme organisation had been dissolved, the Environmental Area at SGCAN had been abolished due to the re-engineering of CAN, and the National Focal Points of BioCAN in the National Coordinating Units had moved on to other positions. This situation, not unusual to ex-post evaluations, posed considerable methodological and practical challenges to the conduct of the evaluation. In addition, as indicated in the BioCAN MTR report, the BioCAN Programme Document and Logical Framework did not provide an adequate description of a Theory of Change on which the evaluation could be structured, nor did the BioCAN components provide a logical structure for the formulation of the evaluation questions due to the thematic overlaps of the Component 5 with Components 1, 3 and 4, as discussed in chapter 1.2.

To address the above issues the chosen evaluation methodology was based on **contribution analysis**, an evaluation method that allows drawing robust conclusions, within a reasonable level of confidence, on the *contribution* of BioCAN to the observed outcomes and impacts. The evidence to support the conclusions is generated from the process of confirming the **Theory of Change** (ToC) behind the intervention and assessing to which degree the programme has managed to implement this theory. The **ToC** covers the six thematic areas of the programme (i) genetic resources, (ii) wildlife management, (iii) communication, (iv) information systems, (v) territorial planning and (vi) sustainable use of biodiversity, under which the 25 BioCAN projects can be grouped without major overlaps or inconsistencies (Annex 2). These six thematic areas are assessed through the **ToC** chain from inputs to impact, including also the underlying assumptions and external factors. Based on this assessment both thematic and programme-level conclusions and lessons learned are presented to inform the design of future regional programmes of MFA.

The method allowed the assessment to cover all the requirements indicated in the ToR, including information on the *processes* and *mechanisms* that allow the inputs (resources) to be transformed into activities, outputs, and outcomes. In other words, the tool helped to **reveal causal links between the different steps of the results chain**, while taking into



consideration the **external factors** that might have played a role in the process. The evaluation of the cross-cutting themes is carried out in an integrated manner in each step of the process, and the results are summarized in a separate chapter.

The **ToC** is presented in Figure 2.1. The blue boxes represent the **results chain**; the **inputs** include the initial financial and human resources as well as the institutional setting that BioCAN provided for the implementation of the activities, and **outputs** are the products that were delivered as a result of those activities. **Immediate outcomes** correspond to the level of expected results in the BioCAN logframe, **intermediate outcomes** to the specific objective, and **impact** to the overall objective. In addition, it integrates the **mechanisms** (the dark arrows in the Figure 1, see explanations below) that allow progressing from one level to the next in the results chain.

The mechanisms that link the different stages of the results chain to each other are as follows:

A→B Joint planning, implementation, and dialogue between ministries of environment and Civil Society Organisations (CSOs), creation of networks,

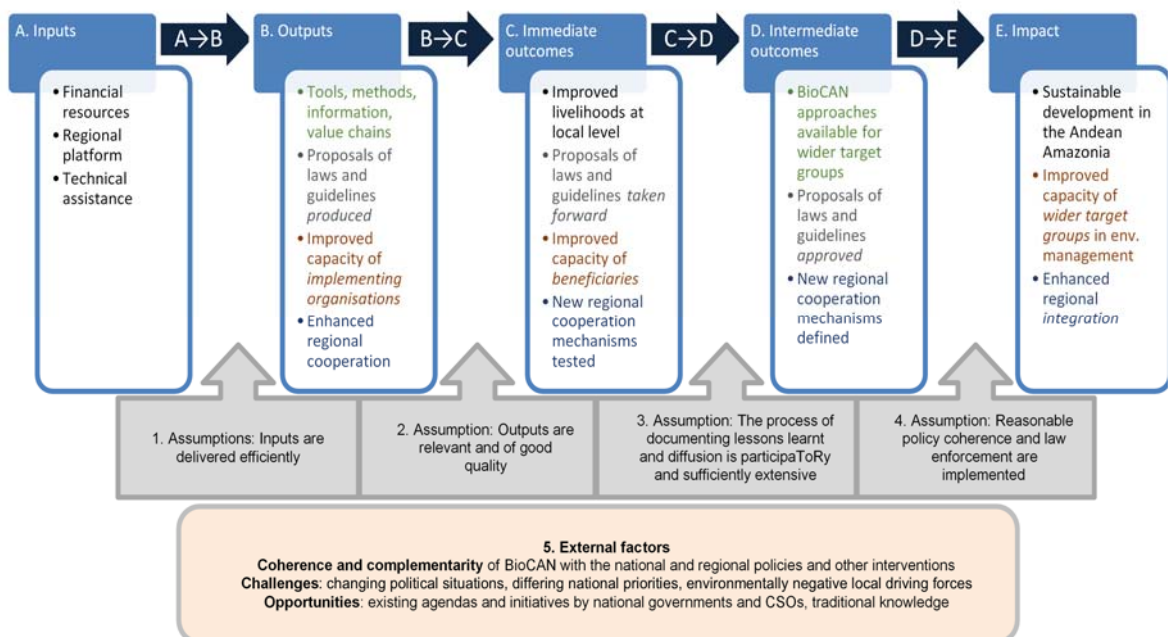
B→C Target groups (ministries of environment, implementing organisations and their partners, beneficiaries at local level) integrate new approaches into how they do business,

C→D Participatory documentation of lessons learnt, diffusion, and advocacy,

D→E Wider target groups (organisations and other government entities that didn't benefit directly from the programme) integrate new approaches into how they do business (up-scaling), BioCAN direct stakeholders continue implementing and developing the new approaches.

The grey boxes of the **ToC** (numbered from 1 to 4) explain the underlining assumptions, and the box 5 describes the external factors influencing positively or negatively the programme.

Figure 2.1 Theory of Change of BioCAN





This methodology has direct linkages to the evaluation criteria and questions indicated in the ToR of the assignment. The articulation between these two are summarised in Table 2.1.

Table 2.1 **Articulation between the evaluation criteria and the evaluation focus areas**

| Evaluation criteria | EVALUATION FOCUS AREAS | | | | | | | | | | | | | |
|--------------------------|------------------------|---|---|---|---|------------|-----|-----|-----|----------------------------------|---|---|---|---|
| | Results chain | | | | | Mechanisms | | | | Assumptions and external factors | | | | |
| | A | B | C | D | E | A→B | B→C | C→D | D→E | 1 | 2 | 3 | 4 | 5 |
| Relevance | | | | | | | | | | | • | • | • | • |
| Efficiency | • | • | • | | | • | • | | | • | • | | | |
| Effectiveness | | | • | • | | | • | • | | | | • | | |
| Impact | | | | | • | | | | • | | | | • | • |
| Sustainability | | | | | | | • | • | • | | | • | • | • |
| Coherence | | • | | | | • | | | | | | • | • | • |
| Aid effectiveness | | | | | • | • | • | • | | | | • | • | • |

Based on the ToC an evaluation matrix (Annex 3) was prepared during the desk study phase to summarize the initial findings and provide a basis for the formulation of the evaluation questions for the various stakeholder groups (the generic list of questions by stakeholder group is provided in Annex 4). The list of documents consulted in the desk phase is provided in Annex 5. The methodology to gather additional information during the evaluation field phase was designed to take into account the specific characteristics of the various BioCAN stakeholder groups.

2.2 Evaluation Process

In all four countries, the Evaluation Team interviewed ex BioCAN staff, representatives of the implementing organisations (mainly project coordinators who had been involved in BioCAN activities), and final beneficiaries of the projects. In Ecuador and Peru, the Evaluation team met with Vice Ministers of Environment, and in Colombia with the Head of International Affairs of the Ministry of Environment, all of whom were accompanied with technical staff who knew BioCAN. In Bolivia, a planned meeting with Ministry representatives was not possible due to recent changes in authorities a few days before the evaluation mission. In Lima, the Evaluation Team was received by the Secretary General of the Andean Community. Finally, to be able to triangulate some information (e.g. regarding visibility of the Amazonía Nuestra campaign), and to analyse the context for regional cooperation and compare different implementation structures, the Evaluation Team included in its mission face-to-face or Skype interviews with relevant "peer organisations" such as the Amazon Treaty Cooperation Organization (OTCA), International Union for Conservation of Nature (IUCN), and USAID-financed Initiative for the Conservation of the Andean Amazon (ICAA). The detailed list of interviewees and schedule can be found as Annex 6 to this report.

In all interviews, the Evaluation Team was warmly welcomed: it was acknowledged that very few donors are interested in or reserve a budget to contract ex post evaluations, and so the BioCAN stakeholders were happy to share information about more recent progress. With higher level representatives of CAN governments, project implementing organisations, ex BioCAN and SGCAN staff and other key stakeholders, the Evaluation Team used semi-structured interviews in person or by Skype. In some cases these were complemented by asking the interviewees to provide additional written inputs to the team. To the extent possible information gathered from the available reports and interviews was triangulated to ensure its veracity. It should, however,



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be noted that triangulation was not always possible due to paucity of independent information sources.

As during the BioCAN MTR the team had visited only a few of the projects, the Final Evaluation Team decided to put special emphasis on capturing the experiences of the final project beneficiaries and to identify any possible outcomes to which BioCAN could have contributed. This was deemed especially necessary in the case of assessing sustainable use of biodiversity (Component 4 pilot projects and some of the Fondo BioCAN projects), as all project activities relied on the ground-level implementers. For this, the Evaluation Team subcontracted an organisation in each of the four countries to organise a provincial-level workshop and to bring together representatives of the implementing organisations as well as the communities or community-based organisations (CBOs). In Bolivia, the workshop was organised by WCS in Apolo; in Peru, ProNaturaleza organised it in Iquitos; and in Colombia, its organisation was carried out by Instituto Sinchi in Leticia. In Ecuador, the originally planned workshop had to be cancelled because of low number of expected participants due to logistical constraints and coincidence with the Carnival period. However, in Ecuador the Evaluation Team interviewed in person or by telephone representatives of five of the eight project executed in the country (Fundación Pachamama was not included in the interviewees' list, as the organisation was closed in 2013.)

Each workshop was facilitated by the Evaluation Team and followed a participative approach. Beforehand, the Evaluation Team had familiarised with the project final reports and any possible products, for which the workshops focused on what had happened after BioCAN, what was its contribution to it, and what outcomes or impact could be expected from the projects based on recent developments. Significant importance was put also on obtaining information about BioCAN's cross-cutting objectives, and particularly on issues regarding indigenous peoples, gender equality, complementarity and distribution of benefits. In organising the workshops, the evaluation team requested the organisations specifically to send both women and men representatives, to strengthen the gender balance in the sessions. In total, 77 women and men participated in these provincial workshops, with over a third being women. In Bolivia and Colombia, some of the women participants were interviewed informally and separately for them to freely express themselves.

The main technique used in the workshops was guided focus group discussions, where the emphasis was on process and contribution analysis: Instead of concentrating on immediate project-level outputs, the evaluators made an effort to identify possible "silent" knowledge or informal networks the project participants and beneficiaries could have established during project implementation, and to see if these were still being used. The morning sessions were dedicated to project-based group work, and the afternoon sessions to presenting the results in plenary. This resulted highly beneficial and contributed to some organisations continuing the exchange of information after the workshop had finished. For many participants, these workshops were the first time they were in contact with other organisations or communities that had worked with BioCAN, and thus they were eager to share their experiences. The Final Evaluation can then be considered as having contributed, even as a one-shot exercise, to enhanced knowledge of the participants about other similar efforts, with possible ad hoc continuation of information sharing.



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3. KEY FINDINGS ON BIOCAN CONTRIBUTIONS TOWARDS ITS THEORY OF CHANGE

3.1 BioCAN Management, Resources and Processes

3.1.1 Programme Organisation and Management

As a consequence of its broad scope and different levels of operation, BioCAN had an extremely **complex set of counterparts, stakeholders and beneficiaries**, including international organisations (SGCAN, the Council of Ministers of Environment and the Andean Committee of Environment Authorities), national Environmental Authorities (Ministries responsible for the Environment in the four CAN member countries as the main national counterparts), national research institutions on environmental and biodiversity management, regional and local governments of the Amazonian areas of the countries, protected areas agencies, and environmental and social non-governmental organisations, local and indigenous populations, and private and rural companies.

The **Supervisory Committee** (SC) was the programme's highest decision-making body, constituted by the Andean Committee of Environment Authorities (CAAAM) representing the four CAN countries, Government of Finland through the Ministry for Foreign Affairs of Finland and the SGCAN. The Chair of the Supervisory Committee was held by the representative of the SGCAN.

The **Regional Coordination Unit** (RCU), constituted by the SGCAN as the entity responsible for the implementation of BioCAN programme, was in charge of the implementation of the programme, and operated in coordination with the **National Coordination Units** (NCUs). The RCU was headed by the **Regional Director** (RD) supported by the **Chief Technical Adviser** (CTA). The RD, supported by the CTA, focused especially on programme management and monitoring, regional activities, and Component 1. The RCU included also three Thematic Specialists, one for each of the components 2, 3 and 4, and an **International Socio-environmental Advisor** (IA), focusing on component 5. In addition the RCU was comprised of a **Financial Administrator** and an **Administrative Assistant**.

The **National Coordination Units** (NCUs) were the responsible implementation entities in each participating country, in coordination with the Regional Coordination Unit. NCUs were located in the Ministries of Environment of each participating country or other technical institution selected for this purpose. The National Coordination Units were directly supported by the **National Coordinators** (NCs) who were incorporated as technical liaison persons with the Regional Coordination Unit and maintained direct coordination with the RCU.

In all four countries, the **Implementing Organisations** for the **pilot projects** were identified and validated by the Ministry of Environment. For the regional pilots and in most countries these were a mix of research and non-governmental organisations, only in the case of Colombia, the Ministry of Environment specifically wished all projects to be channelled and implemented through the Instituto Sinchi, a ministry-linked research institution specialised in the Amazon region, to ensure proper streamlining of project activities with Government priorities. The **projects financed from the Fondo BioCAN** (BioCAN competitive Financing Mechanism), were selected based on a competitive call for proposals.

The two levels – national and regional - were jointly in charge of the implementation of activities defined in the Global and Annual Work Plans, approved by the SC.

According to the Programme Document, the RCU had operational autonomy within the boundaries of the Programme Document and the Work Plans approved by the SC. This division of focus and responsibilities between the strategic and operational management levels was in practice never realized. On one hand the SGCAN exercised heavy control on the RCU, on the



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other hand the CAN procedures required that all four countries approve decisions also at the operational level.

As a consequence the management of the Programme in SGCAN, while promoting ownership and alignment with CAN and country priorities, was slow and cumbersome and not well suited for a project with a short implementation span and a consequently tight timeline for activities. The lengthy processes were a combined result of the need to discuss and approve all initiatives unanimously (among the four countries), as well as of the lengthy administrative processes within the SGCAN. One example of this is that all Terms of References related to BioCAN consultancies had to be first circulated within the programme countries' Ministries of Environment and the SGCAN prior to their authorization. This resulted in severe lags in implementation of planned activities in all Programme components. Similarly, communication materials were as a rule circulated for comments to all countries, resulting in delays and making it difficult for the contractors responsible for these activities to finalise the products and meet contract deadlines.

The international Technical Assistance provided by FCG was never fully integrated into the operations of the SGCAN and its efficiency was constrained by operational limitations, as well as lack of autonomy and clear definition of operational mandates between SGCAN and the RCU. The separate financial management of the TA component contributed, at least to some extent, to this separation.

BioCAN Programme failed to set up a working Monitoring and Evaluation (M&E) system to track progress. A preliminary proposal for this was elaborated by an external consultant during the installation phase. During the implementation phase, the international Technical Assistance hired another external consultant to build a programme-wide M&E system backed up with an IT platform that in principle was to be compatible with and feed information into the SGCAN-wide performance-tracking system that was being built at the same time. Despite the huge effort, the work was not finalised and the system was never put into use due to diverging priorities within the SGCAN. The lack of a working M&E system for such a big and complex programme complicated the work of BIOCAN staff, especially of those working with several projects (Territorial Planning, Incentives for Sustainable Use of Biodiversity and Fondo BioCAN). Moreover, the absence of the system affected e.g. tracking beneficiaries, outputs and possible outcomes, and hindered efficient real-time managerial decisions.

Due to the above-mentioned shortfall, the Evaluation Team has relied on data provided mainly in the project final reports and interviews, without the possibility to always triangulate information

In 2013, the CAN Andean Decision 792 regarding the General Secretariat's restructuring led to the dissolution of the Environmental Area in the SGCAN and the departure of key staff, including its Head, leaving the RCU without an institutional counterpart in the organisation. This hindered programme execution in the final months of BioCAN, as well as the administrative closure process. In addition, the lack of clarity and information about CAN's role in environmental activities affected the motivation of BioCAN staff and led to a period of ambiguity which, at the moment of this evaluation, still prevails amongst environmental actors in all four countries. Due to the Andean Decision 792, many of the planned BioCAN activities were stopped, and e.g. the publications capturing the systematization and lessons learnt were never reviewed by SGCAN nor published.



3.1.2 Financial Resources and Resource Use

The BioCAN Programme overall budget was **EUR 6.275 million**, which was divided into two parts. The first one, for **EUR 4.875 million**, covered the costs related to the so-called *Implementation Period* on 18th June 2010 until 31st December 2014. The second share, for **EUR 1.40 million**, covered all Technical Assistance provided to the Programme by the Finnish Consulting Group Oy between 10th January 2011 and 30th April 2014. The original TA contract with FCG ran until 9th January 2014, but due to delays in programme performance and the need to smooth closure of programme activities and reporting, it was extended with no cost until the end of April.

The overall Programme expenditure was **EUR 5 396 737**, as per the table below². The Programme encountered several obstacles in carrying out its activities, resulting in an **86% of financial execution versus the originally planned budget**. The total sum disbursed by MFA to the SGCAN was EUR 4 115 284, of which EUR 111 500 went unspent and were later, in September 2014, returned to MFA.

Table 3.1 BioCAN budget and expenditure during the implementation period (as per final audit report)

| Category | Period | Planned budget (in EUR) | Expenditure (in EUR) | % Expenditure vs. planned budget |
|---|---------------------------|-------------------------|----------------------|----------------------------------|
| Programme Implementation | 18 Jun 2010 – 31 Dec 2013 | 4 875 000 | 3 952 954 | 81% |
| Costs re. closure: Administration, audits, etc. | | | 55 144 | |
| TA budget (FCG Consulting) | 10 Jan 2011 – 30 Apr 2013 | 1 400 000 | 1 388 639 | 99% |

Financial administration

Throughout its implementation period, the BioCAN Programme worked in four dissimilar countries, with changing authorities in the Ministries of Environment, with seventeen implementing organisations and dozens of independent consultants. This resulted in heavy administrative procedures and very high transactional costs, a weakness that was pointed out by all interviewees.

In the case of implementing organisations, the project funds were divided in several disbursements. For each disbursement, the organisation was requested to send a financial and technical (activity) report. In the case of the technical report, this was first reviewed by the country Focal Point in the Vice-Ministry, before being sent to the BioCAN thematic specialist for approval. The financial reports were first checked by the Ministry, then by the BioCAN financial administrator, and finally by the SGCAN Administrative Department. The approvals in the SGCAN could take weeks, as the Administrative Department not only catered for BioCAN but also to a number of other projects and programmes with international donors.

In addition to the multi-step authorization and approval processes within the SGCAN, the Evaluation Mission found inconsistencies between the SGCAN's financial administration standards and the national standards. SGCAN, with its headquarters in Lima, follows the

² All figures regarding total Programme and component-level expenditure (including those used in Annex 7 (Expenditure by Component and Country)) are based on the BioCAN Implementation Period final audit that was carried out by Ramírez Enríquez y Asociados (31 March 2014), as well as additional information provided to the Evaluation Team by MFA in January 2015.



Peruvian legislation and accountability systems that differ from the ones used in Bolivia, Colombia and Ecuador. Therefore many of the projects administered in the programme countries other than Peru, suffered from conflicting accountability processes and formats, and consequent delays in disbursements. This was the case e.g. of the caiman project funded under Fondo BioCAN (Component 5), and administered by the La Paz-based Universidad Nacional Mayor de San Andrés (UMSA). Originally, the project had to do the financial reporting following the University's regulations and Bolivian national standards. However, these differed from the ones requested by the CAN Secretariat, for which the project had to perform additional accountability processes. The same inconsistency was encountered also in the case of projects implemented in Colombia where the regulations related to invoicing are different to the ones applied in Peru.

One challenge arising from the lengthy disbursement processes between the SGCAN and the BioCAN implementing organisations, was the need to pre-finance project activities. All organisations interviewed by the Evaluation mission pointed out that once the project proposal and budget were approved by BioCAN, the organisations had to use other resources to be able to start and/or continue with the planned project activities, while waiting for the disbursement of funds by CAN. In the case of solid organisations with other available funding (e.g. CONDESAN in Ecuador, WCS in Bolivia and Instituto Sinchi in Colombia) pre-financing project activities was not a problem. However, in the case of field-level or community-based organisations such as CIPLA in Bolivia, the planned activities could not have taken place without WCS lending money to the organisation. The lag in disbursements was even more critical taking into account the short length of most of the projects (between 12 and 18 months), with little or no margin for rescheduling.

Component and country-level expenditure

The BioCAN financial administration was based on the programme component structure: Each component had its own pre-established budget which was administered by the thematic specialist in line with SGCAN's administrative norms and procedures. Re-allocation of funds between components or planned activities within one component was difficult and the process cumbersome. Re-allocation of funds had to be discussed in the Supervision Committee and approved by all four countries. In addition to the components, there was a specific, EUR 1 million budget category for programme coordination and administration by SGCAN.

As Annex 7 (BioCAN budget expenditure by components and countries) shows, there was considerable variation in budget expenditure between the components. While in Component 2 (Information systems) the Programme used 98% of the planned budget, in Component 4 (Incentives for Sustainable Use of Biodiversity) the figure was only 54% and in Component 3 (Territorial Planning) 71%.³ The variations between the components are due to several aspects both in country context and project implementation, but in all components the short time for project implementation was considered as a major impediment to achieve full financial execution.

In the case of Component 4 (Incentives for Sustainable Use of Biodiversity), the low financial execution was consequence of the cancellation of three originally planned activities: i) A pilot

³ The Final Audit report does not mention the USD 180 094 project "Fortalecimiento de la gobernanza ambiental en la planificación territorial en Napo" implemented by Condesan in Ecuador (contract 045-2012). As per Annex 2 of the final audit report, another territorial planning project in Ecuador, the International Conservation project "Definición de lineamientos ambientales para la incorporación en los planes de desarrollo y ordenamiento territorial (PDOT) de los Gobiernos Autónomos Descentralizados (GAD) provinciales, municipales y parroquiales" (contract 020-2012) was given a contract for USD 65 000, versus USD 79 000 stated in project document(s). Expenditure table on page 10 of the audit report states EUR 48 107 of executed funds in Territorial Planning (Component 3) in Ecuador. If we calculate the component expenditure including both Condesan contract no. 45 as well as CI contract no. 20 for USD 79 000, expenditure for Component 3 in Ecuador rises considerably, to USD 259 094.

There is also a discrepancy in the final audit report regarding the project sum of the Instituto Sinchi project "Formulación de la política para la gestión de la biodiversidad en la región Amazónica Colombiana" (contract 021-2012): The final audit reports a contract of USD 39 000 while the original contract was for USD 78 000.



project (budgeted EUR 56 044) for cocoa production in Baures, Bolivia, which did not take place due to problems with the planned implementing organisation; ii) A fair (budgeted EUR 117 500) showcasing Amazonian biodiversity products (including those products and value chains supported by BioCAN), which was not organised because of changing priorities in the CAN countries' Environmental ministries, and because it co-occurred when the Programme was put on hold by the MFA due to accusations of procedural mismanagement of procurement in Bolivia; and iii) A contest on innovative ideas (budgeted EUR 41 000) related to bio-commerce and sustainable use of biodiversity in the Amazon, which was halted due to differences amongst the CAN countries regarding bio-commerce. In addition, a regional proposal to promote payment of environmental services in the Amazonian context had to be cancelled mainly due to the controversial view of the issue among the countries. However, the cancellation of this activity did not have budgetary implications.

In the case of Component 3 (Territorial Planning), project implementation and financial execution was affected by the complex institutional and political setting for territorial planning in all of the four countries. However, Component 3 was not the only funding source for territorial planning activities, as specific zonification and territorial management initiatives were supported also under Component 5. (More details about the results of specific projects on territorial planning can be found under the thematic chapter on Territorial Planning.)

On *country level*, as per the figures included in the BioCAN Final Audit Report, the countries that obtained most investment from BioCAN were Ecuador and Peru, both of which attained 31% of the total sum for contracts and consultancies. Colombia was allocated 22% and Bolivia 16% of BioCAN funds. The destination of the funds in each country was different, with the following particularities:

- In **Bolivia**, 37% of the funds were used under Component 3 (Territorial Planning), while 18% were destined to a sole project through the BioCAN competitive Fund (Fondo BioCAN).
- In **Colombia**, funds were allocated almost evenly between Components 2 (Information Systems), 3 (Territorial Planning) and 4 (Incentives for Sustainable Use of Biodiversity), all of which were implemented by a sole organisation, the Instituto Sinchi. In Colombia not a single project was selected for funding from the Fondo BioCAN.
- In **Ecuador**, 52% of the overall programme budget used in the country was targeted to community-based and second-tier organisations through the Fondo BioCAN.
- In **Peru**, 33% of the funds used in the country were used for Information Systems, and 19% allocated through the financing mechanism.

Thematic allocation

Although the programme followed a component structure, similar thematic activities were *de facto* financed under several components. This is the case e.g. for territorial planning initiatives which were funded both from Component 3, as well as from the Fondo BioCAN (Component 5). For projects linked to sustainable use of biodiversity, these include the five pilot projects financed from Component 4, as well as six projects funded from the Fondo BioCAN. (For an overview of the thematic classification of the projects, see Annex 2). For this report, the Evaluation Team elaborated a specific table that captures budget allocation by country and by theme (Annex 8), allowing for a more accurate analysis on resource use vs. results (efficiency and effectiveness). The figures correspond to the approved budgets as stated in the project documents with the implementing organisations, not necessarily to the actual expenditure to which the Evaluation Team did not have access.

BioCAN budget allocation by theme and country evidences the following thematic emphasis:

- **Sustainable use of biodiversity:** One third (33%) of the overall BioCAN implementation budget was given to initiatives related to the sustainable use of biodiversity, of which 42% was allocated for projects in Ecuador and 29% for projects in Peru, under both Component 4 and Fondo BioCAN.



- **Territorial planning:** 27% of the overall implementation budget was targeted to territorial planning. Ecuador was allocated 31% while Peru was given 20%, mostly financing small parts of larger MINAM processes.
- **Information systems:** 17% of the overall implementation budget was allocated to the development of information systems (in particular the PIRAA). 43% of these funds were for Peru, 31% for Colombia, and only 10% for Ecuador.
- **Communication:** One tenth of the implementation budget was allocated for communication purposes, including both the regional "Our Amazon" campaign and a separate radio education project with ALER (Fondo BioCAN).
- **Wildlife management and Genetic resources:** Each theme was allocated 7% of the overall implementation budget. The contracts were signed with organisations based in Peru but in both cases the activities were carried out on a regional level, in all four countries.

Institution-level expenditure

In addition to specific consultancies, the BioCAN programme signed 23 contracts with seventeen implementing organisations in four programme countries. The Table 3.2 summarizes funding for those institutions that implemented contracts for over USD 200 000.

Table 3.2 Summary of major beneficiary institutions of BioCAN funding (as per final audit report)

| Name of institution | Country | Total sum of contracts (only BioCAN funding) | Number of contracts |
|--|------------------------------|--|---------------------|
| Instituto de Investigaciones de la Amazonía Peruana (IIAP) | Peru | USD 495 397 | 3 |
| Instituto Sinchi | Colombia | EUR 384 189 | 4 |
| Consorcio para el Desarrollo Sostenible de la Ecorregión Andina CONDESAN | Ecuador | USD 308 094 ⁴ | 2 |
| Wildlife Conservation Society | Regional | USD 217 159 | 1 |
| Soluciones Prácticas | Peru (and Bolivia)/ Regional | USD 230 000 | 1 |
| Sociedad Peruana de Derecho Ambiental SDPA | Peru Regional | USD 204 620 | 1 |

3.1.3 Operational Processes

The three pillars on which the BioCAN built its operational mode were the regional platform of the Andean Community’s General Secretariat, the technical assistance, and financial resources to make things happen. The budget was based on components, and the objectives for each component were foreseen to be achieved through three modalities: i) Direct implementation of activities by BioCAN staff, led by the thematic specialists and the international technical advisors; ii) Outsourced consultancies with individual consultants focused on a specific theme (e.g. organisational strengthening, equal distribution of benefits, visibility plan); and iii) Implementation of activities by the so-called "implementing organisations", with whom BioCAN signed a project-specific contract. Table 3.3 shows the number of projects and consultancies supported by BioCAN in each country.

⁴ Includes the territorial planning in Napo project for USD 180 094.



Table 3.3 Projects and consultancies supported by BioCAN

| País | Pilot projects | Fondo BioCAN projects | Consultancies | Total |
|----------|----------------|-----------------------|---------------|-------|
| Bolivia | 1 | 1 | 2 | 4 |
| Colombia | 1 | 0 | 3 | 4 |
| Ecuador | 1 | 4 | 3 | 8 |
| Peru | 2 | 2 | 2 | 6 |
| Regional | 0 | 1 | 3 | 4 |
| Total | 5 | 8 | 13 | 26 |

This Final Evaluation focuses on the implementation period between June 2010 and December 2013. The implementation period was preceded by an installation phase (December 2007 - May 2009) whose objective was to prepare the relevant studies and mechanisms for smooth execution. The installation phase was led by SGCAN Head of the Environmental Area, together with a core staff and backed up by two international technical advisors from Niras consulting. The interviewees of this evaluation, both at SGCAN and in the Ministries of Environment, stated that the installation phase was considered to be too long (18 months) in comparison with the short programme execution period. Also, the change in the International Technical Assistance (ITA) service provider resulted in an inopportune one-year gap between the two phases. Moreover, the Evaluation Team did not find evidence that the products (studies, etc.) developed during the installation phase would have effectively fed into the implementation phase.

Another weakness identified by the Evaluation Team was the lack of synergy-building between the components. The BioCAN staff organised weekly internal coordination meetings, chaired by the SGCAN Head of the Environmental Area. However, despite discussing common bottlenecks and looking into possible operational solutions, the BioCAN staff interviewed for this Evaluation stated that no real strategic approach was embraced. This resulted in BioCAN execution in five disconnected silos, with the international technical advisors focused on Components 1 and 5, and the thematic specialists on components 2, 3, and 4.

A revision of BioCAN human resources management reveals that staff turnover was extremely high. The interviewees pointed to weaknesses in human resources recruitment and management, confusion in roles and responsibilities (in particular regarding programme coordination, and between the ITA and the rest of the BioCAN team), and interpersonal conflicts as possible causes for such high turnover. This, in addition to frequent changes of counterparts in the Ministries of Environment (especially in Bolivia), undoubtedly hindered programme execution.

Fondo BioCAN funding mechanism

The expected result of the funding mechanism, as stated in the BioCAN Programme Document, was defined as "sustainable management of Amazonian biodiversity strengthened through the implementation of a funding mechanism to support local initiatives that promote the implementation of the BioCAN Programme components." Thus, the Fondo BioCAN was designed as a transversal mechanism that would be in line and further contribute, from ground-level, to the achievement of the programme objectives.

For the Fondo BioCAN projects, a public call for proposals was opened in August 2011. The projects had to be part of already ongoing processes or propose innovative ideas in biodiversity use and conservation. Also, the projects were expected to contribute to regional integration within the Andean Community, strengthen participation of vulnerable groups, contribute to BioCAN's broader objectives, and be easily verifiable. Of 183 received proposals, 55 met the minimum criteria, and eight were selected for funding (one in Bolivia, four in Ecuador, two in Peru and one on regional level). According to this Evaluation's project classification, six of those eight correspond to the thematic area of sustainable use of biodiversity. From the EUR 500 000 originally allocated to the Fondo BioCAN, 88% was used. Each project, all of which oscillated



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between EUR 30 000 and EUR 60 000, had to include at least 10% of co-financing from the organisation, and have a maximum 12-month implementation period.

To be eligible for Fondo BioCAN funding, the proposing organisations had to be not-for-profit, non-governmental organisations (NGOs) with local presence, community-based organisations (CBOs), or for-profit companies that were promoting the sustainable use of biodiversity in the Andean-Amazonian countries. In addition, there were more detailed financial and administrative requirements that had to be met. In the case of alliances, BioCAN preferred to give priority to local organisations, even if weak, that were supported by more solid NGOs.

The technical evaluation of the Fondo BioCAN proposals involved 27 people: Four external evaluators in each of the CAN countries (in total 16), and all BioCAN staff members (11 people). Such high number of people to assess 55 technically valid proposals seems overly ambitious, having undoubtedly increased the transactional costs.

For the SGCAN, the Fondo BioCAN represented a separate funding mechanism that was never expected to perpetuate within the Secretariat beyond the BioCAN Programme. Even if planned as a transversal mechanism, the Fondo was *de facto* a separate BioCAN component administered by the international Socio-Environmental Advisor. The projects financed from the Fund were thematically linked to the BioCAN objectives, but the Evaluation Team found no evidence that they would have contributed to more strategic or geographically targeted approaches. This, the Evaluation Team judges as a missed opportunity, because most probably a more systematic course of action between the other component activities and the Fondo BioCAN projects would have contributed towards more robust outcomes. One example of this is the territorial planning component, where Fondo BioCAN projects could have provided real-life, localized planning inputs for the macro-level policy processes, building to a more bottom-up and participative approach. Another natural space for synergy was between the Fondo BioCAN and the Component 4 (Sustainable Use of Biodiversity) pilot projects, where systematic knowledge exchange between the organisations could have brought shortcuts to other organisations working on similar issues along the value chains. Constructing a multi-step and complex selection and administration to allocate half a million Euros in very short time was not conducive, and can be assessed as having slowed down programme execution.

More detailed information about the operational processes can be found under each thematic chapter.

3.2 Thematic Area 1: Wildlife Management

3.2.1 Summary Contribution Assessment

Summary of intent: As this thematic area was part of the BioCAN Component 1 it shared the aim of “improved decision making regarding biodiversity and sustainable development by public, private and civil society actors, strengthening the capacities at the local, national and regional levels”.

Although initially the scope of the theme covered both fauna and flora, the actual work focused on controlling the illegal trade of wildlife through (i) capacity building at various level, (ii) inter-sectorial and inter-institutional coordination, and (iii) exchange of experiences and best practices. This sharper focus was introduced in the proposal by the Wildlife Conservation Society (WCS) who implemented the USD 217 159 pilot project that provided the main support to this work. To a more limited extent, the work also focused on the resolution of human – wildlife conflicts and the integrated/ ecosystemic planning of wildlife management.



| Quantity of outputs achieved | Quality of outputs achieved | Contribution of outputs to outcomes | Mechanisms and processes used | Contribution of outcomes to impacts | Mechanisms and processes used |
|--|---|--|--|--|--|
| Medium to high – mainly tools, guidelines and proposals, and informal networks | Medium to high – generally well received by potential users, and some continued use detected | Medium – a limited number of country level outcomes | BioCAN projects embedded in longer term programmes of implementing agencies provided in some cases platforms for wider uptake. | None yet but some promising initiatives have been identified. | Collaboration between BioCAN implementing partners at the national level |
| Summary assessment of efficiency: High given the short implementation time and complex organisation of BioCAN | | Summary assessment of effectiveness: Medium – mainly due to short implementation time but also influenced by SGCAN re-engineering (see below). More on country level than regionally. | | Summary assessment of impact: Implementation time too short for impacts to materialize –but some promise for future impacts evidenced. | |

Key external factors that influenced BioCAN contribution:

Positive: Active interest of WCS and some country-level authorities (Ministry of Environment in Ecuador and SERFOR in Peru) actively pursuing new initiatives making use of the information and contacts generated through participation in BioCAN.

Negative: SGCAN re-engineering resulting in the dissolution of the Environmental Area and the lack of follow-up to the political processes that were initiated and informed through work supported by BioCAN.

3.2.2 Key Findings

Processes for the joint planning of the projects/activities

Hiring WCS was preceded by a consultancy to carry out a diagnostic of wildlife management in the four countries, covering legal, institutional and management related issues, identifying key problems in the management of wild flora and fauna, including opportunities for cross-border collaboration, and outlining potential priority areas for BioCAN support. The contacts during this work were limited to government officials, and academic and NGO experts, and did not include any consultations with local or indigenous communities or their representatives. Nor were such consultations required in the Terms of Reference.

WCS was selected to execute the project due to its on-going international track record on the issues central to the project, as well as its presence in two of the CAN countries, Bolivia and Peru. According to information provided by WCS, it conducted arduous negotiations with SGCAN/RCU to focus the activities only on wild fauna, a refocusing necessary because of the limitations of time and available funds. There is no record that broader stakeholder consultations would have taken place at this stage.

Outputs and products

Four regional workshops were organized on the selected themes with the participation of more than 160 participants from the government, civil society and academia. All workshops were preceded by preparatory virtual forums.



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Based on the virtual forums and regional workshops, country specific guidelines (7 in total) were produced on various aspects of the management of wild fauna, for control of commerce and trafficking in wild fauna, and for the seizing and holding of illegally traded wild fauna.

Four country-level workshops were organized to validate the guidelines related to the prevention and control of illegal commerce on wildlife, with participation of a wider set of relevant institutions, including the police, customs, transport companies and health officials.

The resulting documents were printed and disseminated but with no official status given either by CAN or the national authorities. The documents are of high quality and evidence the long-track record and international scope of the work of WCS on these topics.

The main outputs or products related to capacity building and regional cooperation are:

- (i) the strengthening of the knowledge of the participants on these issues, which can be reasonably assumed based on the quantity and quality of the material produced and validated in the workshops, although no direct follow-up with the participants was possible,
- (ii) the national and regional networks resulting from the participation, which are still to some degree maintained on personal level, although there is no formal follow-up by WCS, and
- (iii) the strengthened institutional positioning of WCS, especially regarding their positioning at the national/policy level Peru and Ecuador (in Bolivia they were already well connected on the policy level).

Outcomes

Within SGCAN there was an attempt, initiated already in the first regional workshop 2012, to establish an Andean Decision (note: CAN Andean Decisions constitute regional law that is binding to the CAN member countries) on strengthening the national capacities and putting in place a mechanism for cross-border collaboration and information exchange to strengthen the control of illegal trade of wildlife, inserted into the Andean Regional Strategy on Biodiversity. However, after the CAN re-engineering decision (Andean Decision 792) this process came to a stop.

The WCS has been able to make use of the products and outputs of BioCAN, and reports that these contacts have been instrumental in establishing an alliance with the Ministry of Environment in Ecuador to leverage in 2012 a GEF Trust Fund Grant (USD 4.5 mill) financed project “Advancing Landscape Approaches in Ecuador’s National Protected Area System to Improve Conservation of Globally Endangered Wildlife”.

In Peru WCS have continued collaboration with the National Forest Service SERFOR. As a result of this collaboration on 3.3 2015 SERFOR organised in collaboration with WCS and the Natural History Museum a public event focusing on preventing the illegal trafficking of wildlife, and gave wide publicity to two of the technical documents on this theme produced with BioCAN support. This is part of a SERFOR led process to develop a National Strategy for Combatting Illegal Trade of Wildlife. The process is supported by the US Fish and Wildlife Service. The BioCAN outputs have also been used by SERFOR – with support from WCS – as inputs for developing the regulations under the 2012 Forest and Wildlife Law. The regulation will be submitted by SERFOR in March, and it is expected to be approved by the Government of Peru in April. Specifically, BioCAN process inputs (results of workshops i.e. technical documents) have fed into:

- further specifying the ecosystems approach, which up to now has only been managed by NGOs, not the Government,
- management of human – wildlife conflicts which was not a known concept before the WCS supported BioCAN workshops – now 169 of such conflicts have been identified and are under a resolution process,



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- combatting wildlife trafficking, where there had been previous work, but the BioCAN regional workshops and documents provided additional inputs to the process.

Impacts

No impacts of the work can be detected, nor would it be reasonable to assume this given the long timescale that this type of processes require. The possibility for future impacts to materialise depends on (i) the willingness of CAN member countries to use the CAN structures to develop regional legislation, (ii) the interest and ability of the countries to establish bilateral arrangements and country-level processes (such as that initiated by SERFOR), and (iii) the ability of WCS and the Ministries of Environment to mobilize additional funding for such efforts (such as the GEF project in Ecuador and the funding in Peru to support the process initiated by SERFOR), and successfully implement such processes.

3.2.3 Thematic Area Conclusions and Recommendations

The highest contribution of BioCAN under this theme was in leveraging WCS work on these themes to countries where they had previously limited activities and contacts, especially on the policy level. This has enabled continuation of the work, especially on controlling illegal trade on wildlife, building on the outputs and products of BioCAN.

Choosing the right partner organisation with the capacity to continue and build on the results of a short-term project like BioCAN – in this case WCS - is essential for any wider outcomes or impacts to materialize.

3.3 Thematic Area 2: Genetic Resources

3.3.1 Summary Contribution Assessment

Summary of intent: As this thematic area was part of the BioCAN Component 1 it shared the aim of “improved decision making regarding biodiversity and sustainable development by public, private and civil society actors, strengthening the capacities at the local, national and regional levels”.

More specifically, as defined in the working document “Plan for Strengthening Policies and Normative and Institutional Frameworks Regarding Access to Genetic Resources and Protection of Traditional Knowledge”, prepared by BioCAN in December 2011, the work under this theme aimed at:

- Activating the Andean Committee on Genetic Resources, CARG (a CAN committee), and within the CARG support a process to analyze the need for revisions in the Andean Decision 391 “Common Regime on Access to Genetic Resources of 1996, and agree on revisions needed.
- Strengthening the capacity of the civil servants and negotiators of the Andean countries, representatives of the Consultative Council of the Indigenous Communities and the Scientific Community to participate in negotiations on Genetic Resources and Traditional Knowledge.
- Developing strategies and tools to combat bio-piracy and to handle cases of bio-piracy that have been detected.

The work in this Thematic Area was to a large extent carried out in the context of the Andean Committee on Genetic Resources and Traditional Knowledge, CARG, in close collaboration with SGCAN, and with technical inputs from the Sociedad Peruana de Derecho Ambiental, SPDA, with total BioCAN financing of USD 204 620.



| Quantity of outputs achieved | Quality of outputs achieved | Contribution of outputs to outcomes | Mechanisms and processes used | Contribution of outcomes to impacts | Mechanisms and processes used |
|--|---|---|---|---|-------------------------------|
| Medium to high – mainly background studies and working papers | Medium to high – outputs generally well received by potential users | Medium | The work was embedded in the CAN Committee structure and succeeded in activating the CARG | Low at this point but with some potential due to possible reactivation of the CARG work within the CAN Ad Hoc Committee on Intellectual Property Rights | - |
| Summary assessment of efficiency: High given the short implementation time and complex organisation of BioCAN. | | Summary assessment of effectiveness: Low – negatively influenced by SGCAN re-engineering Decision 792 and the consequent abolishing of the CARG from the CAN committee structure which effectively stopped the process. | | Summary assessment of impact: Implementation time too short for impacts to materialize. | |

Key external factors that influenced BioCAN contribution:

Positive: High level of interests on this topic by the CAN countries and political support to the process within the CARG.

Negative: SGCAN re-engineering resulting in the dissolution of the Environmental Area and the lack of follow up to the political processes that were initiated and informed through work supported by BioCAN.

3.3.2 Key Findings

Processes for the joint planning of the projects/activities

The SPDA was contacted by the RCU during the formulation of the “Plan for Strengthening Policies and Normative and Institutional Frameworks Regarding Access to Genetic Resources and Protection of Traditional Knowledge”, and contracted to support the work by SGCAN and CARG as well as the Environment Ministries of the CAN countries in their work on the analysis of the implications and implementation of the Nagoya Protocol.

Given the highly technical nature of this theme, direct social participation in the planning of the activities was of low relevance. It should, however, be noted that the focus of the activities was to a great extent in supporting the protection of (indigenous) traditional knowledge and related intellectual property rights.

Outputs and products

The main outputs produced during the Implementation period were:

- Four research papers to support the regional technical workshops on issues related to access to genetic resources and traditional knowledge: (i) an analysis of the impact of the Nagoya Protocol and agreements within FAO to the revision of Andean Decision 391, (ii) a study control of international trade of genetic resources, (iii) and an assessment of the implications of the Nagoya Protocol on contractual and legal obligations in countries importing and exporting genetic material.



- Three working documents on (i) bio-piracy, (ii) assessment of the feasibility of establishing a regional norm on the protection of traditional knowledge, and (iii) proposal on elements for the revision of the Decision 391.
- A (draft) Guideline for negotiators regarding access to genetic resources, traditional knowledge and intellectual property rights was produced to support Andean negotiators involved in international negotiation processes. However this was never approved by the CAN countries and remained as an unofficial draft. The Evaluation Team found little evidence of its use by the Ministries of Environment or other key stakeholders, or even awareness of its existence.
- Three regional thematic workshops focusing on traditional knowledge and legal origin of genetic resources were organized, with a total of close to a hundred participants from the target groups. In addition national dialogues on country specific issues were conducted: in Bolivia two on traditional knowledge, in Colombia two on bio-piracy, in Ecuador two on access to genetic resources and traditional knowledge. In Peru four working group sessions were conducted to revise the national implementation of Decision 391.
- The CARG was re-activated and held five meetings during the BioCAN Implementation Phase after having been inactive for several years.
- A proposal for revising the text of the Andean Decision 391 was produced based on the regional dialogue and consultations.

The quantity and quality of the studies and working papers, as well as the number of technical and CARG meetings held can be considered impressive. It clearly demonstrates that the topic was and is of high priority to the CAN countries, and that considerable progress could be made in a short time to develop an proposal for the revision of the Decision 391, integrating key issues deriving from the Nagoya Protocol into a CAN regional legal framework. The outputs were delivered in a timely manner and supported a consistent process. It is also evident that the studies, dialogue and meetings (both technical and CARG) contributed to increase the capacity of the involved officials in the Ministries of Environment and the other direct participants and their organisations. Also, SPDA was able to strengthen its organisation with new recruitments and consolidate its leadership in this theme in the region, as well as increase its involvement with and influence on related political processes. The informal networks and communication between experts on these issues, strengthened by the BioCAN events, continue between the countries. This is considered by SPDA as one of the most important products directly related to BioCAN support and allows direct consultations between SPDA and Environmental Authorities in the countries.

The (draft) Guideline for negotiators regarding access to genetic resources, traditional knowledge and intellectual property rights is a well- structured and logical presentation of the international processes, agreements and guidance on these issues, covering the CBD, the Nagoya Protocol and related processes in other international fora, including those under the World Intellectual Property Rights Organisation (WIPO), the UN Food and Agriculture Organisation (FAO), the World Trade Organisation (WTO), UNASUR and OTCA.

According to the participant list from the regional workshops, there was fairly balanced gender based representation, as well as participation of governmental and non-governmental sectors.

The proposal for re-drafting of Decision 391 contained important issues for the indigenous organisations arising from the international processes, such as (i) access to genetic resources, (ii) the associated intangible component and its relation to the traditional knowledge of the indigenous communities, (iii) access and benefit sharing, (iv) and the protection of traditional knowledge.

Processes for the wider uptake and use of the outputs and products

Success in revising the Decision 391 would have resulted in a formal government-led process for the wider implementation and uptake of the outputs and products. However, this process was truncated by the CAN re-engineering Decision 792 which eliminated the CARG from the CAN structure. The Evaluation Team was informed by the CAN Secretary General that the



intention of CAN was to continue this process in the context of one of the committees in the new streamlined CAN structure, the Andean Ad Hoc Committee on Intellectual Property Rights. However, no concrete plan or timeline for this was presented, and much will depend on the priority given to this issue by the CAN member countries.

There are some indications that some of the CAN countries are continuing the work through the national institutions, e.g. in Peru INDECOPI, the National Committee on Bio-piracy, has made use of the BioCAN financed products in its work. Views were also expressed that the studies financed by BioCAN are being used as material for further studies on these issues, but the Evaluation Team was not able to verify this.

Outcomes

At this point no concrete wider outcomes can be confirmed. Although the main process for the wider implementation of the outputs and products was to a great extent conditioned to the reform of the Decision 391, the outputs will (or may) also contribute to the implementation of the Nagoya Protocol by the CAN member countries, especially in Peru which where the link between the Ministry of Environment and SPDA is strongest.

To some extent also the wide participation of key stakeholders in the regional and national events can be expected to have contributed to a wider outcome regarding capacity building on issues related to access to genetic resources and traditional knowledge.

Impacts

No impacts can at this point be detected, nor is it realistic to expect such impacts. Given the complex nature of the issues related to access to genetic resources and protection of traditional rights (e.g. regarding contractual arrangements and channelling funds to community level), even in the case that the CAN does revise Decision 391 (or the countries individually ratify the Nagoya Protocol, as Peru has done), given the complexity of implementation and the weak national capacities to do so, it will take time for the impacts to fully materialize.

3.3.3 Thematic Area Conclusions and Recommendations

It is evident that the outputs under this theme can be directly attributed to BioCAN and that these outputs were delivered timely and were of a quality that made them useful for the intended process. The proposal for re-drafting of Decision 391 contained important issues for the indigenous organisations arising from the international processes and the regional process supported by BioCAN.

The work in this thematic area was disrupted by the CAN Decision 792 that abolished CARG. It is recommended to SGCAN to discuss with the representatives of the Ministries of Environment of the CAN countries how to continue this process within the new committee structure in the context of the work of the Andean Ad Hoc Committee on Intellectual Property Right. To the extent still possible, the Embassy of Finland should follow progress in this.

SGCAN – in collaboration with SPDA – should also ensure that all the material produced under this theme is effectively re-disseminated to the Ministries of Environment and other relevant stakeholders in the CAN countries as many persons have changed positions since this was done by BioCAN, and the material is not widely known at the moment.



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3.4 Thematic Area 3: Communications and Visibility

3.4.1 Summary Contribution Assessment

Summary of intent: As this thematic area was part of BioCAN Component 1 it shared the aim of “improved decision-making regarding biodiversity and sustainable development by public, private and civil society actors, strengthening the capacities at the local, national and regional levels”. Thus, in principle, the communications and visibility theme should have contributed to better informed organisations with tools for advocacy and decision-making about the Andean Amazon.

A “BioCAN Programme Visibility and Communications Plan” was formulated in November 2011 with the objective to disseminate the results and accomplishments of the BioCAN programme, as well as to “revamp” the public image of the Andean Amazon, *vis a vis* with the Brazilian Amazon, on one hand, and with the Andean highlands, on the other hand. The visibility and communications plan’s content was negotiated and agreed upon with the representatives of all four programme countries.

At the core of this plan was the “Our Amazonia” (Nuestra Amazonía) campaign which intended to inform a vast number of target groups, from the general population of the CAN countries to NGOs, the Amazonian indigenous peoples, local governments, the scientific community, private enterprises, central government agencies, diplomatic delegations, sources of external finance etc. on the biological and cultural values of the Andean Amazon.

The activities under this theme were supported by a pilot project of USD 230 000, for which an open call for proposals was launched. The winner was a consortium led by the Lima-based NGO Practical Solutions. For the publicising of the communications products in the CAN countries, Practical Solutions sub-contracted Fundación Natura in Colombia and the Latin American Association for Radial Education, ALER (an association specialised in local radio broadcasting and education) in Ecuador. All audiovisual materials were produced by Guarango in Lima, and in Bolivia, the dissemination of the campaign was carried out by Practical Solutions country office in La Paz.

In addition to the Our Amazonia campaign, one project selected for funding from the Fondo BioCAN (Component 5) contributed to the communications theme. This was the EUR 59 933, regional *Communication for the Andean-Amazonian promotion and integration of biodiversity and interculturality in Bolivia, Colombia, Ecuador and Peru* project implemented separately from the Our Amazonia campaign by the Quito-based ALER.



| Quantity of outputs achieved | Quality of outputs achieved | Contribution of outputs to outcomes | Mechanisms and processes used | Contribution of outcomes to impacts | Mechanisms and processes used |
|--|---|---|--|---|---|
| Medium to high – large variety of communications products and outputs. | Medium to high – well received but of very generic nature – not targeted to specific groups | Varies between countries – Estimated highest in Peru and lowest in Colombia. Not possible to qualify. | A large variety of mainly low-cost channels were used. | Not possible to assess. | None detected for Our Amazonia. Dissemination through ALER global satellite network for the radio and TV spots. |
| Summary assessment of efficiency: Medium to high based on figures given in reports – not possible to triangulate or otherwise verify. | | Summary assessment of effectiveness: Diffuse targeting and no follow-up; Assessment impossible. | | Summary assessment of impact: Diffuse targeting and short-term nature of the efforts is likely to have reduced impact. However, the continued free distribution of the radio programmes and spots through ALER’s global satellite network (both radio and TV) can contribute to awareness building even beyond the Pan-Amazon region. | |

Key external factors that influenced BioCAN contribution:

Positive: High-level support from CAN and the Ministries of Environment of the four countries to the Our Amazonia campaign, demonstrated e.g. by the SGCAN Communications Department that supported the campaign launch event. As a result of high-level lobby, Peru’s Minister of Environment and several CAN vice ministers attended and addressed the audience in this event.

Negative: In some countries (e.g. Colombia) the institutional support given to this effort was not sufficient to make it visible to the general public.

3.4.2 Key Findings

Processes for the joint planning of the projects/activities

The Our Amazonia campaign was based on the Visibility and Communications Plan that was elaborated by BioCAN staff in late 2011. The Evaluation Team did not find evidence that the original proposal for BioCAN’s communications strategy, elaborated in 2009 (during the installation phase) by an external consultant would have fed into the above-mentioned plan. Even though the final Plan was coordinated from the SGCAN, it was based on the feedback from the Ministries of Environment of all four CAN countries, and approved by the Supervisory Committee. For communications and visibility, the planning catered to specific requests coming from the countries, as well as from the CAN Communications Department. At implementation, the constant consultations required by SGCAN resulted in a disperse campaign with no clear target groups nor message, when Practical Solutions tried to accommodate all possible opinions under one umbrella. Moreover, all coordination and productions were undertaken by Practical Solutions Lima office, leaving the associate organisations (Practical Solutions La Paz office, ALER and Fundación Natura) mainly with distribution tasks. Some implementing organisations and BioCAN stakeholders (WCS in Bolivia, USAID-ICAA in Peru) recall having contributed to the campaign with photographs from the Amazon.



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For the ALER project, the project was entirely planned within the ALER secretariat but was based on years of collaboration with the Andean Amazonian radio stations and communicators (including indigenous).

Outputs and products

Under the theme a large variety of communications products were produced, including graphic products (posters, leaflets, banners, photographs, notebooks etc.), short radio broadcasts, spots for cinema, Facebook pages, and YouTube strips. In addition, the Our Amazonia campaign involved (i) a competition for posters by schoolchildren (through Facebook), (ii) a photo contest, (iii) several exhibitions in the CAN countries including audiovisual presentations on the sustainable use of Andean Amazonian biodiversity, based partly on the BioCAN supported projects. The products or outputs listed in the final report of the campaign include:

- 34 Amazonía Nuestra art products (logo, etc.)
- Three 30-second TV spots
- Three 30-second radio adverts
- One one-minute promotional video
- One 2-minute teaser of the Amazonía Nuestra documentary film
- One 25-minute documentary film
- 838 Amazonian photos in the photo collection
- 328 footage videos
- 5000 notebooks distributed in the four countries
- 500 campaign CDs distributed in schools, universities, institutions, and different events.

In general, the stakeholders consider the materials produced as being of high quality, and the Evaluation Team, having studied some of the materials produced, agrees with this opinion.

The ALER campaign produced:

- Four radio programmes with national authorities: "Communication, indigenous peoples and biodiversity: The public agenda and its protagonists" (Peru); "The past of the future, Amazon today" (Ecuador); "Forum on climate change" (Bolivia); and "Everybody's Amazon" (Colombia).
- One radio campaign about Amazonian themes, with four radio spots and two mini programmes.

In addition, it organised several workshops, seminars and gatherings in the four countries between Amazonian and Andean communicators. One important activity were the internships that ALER supported so that three communicators from the Amazonian radio stations and one from an Andean radio station (in Lima) could go and spend some weeks in another Amazonian radio.

In the ALER project, the cross-cutting themes of regionality, interculturality, and indigenous peoples and their rights were highly visible. Many of ALER's associate radios are community-based and in the Amazonian region embedded in indigenous territories. Of the 32 direct beneficiaries (local communicators), 12 are indigenous, and 19 are men and 13 women. In the radio productions, interculturality and indigenous traditions and knowledge were brought up in a constructive way, as were also issues related to equal participation of women and men.

As for the Our Amazonia campaign, it highlighted the ecosystem approach, regionality, equal distribution of benefits, and the traditional knowledge of indigenous peoples about the Amazon region. However, gender equity was practically ignored. According to the project coordinator, was it not because of BioCAN staff's observations, all protagonists e.g. in the 25-minute documentary film would have been men.



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Processes for the wider uptake and use of the outputs and products

The Our Amazonia campaign was effective only from late September 2012 until March 2013, and due to budgetary constraints, it used mainly low-cost channels (university and community-based radios, alternative cinemas, etc.) to disseminate its messages. In Quito, some Our Amazon slogans were glued to local trolleybuses, and in La Paz, Practical Solutions organised Our Amazon -linked activities for one month e.g. in the Phipipi Children's Museum. In practice, the channels and visibility/ awareness-raising activities were one-shot, thus not building on a strategic continuum nor sufficient volume for exposure.

The original idea was for the CAN Secretariat to keep on disseminating the campaign material, but with the restructuring and consequent elimination of the Environmental Area, this did not happen. The campaign materials (mainly spots and the documentary) remain uploaded on the CAN internet site (though not anymore on the landing page) and on YouTube, but they must be specifically sought to gain access to them. At the closure of Our Amazonia, all campaign material was distributed, through BioCAN focal points, to the Ministries of Environment as well as to the implementation organisations, but staff turnover especially in the ministries has led to the new responsables not knowing about the campaign. No monitoring on the use of the Our Amazonia has taken place.

Anecdotally, during its visits to the Ministries of Environment of Colombia and Peru, the Evaluation Team came across with ministry staff using Our Amazon notebooks. In Bolivia, the former national focal point mentioned that the campaign spots had been requested by and shared with the Santa Cruz regional government, which is using the spots in its work against illegal trafficking of wildlife. In Peru, Practical Solutions has used the materials in their events, gatherings, and for PR, but at the same time one of the implementation organisation interviewees admitted that she had not used the available campaign material in events because of not knowing if she was allowed to do so. Besides these isolated examples, the Evaluation Team found no proof for wider uptake of the Our Amazonia materials.

The case of ALER is different. Being part of a broader Pan-Amazonian initiative, all products can be accessed free of charge through the global ALER satellite network. ALER has also uploaded Our Amazon campaign spots to its network. According to ALER and its associate National Coordinator of Radios (CNR) interviewees, the spots have been requested "a couple of times" (after the closure of BioCAN) by the ALER associates, and have been timely provided. However, no monitoring is carried out on the actual use of the materials, for which any assessment of the real uptake is impossible.

Outcomes

The Evaluation Team found no evidence that Our Amazonia campaign would have contributed to any relevant outcomes, strengthened organisations nor improved decision-making on Andean-Amazonian realities. That said, the project contractor Practical Solutions claims having gained positive branding and having won a succeeding WWF campaign on environment thanks to the Our Amazonia campaign delivered to SGCAN.

For the Fondo BioCAN project, the following outcomes were mentioned by ALER and by its associate CNR in Peru:

- The urban/ Andean public's awareness about (or at least exposure to) Amazonian themes has increased thanks to the BioCAN-supported project. One example of this is the internship that Radio Estéreo's (Villa El Salvador, Santa Rosa de Lima, Peru) Communications Director did in Radio Nauta, Loreto (Peruvian Amazon) that has pushed the urban/capital radio station to systematically bring up Amazonian themes in its broadcasting. Radio Estéreo's public consists mainly of urban immigrants in Lima.
- After the successful project with BioCAN, the National Coordinator of Radios (CNR) has included the Andean-Amazon exchange and integration as one of its strategic courses of action, and is planning to implement projects e.g. in the conflictive ABRAE territory in Central Peru.



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Impacts

None detected, but given the wide scope of the targeted public, general nature of the Our Amazonia campaign and the short duration, it would hardly be realistic to expect such impacts to have materialized. The final report of the campaign indicates that the campaign is contributing to “changing the appreciation of the Andean citizens towards this important region (the Andean Amazon). While the Evaluation Team considers this a highly optimistic statement, the campaign with its unique focus was a first step in this direction.

3.4.3 Thematic Area Conclusions and Recommendations

The Our Amazonia campaign was entirely dependent on BioCAN support, and would not have taken place without this. In the case of the ALER project, this was part of a broader strategic effort to link the Amazonian non-commercial radio stations into a Pan-Amazonian network that the association has been boosting for some years. At the time of BioCAN, this network had been kicked off with some external funding from a French organisation, and would the proposal not have been selected for Fondo BioCAN, ALER would have applied for other funding.

Recommendations for this theme include: i) Give enough time to plan and implement a communications campaign, especially if all materials must be coordinated with political entities or with a wide range of stakeholders; ii) Focus on one or two target publics and adapt the messages and channels to their characteristics (the more specific the target public, the better); iii) Keep main campaign messages clear and solid; iv) Separate visibility activities and products from awareness-raising/ educational ones; v) Allocate enough resources to ensure sufficient exposure of targeted public to campaign messages; vi) Depending on the target public and theme, put more emphasis on social media and networks.

3.5 Thematic Area 4: Information Systems

3.5.1 Summary Contribution Assessment

Summary of intent: The aim of this component was to contribute to the integral biodiversity information management through strengthening of the national level networks providing biodiversity data for national and/or international needs, and to propose models for regional coordination, through information sharing mechanisms and implementation of pilot projects of information networks according to national needs.



| Quantity of outputs achieved | Quality of outputs achieved | Contribution of outputs to outcomes | Mechanisms and processes used | Contribution of outcomes to impacts | Mechanisms and processes used |
|--|---|--|--|--|-------------------------------|
| Medium – Mainly applications, guidelines, user manuals | Medium – Generally well received by potential users | Variable – Even though the system is not functioning at regional level, it has contributed with information to national systems. | BioCAN national level proprietary projects of implementing agencies are in most cases being furthered (except Bolivia) | Low | None detected |
| Summary assessment of efficiency: Medium, given the short implementation time and complex organization of BioCAN | | Summary assessment of effectiveness: Low – mainly due to short implementation time but also influenced by SGCAN re-engineering | | Summary assessment of impact: Implementation time too short for impacts to materialize | |

Key external factors that influenced BioCAN contribution:

Positive: Dedicated working groups providing specialised services at national level.

Negative: SGCAN re-engineering meant that CAN priority for managing a regional information system was greatly reduced. National information systems requirements have higher priority for the individual countries than a regional system.

3.5.2 Key Findings

Essentially, this component focused on the construction of a regional platform for biodiversity information sharing (the PIRAA system “Environmental Information Platform for the Regional Amazonia”), strengthening of national “nodes” handling biodiversity information, and formulating and implementing pilot projects in information management according to national needs, and for supporting the construction of the PIRAA.

PIRAA was designed conceptually through an initiative started during the installation phase, during which IIAP was contracted to concretise initial ideas by the BioCAN team and ministries, under the then existing agreement between CAN and the IIAP. During the first meeting of the technical working group PIRAA (May 2011) the technical design was agreed upon and the BioCAN responsible for Component 2 prepared a new design document outlining all aspects of the PIRAA (including target groups, institutions to be involved, themes and information types to be included etc.), and a proposal for the institutional set-up, proposed responsibilities and a corresponding activity schedule.

The themes considered were Amazonian species briefs (of threatened species, invasive, or species subject to illegal trafficking), metadata catalogue, catalogue of organisations and specialists, successful experiences of territorial planning, bio-commerce experiences, thematic maps etc.). Training proposed was both on technical aspects of the system and biodiversity management themes.

At the same time the Secretary General made the decision to place the PIRAA as part of the already functioning Andean Environmental Information System, SANIA, which facilitates access



to sub-regional and national information on the projects implementing the Andean Environmental Agenda (AAA).

Processes for the joint planning of the projects/activities

The planning processes consisted of the definition of agreements between BioCAN, the focal points (ministries) and the chosen implementing organisations, which were selected by the ministries. These organisations acted as nodes for the PIRAA, and each node formed working groups with at least one thematic and one information system specialist, who then proceeded to prepare capacity building plans. At national level, the technical working groups sought to integrate the agreed elements that would satisfy both technical and informational needs of the PIRAA system, and the needs in terms of their own capacity and skill level of managing biodiversity information in the national context. BioCAN support concentrated on institutional strengthening (server equipment support and corresponding training in tools and methods, including applications used to connect national level information to the regional central node).

BioCAN supported these efforts through regional encounters, consultancies, and the pilot projects defined for this component. Table 3.4 shows the pilot projects implemented in the four countries:

Table 3.4 Pilot projects under Component 2 information systems

| Country | Implementing organisation | Project name | Contract amount BioCAN (USD) |
|----------|--|---|------------------------------|
| Colombia | Instituto Amazónico de Investigaciones Científicas (Instituto Sinchi) | Definition and confirmation of the PIRAA, through strengthening of the sub-node in Colombia: Sistema de Información Ambiental Territorial de la Amazonia colombiana SIATAC. | EUR 134 314 |
| Ecuador | Consortio para el Desarrollo Sostenible de la Eco-región Andina (CONDESAN) | Plan for strengthening of the sub-national node of PIRAA in Ecuador | 54 000 |
| Peru | Instituto de Investigaciones de la Amazonía Peruana (IIAP) | Integrated management of biodiversity information in the Peruvian amazon | 229 869 |
| Bolivia | Instituto de Desarrollo Regional IDR y Dirección General de Diversidad Biológica y Áreas Protegidas, Viceministerio de Medio Ambiente y Agua (VMA) | Plan for the establishment of the Amazonian biodiversity information system | 87 811 |

For **Colombia**, in planning the pilot Project, the implementing organisation Instituto Sinchi decided from the start that the existing Information System/portal for the Colombian Amazonia, SIATAC should be the node that connected to PIRAA and Instituto Sinchi had full control over the formulation of the pilot project, the design and implementation, delegated by the Ministry of Environment and Sustainable Development (MADS). The pilot project was designed to support the strengthening of the SIATAC initiative, so that no new national initiative would be needed in order to link to PIRAA. Furthermore the metadata cataloguing tool, CASSIA, developed by the Alexander van Humboldt Institute and used in the Colombian Biodiversity Information System (SIB), together with the SpBioCAN species and organisation directory tools, was adopted by the PIRAA working group to be disseminated throughout the countries, so as not to duplicate development efforts for these tools.



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During project implementation, the SGCAN thematic coordinator worked closely with the project team which helped clarify any issues. The project team participated in the training sessions at regional and national level offered by BioCAN. The PIRAA project implementation required certain collaboration with especially Corpoamazonia (as sub-node in the system), National Parks (IDEAM) and Instituto Humboldt, which has created new spaces for communication.

In **Peru**, the pilot project was designed entirely by the Amazonian Research Institution (IIAP) with the intention to further develop a portal in the Ministry of Environment (MINAM), which was envisaged to eventually communicate with the PIRAA system through use of the standards and tools agreed upon with BioCAN. IIAP did not participate directly in the regional PIRAA working group but the IIAP team worked closely both with BioCAN staff and the MINAM throughout the whole project period.

In **Ecuador**, at the time of BioCAN, there were several processes on-going to establish national level systems (Ecuador does not have institutes like Instituto Sinchi or IIAP addressing the Amazonian regions). The planning process was coordinated by the technical working Group established with BioCAN assistance to prepare the pilot project, executed by the NGO CONDESAN. The working group was led by the Catholic University (PUCE). The collaboration caused some friction, as there was little interest in solely working at Amazonian level; both the Ministry of Environment (MAE) and the Secretariat for Planning and Development (SENPLADES) were more interested in receiving support to develop a national system. This was reflected in the formulation of the pilot project, which was designed around strengthening the national level biodiversity information system, SIB (hosted by the PUCE). A representative of the MAE decided on the concept of the national system, and negotiated with the BioCAN responsible how to integrate the PIRAA elements. The planning process was considered fruitful at this stage by all parties.

In **Bolivia**, a Working Group consisting of professionals from the Ministry of Environment, Biodiversity Directorate (VMA), and the Regional Development Institute, IDR (located in the Universidad Mayor de San Andrés, UMSA), was set up to guide all development of a PIRAA node, for developing an information system on Amazonian Biodiversity of Bolivia (SIPBAB) to be available in the VMA. The planning process was initially progressing and the pilot project initiated. The technical working group worked with considerable interruptions, however, due to changes in staff and diverging opinions on development priorities. The planning process was therefore very much driven by the consultants contracted to develop the system, who furthermore experienced communication problems and technical issues that were difficult to resolve without an adequate prioritisation by the VMA. Due to VMA staff changes, there were diverging views on the expected end results of the pilot project, which required substantial inputs from the BioCAN staff to iron out. During implementation, there was little guidance by the VMA, and IDR was considered only as a contract handler for the consultants doing the technical work, so there has been little added value as a result of the joint planning exercise. The BioCAN contribution to the process was influenced by the urgency of implementing the PIRAA node and introduction of elements (CASSIA, SpBioCAN) at a time where the VMA was not really in position to make good use of the products.

Outputs and products

The programme and pilot projects together succeeded in delivering various products, tools and methods as part of the overall goal to strengthen information management in the shared Amazonian region:

1. The PIRAA central node and its linked national level decentralised nodes
2. The development of instruments and applications that enable information collection and storage in a standardised manner
3. Applications that enable sharing among the nodes (web services)
4. Documentation and user manual of all developed instruments

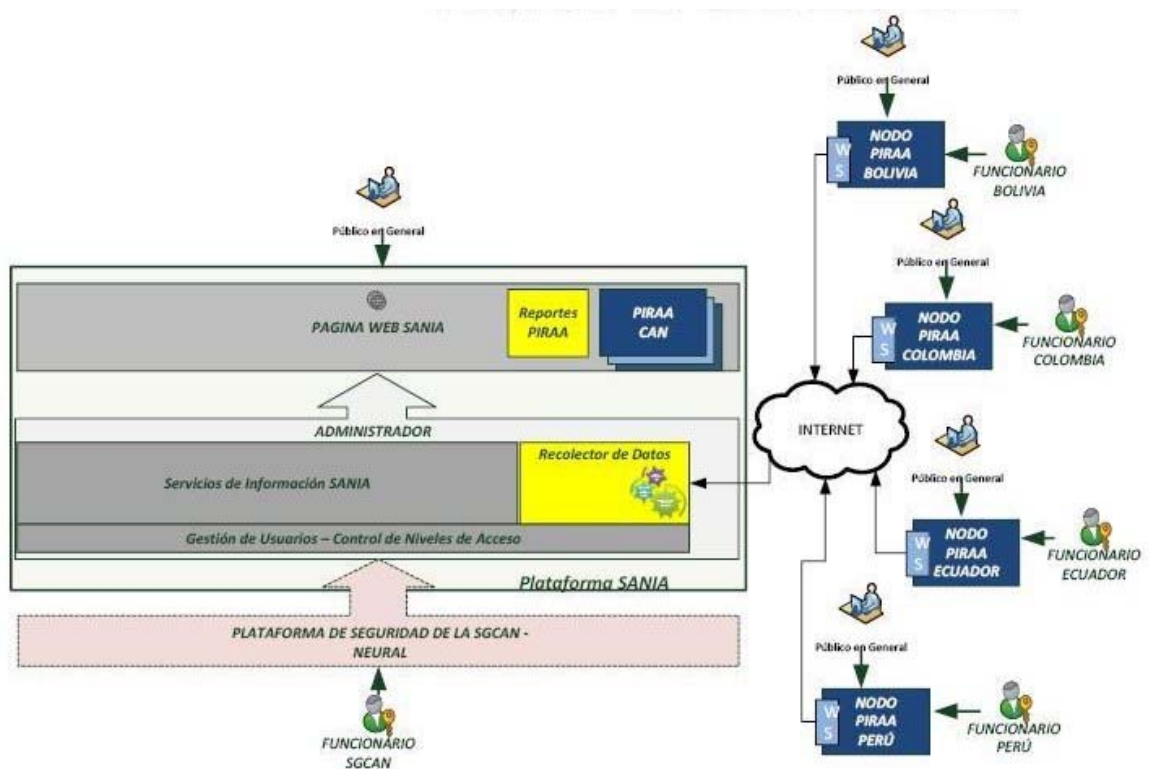


5. Training material related to the use of the hard/software
6. Training materials related to the biodiversity information management
7. Policy guidelines and proposals for biodiversity information management in relation to PIRAA.

The PIRAA system is online at this time as part of the aforementioned SANIA system of the Andean Community. Technically, this system was developed using Microsoft net framework 4 and Microsoft SQL server 2005. It was always left to the national nodes to decide which software to use in their own systems as long as it could “talk” with PIRAA, through the agreed standards and software applications developed and shared among the information providers.

PIRAA is built into the SANIA CMS (content management system) and is not separable, i.e. it cannot be run as standalone. Figure 3.1 shows the structure of the system:

Figure 3.1 Structure of the PIRAA system (E. Bocanegra).





The web services (data collection service) ensures that biodiversity information is collected regularly by use of the tools accessing national level information as agreed (the same computer specialist who developed SANIA also developed the PIRAA module linked into SANIA, as well as the data-collection web service, in Figure 3.1 indicated as Recolector de Datos).

BioCAN made a big contribution to the development of the PIRAA system, which would probably not have been developed otherwise. Specifically, through the set-up of technical working groups and close collaboration with the involved ministries and national coordination units, it was possible to introduce certain standards in information management and also develop and introduce applications working according to these standards to share biodiversity information among the countries:

Table 3.5 Specific BioCAN outputs and products introduced in the four countries

| Applications developed | Description | Developer |
|---|--|------------------------|
| CASSIA | Standardised metadata collection tool | Instituto von Humboldt |
| SpBioCAN | CASSIA sub-application specifically designed to accept data on species using Plinian core standard | BioCAN |
| Organisation directory | Documentation of organisations and individuals working in the Amazon region | BioCAN |
| Directory of biodiversity use | Documentation of organisations, experiences and products in connection with biodiversity use | BioCAN |
| Catalogue of territorial planning experiences | A catalogue of experiences in introducing biodiversity aspects into territorial planning processes | BioCAN |

BioCAN contributed to the operationalizing of the national level systems and strengthening of the capacity of the involved personnel through a regional training workshop, virtual training, videoconferences and general coordination through the national coordination units. 27 persons were trained in the regional workshop in June 2012, which was directed at the thematic and information system leaders, members of the focal points and members of the executing organisations and other partners. These workshops were divided in two sections, one covering information technology and the other biodiversity information management. The regional workshop was followed by two virtual seminars focusing on the use of the standards and tools developed to process and share data.

According to the Final Report, as a result of the targeted training efforts, implementation of the pilot projects, and consultancies, it was possible to upload data into the PIRAA a total of 625 metadata on biodiversity information, 1027 species briefs, about 200 organisations and 315 catalogues and experiences in territorial planning, including some 100 geo-referenced map layers. However, the numbers in these categories presented in the PIRAA today is actually less than those indicated in the Final Report in most cases, and other differences prevail. For example, when accessing the system, and a search on e.g. "experiences in biodiversity use, only Ecuador and Colombia" presents information (which is not updated). Furthermore, listed is only experience categories, i.e. it is not possible to actually download the experiences (a design problem).

When looking at the organisation directory, information provided by e.g. MINAM can be found in the system, but the mentioned links to homepages are not working, e.g. under NGOs, Centro Peruano para la Biodiversidad y Conservación (PCB & C) the web page link is dead: <http://www.pcbc-peru.org>. Similarly, if polling some of the organisations from the Ecuador catalogue, links are not working, and most of this information is not categorised as it should be indicating errors in data entry. The metadata registry list only available as a list, not the data



itself or links to such data. There are no dates in the system which could give an indication of the last update made, nor the date of uploaded information.

The overall finding is that little or no (automatic) updating is taking place in most cases (through the web service tool). This was confirmed by actually checking the web-service links to the national nodes and sub-nodes supposed to provide data for PIRAA. Of the 17 web-service links only 9 are functional (53 %). Notably all MINAM services were functional, while none of the IIAP and Univ. Ricardo Palma services were functional. However, none of the functional web-services are at this time providing data for the PIRAA, i.e. the national nodes are not entering new data. There are many reasons for these deficiencies:

- The PIRAA design document was very ambitious and foresaw a progressive development of increasingly sophisticated components. However, during implementation only a “first round” of minimum elements were included (species briefs, metadata catalogue, catalogue of organisations and specialists) and made functional in the PIRAA. More implementation time would have enabled the programme to reach more of the (design) targets and secure better sustainability.
- The differences in institutional set-ups and the state of development of proprietary systems made convergence of goals related to the regional system very difficult:
 - (i) Colombia had a well-functioning system and effectively their cataloguing systems were adopted by the PIRAA working group to be disseminated throughout the countries, but only national level databases are being updated.
 - (ii) In Bolivia, changing ministers, directors, combined with little priority for an Amazonian system, and the fact that no existing functioning system that the PIRAA elements could be attached to, made sustainability difficult (there is no operable system at this time).
 - (iii) In Ecuador, there were several processes on-going to establish national level systems, but there was little clarity in institutional priorities on biodiversity management nor institutional attachment, and key personnel in the MAE was not retained. Finally, a SIB with PUCE was developed, but information is not interconnected nor available in a portal, but resides partly in the PUCE (species data).
 - (iv) In Peru, with IIAP, proprietary systems very much catered for own demands (Peru was not a member of PIRAA technical group), primarily targeting the scientific community, and focussing on developing an information system platform in MINAM, which is at an advanced state. Resources and priority have been given by the Ministry of Economy and Finance (MEF) to continue developing and advancing information technology. However, at the moment the IIAP databases are not linked, and the MINAM platform is not providing data to PIRAA.
- Training was limited to a very small group of persons from working groups with little representation of ministries (focal points), and persons shift working place and/or were only contracted during project implementation thus jeopardising sustainability (esp. Bolivia).

Almost all involved, from ministries to pilot project implementing organisations stated that BioCAN contributed to strengthening and consolidating the national systems, their own organisations, and that the technical standards introduced have led to more coherent and standardised approach to biodiversity information handling, which in the longer term will provide basis for more compatibility and hopefully better access to aggregated biodiversity information. The standards introduction was relevant as an element of training and events were valuable for sharing experiences in systems development and biodiversity information management.

The construction of the information system had, at least in its strategy, a strong regional approach, and efforts were made to build a truly regional platform. However, it appears that constraints related to the differences mentioned above created considerable obstacles. As a result, the result is rather a platform of 4 independent systems, which would need a longer term effort to become truly integrated and interoperable. On the other hand, the process allowed transfer of knowledge and tools between the countries, and to some extent creation of networks. Processes for the wider uptake and use of the outputs and products, and outcomes achieved



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The BioCAN pilot Project support enabled Instituto Sinchi to consolidate the SIATAC geoportal and increase its contents with additional maps, which are globally available. The maps have been used in contexts different from the project, such as in other Instituto Sinchi investigation projects.

The pilot projects targeting information management, integration and use at lower levels were useful for the implementing organisations in Ecuador. The products developed with BioCAN have been used in other contexts/projects e.g. with GEF/Swiss Development Corporation (for the development of the Socio-environmental Andean Portal) and other smaller donors, but these are not available for the public. The architecture of the web sites using CMS can be used for other systems development.

It is well known that Biodamaz has had a marked influence on Amazonian research including the development of information systems, which has contributed to the advanced state of the present day systems both at IIAP and MINAM, which again has been important to secure resources for further development of information portals. BioCAN has been especially important for promoting the necessity of being able to interchange information among various institutes and organisations, but there is no priority for supporting regional platforms.

The intention to reach vulnerable groups and indigenous people and provide access to information at their level was too ambitious, except where information was used directly e.g. in a planning context. No systems are available that provide easily available biodiversity information at these levels, and no attempts were made by the RCU/SGCAN to pursue this due to the short implementation time.

It is not likely that there will be wider impacts.

3.5.3 Thematic Area Conclusions and Recommendations

The highest contribution of BioCAN under this theme has been the introduction of standards for sharing compatible information amongst a wide range of organisations. Shortcomings were identified especially regarding the short time of BioCAN operation, cumbersome internal financial management procedures and high transaction cost over widely differing country settings.

Time was too short for the PIRAA be fully developed and made operationally sustainable. The differences in the state of systems development and integration in the involved focal points did not cater for a unified approach. If more focus had been put on strengthening the national systems in the institutional and technological setting that was most relevant to them, and these systems had been developed over a longer time period, standardised and agreed formats and display methods would then have had a better chance of being sustained. With time elements of regional importance could have been made available widely.

The PIRAA design document was very good although very ambitious. The structure and contents of PIRAA was decided by a technical working group albeit as a result of a consensus among experts, and validated by the ministries (as a minimum). It was not validated in terms of relevance or usefulness for the target groups (CAN decision makers, national level decision makers, public web-page users and others as defined in the design document), thus the relevance and thereby usefulness of the type of information to be stored and made available was not properly analysed and identified.

In the context of the Decision 792 and the consequential demotion of the SGCAN Environment Area, it must be assumed that CAN has less interest in supporting a systems such as the PIRAA in the future. It would require prioritisation and allocation of resources both at regional and national level to maintain the system (and further develop it) and at the same time a coordinated effort to ensure that the national nodes continue to ensure that information is made available. As a special case, it would also have to be decided how to make information available from Bolivia.



There were no formal agreements with CAN on how to continue the PIRAA after programme termination. If CAN is not interested in continuing support of the PIRAA, it is prudent to seek another host for the system. As PIRAA is a component of SANIA, work is required to make PIRAA work outside of SANIA. It cannot be separated completely, but would have to borrow parts of SANIA. A proposal for such work was prepared for BioCAN at the end of 2013, which stated that 2 months of programming time and approx. USD 12 000 would be required (necessitating also permission by CAN for access to work on the SANIA system).

However, as has already been found out through the joint efforts of the Embassy of Finland and SGCAN, it is not easy to find an adequate partner who would be able to or interested in taking on hosting the PIRAA. For a private institution (e.g. CONDESAN) to take on such a task, there would be concerns over sharing of public information through private networks. While the Humboldt institute has developed some of the tools, and would be a prime candidate, it is actually the Instituto Sinchi institute that deals with Amazonian data in Colombia.

In the BioCAN government agreement with Finland, it is assumed that CAN should take the responsibility of maintaining the system, but CAN has not pronounced a definitive answer on the issue, and effectively there is presently no maintenance nor updating of the PIRAA system and content. Outside of CAN, OTCA remains an interesting candidate to host and further the objectives of the PIRAA, as indeed it is itself in a process of creating a system. It remains however, to be seen what would be the elements that can make interests converge on a system that would cater for the PIRAA interests.

3.6 Thematic Area 5: Territorial Planning

3.6.1 Summary Contribution Assessment

Summary of intent: The aim of this component was to strengthen territorial planning for the sustainable development of the Amazonian region through improved planning processes that integrate sustainable management of biodiversity. Actual work was concentrated on capacity strengthening of involved organisations and staff according to their specific position in territorial planning, generation of methodologies for policy development at regional level, and development of mechanisms for territorial management of Amazonian ecosystems.

The activities under this component were undertaken through implementation of six pilot projects at national level and organisation of events at sub-regional level.

| Quantity of outputs achieved | Quality of outputs achieved | Contribution of outputs to outcomes | Mechanisms and processes used | Contribution of outcomes to impacts | Mechanisms and processes used |
|--|-----------------------------|--|--|--|-------------------------------|
| Medium – Mainly proposals and specific tools | Medium – large variations | Variable – mainly limited uptake of results | BioCAN national level proprietary projects of implementing agencies are in most cases being furthered (except Bolivia) | Low | None detected |
| Summary assessment of efficiency: Medium, given the cumbersome transaction processes | | Summary assessment of effectiveness: Low with some variation – hindered by short implementation time and complex institutional setting and policy context of the countries | | Summary assessment of impact: Implementation time too short for impacts to materialize | |



Key external factors that influenced BioCAN contribution:

Positive: Territorial planning processes were on-going in all countries at the pilot projects were able to be inserted in line with stated national interests.

Negative: The regional perspective was lost as differences in institutional settings, policy environment and complex jurisdictional and legal aspects made it difficult to converge on a common set of guidelines, given the short operational time of BioCAN. Also, the mandate of territorial planning was in most cases with other institutions (Ministry of Planning) than the BioCAN counterpart institutions.

3.6.2 Key Findings

Processes for the joint planning of the projects/activities

Initially a process of identifying projects by the countries at the national level was started, with the aim of defining projects within two groups: 1) policy related and capacity building projects, and 2) pilot projects focusing on territorial planning projects with integration of biodiversity aspects.

The focal points (ministries of environment) in all countries selected an implementing organisation which in close cooperation with the national coordinator and focal point formulated the projects, two of which were in the policy oriented, see Table 3.6.

Table 3.6 BioCAN projects focused on territorial planning

| Country | Implementing organisation | Project name | Contract amount BioCAN (USD) |
|----------|--|--|---|
| Bolivia | La Paz, Mancomunidad de municipios del norte Paceño Tropical | Strengthening of the integral Municipal Development Plan, Apolo | 130,000 <i>Funded from Fondo BioCAN (Comp 5)</i> |
| Bolivia | Central indígena del Pueblo Leco de Apolo and NP Madidi. | Implementation of the joint management plan CIPLA/SERNAP in Madidi Natl. Park | 52,170 |
| Colombia | Instituto Amazónico de Investigaciones Científicas (Instituto Sinchi) | Zoning and proposal for territorial mgmt. in forestry reserve sector Trapecio Sur. | 145,843 |
| Colombia | Instituto Amazónico de Investigaciones Científicas (Instituto Sinchi) | Policy formulation for the biodiversity mgmt. in the Colombian Amazonia. | 78,000 |
| Ecuador | Consortio para el Desarrollo Sostenible de la Ecorregión Andina (CONDESAN) | Strengthening of the environmental governance in the Napo province. | 180,094 |
| Ecuador | Conservación Internacional (CI) | Definition of environmental guidelines for integration in territorial plans. | 79,000 |
| Peru | Instituto de Investigaciones de la Amazonía Peruana (IIAP) | Strengthening of territorial planning in the Peruvian Amazonia. | 169,000 |

All projects, although differing widely in scope, were formulated based on already on-going processes and according to defined needs by the focal points. Except for Bolivia, given the nature of the projects, there was little involvement of target beneficiaries in the formulation of



the projects. Agreements were signed between BioCAN, the focal points and the chosen implementing organisations to implement the pilot projects. BioCAN support for the planning and implementation of these projects consisted in:

- Formulation of guidelines for the follow-up and support during implementation,
- Formulation and implementation of a capacity building plan,
- Interchange of experiences,
- Systematising the experiences in territorial planning,
- Developing guidelines for territorial planning.

In line with the other components of the programme, working groups were set up in each country coordinated by the national coordinators in close collaboration with the focal points. Additionally, the thematic specialist was involved in supporting all phases of planning and implementation of the activities, and had the responsibility of preparing BioCAN reports as required.

During a regional encounter (August 2012, Lima) a guideline for the follow-up and support of territorial planning projects was agreed upon, and action plans were made for the capacity building plan, the process for preparing regional guidelines on territorial planning and coordination mechanisms for the implementer. On this occasion, the technical working groups were set-up, after which a capacity building plan was launched.

In the second regional workshop (November 2012), progress on the agreed activities including the capacity building plan was reviewed, and discussions were held on the first approximations of the guidelines for territorial planning, expected as one of the results of the implementation of the pilot projects. Five themes were considered in this connection, focussing mainly on analysis of the threats and risks to biodiversity, techniques for identifying conservation areas, governance and information management. The project teams participated in the training sessions at regional and national level offered by BioCAN. BioCAN also facilitated the participation of the territorial planning projects in a regional workshop organized by Red Iberoamericana de Observación Territorial (RIDOT) in October 2013 in Colombia.

In **Bolivia**, a path was chosen that differs from the other countries, in that it was decided through negotiations between WCS (implementing organisation) and BioCAN to execute existing on-going planning processes at local level, in which WCS had been involved earlier. A methodological planning proposal including insertion of biodiversity aspects for the Apolo municipality was then prepared and this was used as a process tool in actually preparing the Municipal Development Plan. Linked to this was an articulation of the co-management plan of overlapping areas of the Madidi national park, executed by the CIPLA (local indigenous representative group).

In **Colombia**, studies related to territorial planning are under the mandate of the Instituto Sinchi. According to a Law of 1959, all Colombian territory must be zoned. In 2006, the government took the decision to start zoning the Amazonian region, and the BioCAN pilot project to carry out a zoning exercise in Trapecio Sur of the Amazonian region enabled Instituto Sinchi to move forward with this decision.

In **Ecuador**, there was an explicit interest on part of the MAE to do territorial planning and local level governance studies especially in areas with national parks, which have normally not been subject to zoning, and Napo was chosen because almost 60% is within a national park. A consortium of FAO, GEF and GIZ were already working in the area since many years, and the GEF project has components of governance. The BioCAN project, implemented by CONDESAN, fitted into this context in which the GADs (local autonomous governments) were at the same time revising their local territorial development plans. All work done under this project was decided in an informal working group among the GADs, MAE, GIZ and other actors. The work was done according to agreed process methodologies: design workshops, socialisation, implementation, validations and analysis.

In addition to the local level Napo project, a national-level project was implemented by Conservation International with the intention of preparing guidelines for territorial planning with



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inclusion of biodiversity elements. This project was planned and implemented in technical working groups involving MAE, SENPLADES and other relevant actors in a process that culminated in a validated proposal for territorial planning, to be used as a reference for other such exercises.

In **Peru**, the Amazonian Research Institute IIAP was chosen to implement the project to strengthen territorial planning in the Peruvian Amazon. IIAP has since 2004 – 2008 worked with Ecological and economic zoning (ZEE) at the macro level in San Martín. The BioCAN intervention made it possible for IIAP to communicate legal aspects, zoning methodologies, MINAM guidelines and other instruments to local governments and beneficiaries in the Loreto department, through a series of workshops.

Outputs and products

Various products, tools and methods were produced by the programme and pilot projects as part of the overall goal to strengthen territorial planning for the sustainable development of the Amazonian region, including:

1. Methodological documents for planning and follow up of the pilot projects.
2. A catalogue for storing information on territorial planning experiences (as part of the PIRAA system).
3. Capacity building plan and related training material (included 2 on-line courses to support policy formulation and participatory processes).
4. Policy documents, methodological planning guides, and tools and instruments for supporting planning processes in practice (as part of the pilot project outputs).
5. Policy guideline and proposal for territorial planning, regional level.



The following table shows the type of outputs produced country-wise as part of the territorial planning projects:

Table 3.7 Outputs of the territorial planning projects

| Country | Project name | Outputs |
|----------|---|---|
| Bolivia | Strengthening of the integral Municipal Development Plan, Apolo. | <ol style="list-style-type: none"> 1. Proposal for developing a municipal plan incorporating biodiversity aspects. 2. Communication strategy and zoning proposal. 3. Municipal Development Plan. 4. Popular version of the Plan. |
| Bolivia | Implementation of the joint management plan CIPLA/SERNAP in Madidi Natl. Park. | <ol style="list-style-type: none"> 1. Joint management model for the overlapping areas in the Madidi national park. |
| Colombia | Zoning and proposal for territorial mgmt. in forestry reserve, sector Trapecio Sur. | <ol style="list-style-type: none"> 1. State of the art of territorial planning processes 2. Biophysical, social and cultural characterisation of the Forest Reserve. 3. Environmental zoning proposal for the Trapecio Sur area (with management proposals) |
| Colombia | Policy formulation for the biodiversity mgmt. in the Colombian Amazonia. | <ol style="list-style-type: none"> 1. Evaluation and analysis of instruments available for national and regional planning 2. Integrated diagnosis of the biodiversity conditions for use in policy formulation 3. Policy proposal for biodiversity and ecosystem services in the Colombian Amazon. |
| Ecuador | Strengthening of the environmental governance in the Napo province. | Various diagnostic documents, including forest inventory, monitoring pilot of land cover change, and a methodological proposal with criteria for zoning of the Napo province. |
| Ecuador | Definition of environmental guidelines for integration in territorial plans. | <p>Analytical documents and preliminary environmental guidelines for territorial planning (national level)</p> <p>Ministerial agreement proposal</p> |
| Peru | Strengthening of territorial planning in the Peruvian Amazonia. | Various supporting documents in connection with zoning, inputs for guidelines for policy preparation, completion of the ZEE for Alto Amazonas |

The projects were very different reflecting the differences in the policy frameworks of the four countries. The Bolivian project succeeded in producing a municipal development plan as a result of a participatory process which included the “Plan de Vida” of the Lecos indigenous group, and also incorporated the management plan for the overlapping areas of the Madidi national park. Although both the management plan and the proposals for the municipal plan were already there before BioCAN, the input from BioCAN came at a very opportune moment which made it possible to implement the project with limited resources and relatively little time. This would not have been possible without the BioCAN contribution.

In **Colombia**, according to the law of 1959 and a national policy from 2003, Instituto Sinchi has been carrying out zoning studies since 2009. The principal output of the zoning exercise in Trapecio Sur is a zoning document with maps indicating 3 principal zone types for conservation, forest production and degraded areas with potential for (agro) forestry. In addition to natural resources, the zoning includes social characterisations and community maps and development scenarios. The process involves local communities, regional level governments, municipalities,



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indigenous and other groups during the characterisation phase, but is not a participatory process as such, rather a multi-disciplinary research exercise. The result of the exercise is a ministerial resolution (MADS), presumably to be followed by planners in institutions such as Corpoamazonia and Municipalities. However, this is not an obligation nor is it an instrument to actually change land use, and MADS has no jurisdiction over a number of aspects highlighted in the resolution, such as indigenous rights to land, which are constitutionally determined.

The policy document prepared under the other pilot project has been accepted by MADS as an input to the “National action plan for integrated biodiversity and ecosystem services” which will be implemented through regional action plans, including also the Colombian Amazonia. However, these plans have not been finalised.

In **Ecuador**, the national level project resulted in two specific documents: (i) a proposal for a ministerial agreement for the promotion of environmental guidelines in territorial planning, and (ii) a guideline that shows the theoretical elements and practical steps how to integrate the agreement into the territorial planning and development plans of the local autonomous governments (GADs).

The local level Napo pilot developed a series of tools intended to support the actual implementation of the guidelines for including environmental in territorial planning, including the provision of more scientific information (inventories) for decision makers, environmental criteria, and “mesas temáticas” (fora for participation in local planning).

In **Peru**, the pilot project resulted in a number of targeted inputs to on-going planning processes, one being a contribution to the ZEE (ecological and economic zoning) in Alto Amazonas. This has involved detailing to a larger scale already existing smaller scale zoning characterisations. Also, the project has contributed to the development of “Guidelines for the territorial planning policies”, which has been prepared by the Territorial Planning Department of MINAM, and which was shared in regional workshops with the other countries. On the other hand, the ZEE to which BioCAN contributed is not integrated in the development plans of the municipalities, the reason for this was cited in the interviews as being lack of resources. Some interviewees mentioned that there continues to be conflicts with indigenous groups, and that in some areas the zoning teams were not allowed to do field work. It was also noted that although the ZEE implies involvement of the whole civil society, it does not include a specific approach for dealing with indigenous peoples.

The documents proposed in the first regional BioCAN encounter (Lima 2012), including a report on the state of the territorial planning, were largely not finalised before programme closure, as they depended on the finalisation of various final reports of the pilot projects, which were not available timely enough. This also affected the key output “Guidelines for the territorial planning in the Amazonian region”, which was finalised, but not validated by the ministries nor by the SGCAN. However, the proposal for regional guidelines do contemplate several aspects related to the cross-cutting objectives, such as the importance of harmonizing the interests of human, economic and social development with environmental aspects and biodiversity conservation, and as such is one of the few documents of BioCAN that integrates the concept of the Ecosystem Approach.

It is likely that the implementing organizations in Ecuador and Bolivia were strengthened as a result of participating in BioCAN, while this is not the case in Colombia and Peru. In Ecuador, both CONDESAN and Conservation International highlighted that BioCAN helped them to develop and open a specific working space related to territorial planning with key national level actors e.g. MAE, and the GAD of Napo specifically, and that this has helped them sharpen their expertise in this field. In Bolivia the experience of developing the Municipal Plan was highly appreciated by CIPLA, the Mancomunidad and SERNAP. This increased knowledge and capacity in these organizations and the likelihood for doing such planning in the future.

Because of large differences between the countries regarding land use planning, and the corresponding policies, institutional settings and developments, the formulation of regional



policies or the preparation of regional guidelines was not a priority and as a consequence the efforts under BioCAN did not result in any regional agreements or common guidelines.

All projects have suffered from delays in financial transactions and approval processes by the SGCAN. The short implementation period also affected outcomes negatively.

Processes for the wider uptake and use of the outputs and products and outcomes achieved

The internal political and administrative reality of each country has affected the wider adoption and use of the outputs in this thematic area. In the case of **Ecuador**, this concerns the institutional uncertainty and discontinuity at national level of ministry staff and priorities, which unfortunately means that it is not likely that the ministerial agreement proposal will be adopted. In the case of Napo, even though the local government staff and involved technical team continued after elections, there has not been an adoption and internalisation of the proposed tools. Here, the reason is more lack of human and financial resources required to implement the tools and processes. A case in point is that the forest inventory plots are not being updated at the moment. Also, the SENPLADES guidelines do not cater for bottom-up approaches, so there is little interaction between the levels in territorial planning processes.

However, the results have been positive especially for CI and CONDESAN and have been used in the context of other projects and activities, including:

- Proyecto Bincional (Ecuador, Peru – GEF, Ecoandes), which works in 5 locations with sustainable forestry aspects. The project has a governance component using elements developed during the Napo experience (multi-scale work with governance issues).
- Programa regional bosques Andinos (funded by the Swiss government and implemented by the NGOs Helvetas and CONDESAN), which works in 7 Andean countries, and includes territorial planning in sustainable forest management.
- Cooperation with MAE in the national programme for incentives (payment for conservation of forests, and governance elements).

In **Bolivia**, a bottom-up approach was used to prepare a plan, which is widely accepted by the local actors at all levels, is based on thorough and inclusive socialisation, and which includes all relevant development themes (e.g. the relation with the Madidi national park and indigenous development plans). This gives it high credibility and thus leaves less room for the Municipality to deviate from the plan due to personal or other criteria. While the local actors have not yet succeeded in changing the official planning guidelines, they have been able to locally adjust these to better suit local needs, and the methodology is in practice being implemented in other municipalities in the region. BioCAN support was used by the WCS at the right time to further processes that would otherwise have been difficult to complete.

In the case of **Colombia**, the BioCAN contribution was largely to support the diagnostic phase of a territorial planning process. In terms of the wider uptake and integration of the outputs, it seems a project to support the actual articulation of proposed policies and actual implementation of the zoning results would have been more relevant, which of course would necessitate a much longer time span to be meaningful.

The **Peruvian** experience was not well articulated, the MINAM used BioCAN funds to support on-going processes in different local settings, which are not likely to have major effects in promoting policy changes nor procedural changes in the ZEE model.



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3.6.3 Thematic Area Conclusions and Recommendations

The highest contribution of BioCAN under this theme has been the regional encounters for interchange of experiences. Several documents were not finalised or properly validated before programme closure, such as the “Guidelines for the territorial planning in the Amazonian region”, which was finalised, but not validated by the ministries or by the SGCAN. However, it is the only regional guideline in this area which considers cross-cutting objectives and eco-system approach. It is likely that the implementing organizations in Ecuador and Bolivia were strengthened as a result of participating in BioCAN, while this is not the case in Colombia and Peru.

Because of large differences between the countries regarding land use planning, and the corresponding policies, institutional settings and developments, the formulation of regional policies or the preparation of regional guidelines was not a priority and as a consequence did not result in any regional agreements in this field. All projects have suffered from delays in financial transactions and approval processes by the SGCAN. The internal political and administrative reality of each country has affected the wider adoption and use of the outputs in this thematic area.

Ecuador has had good results during implementation of the project, in preparing guidelines and a ministerial agreement, which could have had a good effect but was cut short due to changes of staff and priorities in the MAE. Bolivia has used a bottom up approach to prepare a Municipal plan, which is widely accepted by the local actors at all levels, and has established a planning process which is being replicated in other municipalities. The Colombian experience has had less incidence in actual territorial planning, Instituto Sinchi documents are voluminous scientific research documents, but it is entirely up to the Corporations and Municipalities to act on the proposals. The Peruvian project is not likely to have had an impact in promoting policy changes or procedural changes in the ZEE model.

3.7 Thematic Area 6: Sustainable use of Biodiversity

3.7.1 Summary of Contribution Assessment

Summary of intent: This thematic area was implemented through the **five** pilot projects of Component 4 (Incentives for the Sustainable Use of Biodiversity), with the objective to improve the technological conditions and management of local economic models based on sustainable use of Amazonian species. All activities were expected to have positive impact on the conservation of Amazonian ecosystems, respect traditional (indigenous) knowledge, promote fair distribution of benefits (as a cross-cutting theme), and to strengthen associative capacities of producers.

In addition to the pilot projects, **six** projects funded through the financing mechanism of Fondo BioCAN (Component 5) and implemented by national or local NGOs, have contributed to more sustainable use of biodiversity, for which also they will be assessed in this chapter.



| Quantity of outputs achieved | Quality of outputs achieved | Contribution of outputs to outcomes | Mechanisms and processes used | Contribution of outcomes to impacts | Mechanisms and processes used |
|--|--|--|------------------------------------|--|---|
| High – All projects supported value chains and included resource management plans; some also communications and PR materials related to product commercialisation | High – Outputs are considered to be relevant and of high quality by actual and potential users. | Medium to high - The scaling up the outputs has been mainly horizontal, and many outputs are used as references in other communities, new value chains or by other organisations. | Varies depending on project | Varies depending on project. The sustainable use of biodiversity projects were part of a wider programme or a longer continuum, thus it is more probable for them to achieve broader impact and sustainability. | Catalyse a short-term intervention in a longer continuum of intervention and support. |
| Summary assessment of efficiency: High in spite of the short implementation time and complicated administrative procedures that delayed e.g. payments. | | Summary assessment of effectiveness: Variable - Depends on project. (For details see below.) | | Summary assessment of impact: Variable - Envisaged impact depends on the project. In some cases, impact is unlikely and there is high dependency on the partner or implementing organisation. | |

The projects assessed in this chapter and that contributed to more sustainable use of biodiversity are listed below:

Table 3.8 Projects focused on sustainable use of biodiversity

| Country and organisation | Name of the project | BioCAN funding (contracts as per audit report) |
|---|--|--|
| | | Organisation's contribution (Cash or in-kind) - <i>not verified</i> |
| Bolivia | Sustainable use of wild caiman yacaré in indigenous territories. Component 4 (Pilot project) | USD 130 396 |
| Instituto de Desarrollo Regional - UMSA | | EUR 12 585 |
| Bolivia | Sustainable use of wild cocoa forests in Baures Component 4 (Pilot project) | <i>Cancelled due to time constraints as no decision on the implementation organization was taken timely.</i> |
| Colombia | Sustainable management and use of three fruit species (camu, azai and copoazú) in the Amazon. Component 4 (Pilot project) | EUR 144 999 |
| Instituto Sinchi | | EUR 71 736 |
| Ecuador | Cosmetics value chain strengthening in Morona Santiago. Component 4 (Pilot project) | USD 149 779 |
| CORPEI | | EUR 49 500 |
| Fundación Chankuap | | |
| Ecuador | Fish farming with native species in the indigenous communities of | EUR 56 600 |
| Fundación Centro Lianas | | EUR 8 060 (EUR 735 in-kind) |



| Country and organisation | Name of the project | BioCAN funding (contracts as per audit report) |
|---|--|---|
| | | Organisation's contribution (Cash or in-kind) - <i>not verified</i> |
| | the Ecuadorian Amazon. (Fondo BioCAN) | |
| Ecuador | Conserving natural and cultural diversity through ecotourism development in Achuar territory. (Fondo BioCAN) | EUR 59 929 |
| Fundación Pachamama | | EUR 30 426 |
| <i>This project was not included in the Final Evaluation, as the Foundation was closed in 2013.</i> | | |
| Ecuador | Sustainable forest management in Cordillera del Condor. (Fondo BioCAN) | EUR 57 609 |
| Asociación Artesanal Agroforestal Kanus (ASOKANUS) | | EUR 15 421 |
| Ecuador | Alternative management and use of wild species in the Waorani territory. (Fondo BioCAN) | EUR 59 971 |
| Unión Internacional para la Conservación de la Naturaleza UICN – TRAFFIC | | EUR 11 797 |
| Asociación de Mujeres Waorani de la Amazonía Ecuatoriana (AMWAE) | | |
| Peru | Camu value chain development and equal distribution of benefits in Loreto. Component 4 (Pilot project) | USD 91 262 |
| ProNaturaleza | | EUR 7 023 |
| Peru | Sustainable management of paiche (arapaima) fish with native communities in Ucayali and Loreto. Component 4 (Pilot project) | USD 96 500 |
| Instituto de Investigaciones de la Amazonía Peruana (IIAP) | | EUR 7 500 |
| Peru | Recovering knowledge, systematization and promotion of good practices in medicinal plants in Awajún and Quechuas Lamistas communities in San Martín. (Fondo BioCAN) | EUR 52 400 |
| Centro de Rehabilitación de Toxicómanos y de Investigación de Medicinas Tradicionales (TAKIWASI) | | EUR 6 000 |
| Asociación Cultural Pirámide | | |
| Peru | Transformation of aguaje palm oil in Loreto. (Fondo BioCAN) | EUR 49 378 |
| Latitud Sur | | EUR 8 423 |
| ProNaturaleza | | |



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Key external factors that influenced BioCAN contribution:

Positive: The external factors that contributed positively to the achievement of results in the sustainable use of biodiversity projects were the ownership of the projects by the implementing organisations; strong government (Minister of Environment) back up to the initiatives (in the case of the pilot projects); and increasing interest and demand of the general public in Amazonian products, offering a potential market to the products. In the medium and long run, the ongoing processes will benefit from government engagement and availability of public funding to the community-based organisations as well as further development of the value chains. A good example of this is the case of APPROCANT organisation and its camu production in Loreto (Peru): After one year of BioCAN support, the project was taken over by the Government-led Employment Fund (Fondo Empleo), which has been supporting the organisation's commercial development until February 2015, with very positive results.

Negative: The key external factors that could hinder BioCAN contribution, as well as the future sustainability and impact of the activities, were identified as follows:

Provision of raw materials: Some projects (UMSA, Instituto Sinchi, IIAP, CORPEI-Fundación Chankuap, ProNaturaleza) elaborated a resource management plan or best practices handbook to comply with governmental regulations, and to ensure sustainable production of the Amazonian species. This builds to improved techniques and sustainability of the resource over time. However, especially in those chains where product transformation is dependent on external components, the provision of raw materials may be overly costly and complicated. This is the case e.g. for Amazonian cosmetics production in Ecuador (CORPEI - Fundación Chankuap) and Peru (Latitud Sur - ProNaturaleza), where both projects have encountered problems in importing necessary chemicals from France and Italy. In the case of Latitud Sur, the provision of raw material (aguaje palm) became even more precarious during project implementation, when some community-level producer organisations chose not to provide aguaje to the transformation plant due to internal conflicts in the village.

Market access: In all biodiversity projects assessed by the Evaluation Team, this is the most critical bottleneck for the sustainability and impact of the supported initiatives. First, the production is based on Amazonian species that are usually found very far away from any local, national and international markets, making it complicated and costly to reach those spaces. Second, the market demand has to be created, because even if the species (e.g. camu camu in Iquitos and copoazú in Leticia) are well known by the local people, the demand has suffered drastically over the last decades. Third, the implementing organisations do not necessarily have the commercial thinking nor expertise to support the development of profit-based value chains. This is even more critical when the implementing organisations are research institutions (UMSA, IIAP and Instituto Sinchi), or based on altruistic philanthropy (Fundación Chankuap' and Latitud Sur).

Unpredictable patterns resulting from climate change: Most of the biodiversity projects build on wild species in remote areas of the Amazonian region, making them dependant on the access to the resource by river or foot trail. The changing rain patterns may hinder the production and risk the whole production chain. APPROCCANT, with the help of ProNaturaleza in Iquitos, has solved the problem (already experienced with heavy rains in 2013) by diversifying the production from camu camu to other species (huasaí and cocona). However, not one organisation interviewed for this evaluation had commanded a specific study to forecast the effects of climate change on their production.



3.7.2 Key Findings

Processes for the joint planning of the project/activities

In the case of the five **pilot projects** supported under Component 4, both the scope of the projects and the implementing organisations were decided by the Ministry of Environment of each country. The idea of the pilot projects, described in the BioCAN Programme Document as the "implementation of good environmental, social and business management practices that contribute to sustainable development", was to support local-level value chain development where BioCAN would contribute to improved resource management of a vulnerable species. In addition to this, according to the Programme Document, these projects should have led to the development of *regional guidelines for the sustainable management and use of these species*. Due to the limited implementation time and the abrupt closing of the Programme, BioCAN only supported the pilot projects, but did not have enough time to elaborate any of the originally proposed guidelines.

The specific criteria to select the pilot projects were the following: i) An already ongoing initiative; ii) Based on the use of Amazonian species, with priority on wild (and not planted) species; iii) Enabling equal distribution of benefits from the commercialisation of the products; iv) Building networks and alliances for production and commercialisation; and v) Technological innovation based on local knowledge.

In practice, the Ministries of Environment decided the implementing organisation and delegated them the formulation and implementation of the pilots. In the case of Colombia and Peru, the Ministries decided to rely, respectively, on Instituto Sinchi and IIAP, both government-linked research institutes specialised in the Amazonian region. In Bolivia, the Ministry chose to work with the Regional Development Institute of the Universidad Mayor de San Andrés, and in Ecuador with the export-promoting *Corporación de Promoción de Exportaciones del Ecuador*, CORPEI, which was already implementing a large biocommerce programme funded by the Development Bank of Latin America (CAF) and GEF.

In all five pilot cases (Component 4), the implementing organisations directed the BioCAN support to projects that were part of their broader programmes or long-term interventions. The design of the projects was carried out by a specialist in the implementing organisation, based on his or her previous involvement with the proposed activities and/or communities. The role of the beneficiaries in the design and formulation of the project was only marginal, usually limited to receive information about the project after it had been accepted for BioCAN funding (the so-called "*socialización del proyecto con las comunidades*"). Even if all projects were (partly) implemented in indigenous areas and they were built on the good practices by the native peoples, the project proposals and reports (with the exception of the Takiwasi-Asociación Pirámide medicinal plants project in Peru) do not reflect a deeper use nor conceptualisation of traditional knowledge. This is not solely because of the implementing organisations' project approach, but also because of the generalised templates and models driven by result-based project management.

The monitoring of the five project pilots fell under the responsibilities of the BioCAN thematic specialist on sustainable use of biodiversity, who held monthly teleconferences with each of the organisations to track implementation and flag any problems that needed special support. In addition, the organisations were requested to send to SGCAN a monthly activity report. The unpublished Component 4 systematization report states that the professionalism of the implementing organisations, as well as the facilitating and constructive support received from the Ministries of Environment, were pivotal to achieve the proposed results in such short time. The BioCAN thematic specialist visited twice the pilot projects in Colombia, Ecuador and Peru, and once the caiman project in Bolivia. However, in Bolivia she was not able to travel to the actual project site.

The Fondo BioCAN projects were administered and monitored in SGCAN by the International Socio-Environmental Advisor who reviewed the technical reports and carried out regular monitoring mainly via phone calls from Lima. In March 2013, she visited ASOKANUS, UICN-



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Traffic, ALER, and Pachamama projects in Ecuador, and in May 2013, she travelled for a monitoring visit to Bolivia (CIPLA project). SGCAN travel restrictions were considered as a severe obstacle to carry out proper monitoring and implementation support activities. Given the lack of a programme-wide M&E system, the Socio-Environmental Advisor, as others, maintained her own informal progress log.

Unfortunately, and despite of strong similarities between the sustainable use of biodiversity projects supported under Components 4 and 5, no real synergies were achieved. The Evaluation Team found out that the only event that enabled the implementing organisations and their representatives to exchange information about the ongoing projects was organised by BioCAN in October 2012 in Quito. On this occasion, the organisations were asked to present their experiences, and the work was further continued in thematic working groups. As SGCAN did not offer any support or platform to continued exchanges, these were left for the organisations. In the case of the organisations working on biodiversity issues, the Quito event motivated initial scouting for possible cooperation between Instituto Sinchi (Colombia) and Fundación Chankuap' (Ecuador), on the transformation of cosmetics. However, this was not continued. Moreover, and mainly due to changes within the organisations and at community level, many participants to this evaluation workshop's expressed their gratitude for what they considered as the first opportunity to "know what the other organisations were doing". Undoubtedly, a more systematic approach to collaboration between the eleven biodiversity projects, encouraged from SGCAN, could have contributed to formal and informal support mechanisms emerging among similar organisations and projects.

In principle, the **BioCAN cross-cutting themes** should have been included in the selection criteria for both Component 4 and Fondo BioCAN projects (as well as all other BioCAN projects and activities), and monitored throughout project implementation. However, even if the pilot projects looked strongly into the equal distribution of benefits, commissioning a specific consultancy and elaborating recommendations to the organisations, according to interviews these were not really understood by the actors and thus not implemented by them. In the case of the Fondo BioCAN projects, those projects that proposed active and independent participation of women and of indigenous organisations scored higher during the selection process. The projects were also requested to report on the progress made in the cross-cutting themes, for which there is more information available in Component 5 projects than in the other ones. A more detailed assessment of the cross-cutting themes can be found in Chapter 4 of this report.

Outputs and products

The main outputs produced by the implementing organisations, were:

- **13 improved value chains:** Caiman (Bolivia); camu camu (Peru and Colombia); asaí (Colombia); Amazonian cocoa or copoazú (Colombia); aguaje palm (Ecuador); *ungurahua* palm (Ecuador), *sangre de drago* tree (Ecuador); *guayusa* tree (Ecuador); Amazonian cinnamon or *ishpink* (Ecuador); cocoa "fino de aroma" (Ecuador); *chambira* palm (Ecuador); and ecotourism (Ecuador).
- As for the products, the following list gives examples of the outputs that were produced under BioCAN supported sustainable use of biodiversity projects:



| Project | Output/ product | Country |
|-----------------------|--|----------|
| Caiman | 2 management plans; 1 guideline for best practices | Bolivia |
| Fruit value chains | 2 management plans; marmalade transformation from camu; 1 technical report on the implementation of a management plan | Colombia |
| Cosmetics | 3 guidelines for best practices; 8 management plans; furthering of organic certificate (pending); | Ecuador |
| Camu | 2 management plans; 1 organic certification; 1 commercial plan; 1 organisational strategy plan | Perú |
| Paiche fish | 1 fish management programme (not in use); a plant with 3 laboratories for raising fry | Perú |
| Cocoa "fino de aroma" | 1 cocoa transformation model ready: chocolate bars on sale | Ecuador |
| Chambira palm | 1 Wildfare standard achieved; New Waorani handicrafts and small shops established in Ecuador; 1 management plan and 1 comic on sustainable use of chambira; 6 greenhouses/ drying plants for cocoa; 3 forest nurseries | Ecuador |
| Ecotourism | 3 GIS maps with georeferenced spaces for community use, tourism and conservation; 1 electricity plant; Artesanías Achuar publication, DVD about ancient Achuar practices, 1 internet page (www.tiinkias.com) | Ecuador |
| Agroforestry | Improved carpentry workshop, with new machinery; contract with buyer based in Quito; reforestation with 3000 seike trees | Ecuador |
| Medicinal plants | 4 business ideas that will be furthered with Takiwasi support: 1 <i>guayusa</i> tea, two medicinal plant extracts and 1 product to help teething; audiovisual and PR material | Peru |
| Aguaje palm | Improved transformation plant with new machinery, first batches of aguaje oil transformed | Peru |
| Fish farming | 82 new fish tanks with 103.000 <i>cachama</i> fry; 40 community-based fish farming instructors trained | Ecuador |

- Use of manuals and guidelines:** According to interviews, these manuals are not used by the communities that participated in the BioCAN projects. Nevertheless, e.g. in the case of the caiman manual, infograph and posters, these are being used by the hunters' organisations (CBOs) as didactic material for newcomers who want to learn how to hunt caimans. Also in the case of the Tarapacá-based ASMUCOTAR (Colombia), the women producers use the camu manuals to teach the younger ones in sustainable management of the fruit.
- Use of local-level resource management plans:** According to interviews, these local-level resource management plans are not used by the communities who, nevertheless, were pivotal in the making of them by providing knowledge and information about the species and their use. The plans are now used in other communities as models: E.g. in Colombia, the Instituto Sinchi has distributed the camu management plan originally formulated for Tarapacá, to neighbouring communities, where it is used as a reference to guide the elaboration of similar plans requested by the government.
- Six audiovisual products:** Two DVDs about Achuar handicrafts (Fundación Pachamama, Ecuador); a DVD on fish farming in indigenous communities in the Ecuadorian Amazon (Fundación Centro Lianas, Ecuador); a short documentary on aguaje oil extraction (Latitud Sur, Peru); a DVD on Amazonian knowledge on medical plants (Takiwasi, Peru), and a CD on healing chants (Takiwasi). The Evaluation Team was not able to verify the use of the products in Ecuador (Fundación Pachamama was closed as indicated earlier), but in the case of Takiwasi, the organisation continues to use them for promotional and fundraising purposes. They can be also accessed through the Takiwasi web site.



Processes for the wider uptake and use of the outputs and products

The processes for the wider uptake and use of the outputs and products depend heavily on the implementing organisation which, more so than the local CBOs, have access to broader networks. The BioCAN regional event in Quito (October 2012) contributed to information sharing amongst the organisations, but changes within them have affected dissemination. There was no evidence that wider uptake and use of the BioCAN outputs and products had been pushed systematically or through strategic partnerships. However, the Evaluation Team found out that:

- At least Instituto Sinchi and ProNaturaleza have disseminated the resource management plans that are being used by other organisations and communities as models. These documents are also used as PR and communications materials for the organisations themselves, especially in research gatherings, to promote their technical expertise and assistance on the subject.
- In Bolivia, the promotion of the caiman manual and related materials has been *ad hoc*. The products have not been systematically disseminated nor used by the UMSA University. The Evaluation Team could not access information on whether the products have fed into the National Caiman Programme, or if they are used elsewhere.

Outcomes

The outcomes resulting from the project activities and outputs can be summarised as follows:

- In the case of camu in Peru, the organization (APPROCCANT) states that with the BioCAN project the local people have recovered the previously abandoned parcels, and doubled production: In 2013, one hectare of camu would produce 229 kg of fruit, but now it produces an average of 500 kg, with the best parcels producing up to 3000 kg/ ha.
- In all cases, the interviewed organisations (both implementing and the CBOs) have mentioned that their organisation was strengthened by the implementation of the BioCAN project. In most cases, BioCAN can be attributed only a small part in a longer continuum of organisational strengthening. In one case (the afore-mentioned camu camu producers' organisation APPROCCANT in Peru), the supporting organisation ProNaturaleza stated that APPROCCANT would not have survived without BioCAN's support at the right moment - and the subsequent support from Fondo Empleo. It is therefore fair to say that BioCAN has contributed to strengthened civil society and Amazonian CBOs in all four countries.
- At the level of the implementing organisations, collaboration with BioCAN has helped the organisations to get more visibility and broaden their networks. E.g. in the case of ProNaturaleza in Peru, the organisation is now known not only for supporting fish projects in the Amazon, but also other value chains. Thanks to BioCAN support and the work with APPROCCANT, ProNaturaleza claims to have been accepted for USAID-ICAA funded programme in organisational strengthening.
- In several cases, collaboration with BioCAN has led the organisations to leverage fresh funds. This is the case e.g. of the Takiwasi-Asociación Pirámide partnership which was able to attract funding from the Special Central Huallaga Project (financed by the Peruvian government) to install a garden of medicinal plants for the indigenous farmers and healers in Chazuta. Cooperation with the Central Huallaga Project is foreseen to bring opportunities for further collaboration with the Peruvian Ministry of Agriculture. As for Latitud Sur, the organisation has been able to attract minimal donations from the French NGO Nouvelle Planete (USD 20 000 for capacity-building and monitoring), La Guilde (EUR 8 000) and Mx Nature (EUR 12 000).
- The Evaluation Team found no evidence that new regional cooperation mechanisms would have emerged thanks to BioCAN.
- In the case of the *paiche* fish project, the Peruvian Amazon research center IIAP was in charge of the pilot project, whose objective was to collect eggs of this big and highly-valued fish, raise the fry, and commercialise them to local fish breeders, both to ensure sustainability of the resource and to offer new income sources to the local indigenous peoples. Project implementation with fishers in the nature reserves of Pacaya-Samiria and



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Imiría in Peru was successful: The fishers were trained in monitoring of the paiche fish, collecting the eggs, and raising them to fry in a specific plant built for this. 476 fry were reintroduced to the nature, and close to 3000 were sold to paiche raisers. However, according to the project participants who were interviewed during the provincial workshop in Iquitos, the fishers have not continued the activity and the plant is not in use. This is because the fishers have not received the permission from "Pesquería" (Dirección General de Asuntos Ambientales de Pesquería - Ministry for Production) required to collect new eggs for fish raising in the nature reserves. Currently, the fishers would be interested to continue with the commercialisation of paiche fry, but they will need continued support from other organisations to consolidate the activity. Meanwhile, their income comes mainly from tortoise reproduction and commercialisation, fishing and use of Amazonian plants.

The Evaluation Team had asked for access to the financial and cost calculations of the organisations, to be able to carry out a light financial feasibility study of the productive activities. Unfortunately this was not possible mainly due to time constraints and not having the possibility to familiarise with the financial figures *in situ*. (Especially in the CBOs, only the treasurer tends to have access to the accountability books.) In the case of CORPEI-Fundación Chankuap' (Ecuador), the organisation claims to have increased its cosmetics sales fivefold, from approx. USD 4 300 per month to USD 22 389, compared to the time before the BioCAN project, mainly due to improved quality, branding and commercialisation channels of the products. The organisation is now near to receiving an international organic certification, which could potentially boost its sales further. However, the production relies heavily on provision of raw material from far-away Amazonian regions (accessible only by small planes), and importing chemical components from Europe, hence many risks for upscaling transformation remain.

Serious doubts persist on the real financial feasibility of e.g. the aguaje oil transformation in Peru, camu and asaí production in Colombia, and the carpentry and Achuar ecotourism initiative in Ecuador. All of these organisations and projects will certainly need a financial feasibility analysis and continued support for several years by business-oriented partners. Another point of weakness that will require strong support are the organisations (mainly CBOs) themselves, with need to build capacities and well-informed leadership.

Impacts

There is credible evidence that BioCAN effectively contributed to boost some of the biodiversity projects it funded, and that there is sustainability that will bring along impact. However, this is more due to BioCAN having supported already ongoing processes and wider programmes that have been taken forward by the implementing organisations and other financiers after BioCAN's closure. Some examples of positive developments that could result to impact in the long run include:

- In Ecuador, the IUCN-TRAFFIC project with Waorani communities, and especially with Waorani women, focused on improving food security within the families and constructing alternative income-generating activities for the villagers. Before, a significant part of the families' income came from (illegally) selling wild game. The joint effort of TRAFFIC, Waorani Women's Association of Ecuador (AMWAE), Ministry of Environment, Ministry of National Defence and National Police (started before BioCAN but consolidated with BioCAN support), has contributed to eliminating the illegal commercialisation of wild Amazon game in Ecuador's largest (illegal) game market, Pompeya. Even though illegal commercialisation still persists in the country, the so-called "Modelo Pompeya" is known and has furthered awareness about the problems of wild game trafficking. This, together with alternative sources of income, will pave the way for long-term sustainability of Amazonian fauna in Ecuador.
- In San Martín (Peru), the Takiwasi-Asociación Pirámide project on medicinal plants has been successful in advocating that traditional medical practices, previously neglected, be included as part of government policy. In this work, Takiwasi has used the communications and advocacy material it published with BioCAN support. Now, the San Martín regional government has included traditional medicine (with its use of medicinal plants) as a strategic



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objective within its Social Development Department (Gerencia de Desarrollo Social), enabling resource allocation and further development of this sector with public funding. This official recognition is a major accomplishment that may have a significant effect also on public policies in other regions. Also, it has meant an important acknowledgement to indigenous peoples, especially women, who now feel that their experience and wisdom is valued.

- The multiple management plans and guidelines for best practices of resource use in the Amazon, produced under this theme, will presumably be replicated in other territories of the same region. We can then reasonably speculate that these products will bring along more sustainable management practices and more efficient use of resources, contributing to improved well-being in the Amazon region.

3.7.3 Thematic Area Conclusions and Recommendations

For all eleven sustainable biodiversity projects, BioCAN came *to support ongoing processes* of organisational strengthening and value chain development. This was a crucial decision that enabled BioCAN to act as catalyser for the processes, contributing with a one-shot push that, depending on the project, may have been pivotal to induce new developments.

The two most important **shortcomings** identified by the Evaluation Team and related to these projects are the following: i) The very **short implementation period** (between 12 and 18 months), aggravated by lagging SGCAN financial administration, that in some projects hindered the reach for more beneficiaries, quality of activities, and organisational strengthening processes; and ii) Issues related to **economic viability of the proposed value chains**: In some cases (e.g. cosmetics production in Ecuador and Peru), the NGO model seems to be perpetrating economic dependency of the communities on the NGOs and external support, as well as increasing the risks of the communities when changing previous economic activities for those promoted by the NGOs. In this sense, the projects would have benefited from real business mentoring e.g. by the local Chambers of Commerce or independent entrepreneurs; this could have been facilitated by BioCAN as a support activity.

Were the MFA to support local initiatives in commercial use of biodiversity, based on the BioCAN experience the Evaluation suggests the following recommendations: i) Build on ongoing or larger processes, especially if time for project execution is short; ii) Liaise and seek mentoring from real-life business *connoisseurs* to analyse the strengths and weaknesses of every link of the chain, and to address them timely and adequately; iii) Do not depend on one resource or produce/ product; and iv) Especially in the case of communities or CBOs: Do not persuade the communities abandon their previous livelihoods activities before the new one is economically sustainable.



4. BIOCAN CROSS-CUTTING THEMES

In its design BioCAN Programme defined six cross-cutting issues that were considered to be relevant in the Andean-Amazonian region and the Programme context. In the context of BioCAN, it was also agreed that these six issues sufficiently covered the cross-cutting issues important to Finland. These issues were:

- Ecosystem approach
- Regionality
- Interculturality
- Complementarity
- Distribution of benefits; and
- Gender Equity.

Despite of being considered as relevant and important by the CAN countries during programme formulation, in general the cross-cutting issues were not mainstreamed in the programme and project documents nor activities. There was no specific budget allocation for promoting the cross-cutting issues, nor were there clear road maps regarding priorities. In principle, advancing cross-cutting issues was included as one task in the Terms of Reference of the International Socio-Environmental Advisor but in practice, her duties changed and she was not able to carry out this task. Would the cross-cutting themes been taken seriously by SGCAN and Programme Management, mainstreaming them would logically have been the responsibility of all BioCAN staff, and each and every one would have been held accountable for their implementation. However, without clear roles and responsibilities nor methodological guidance, the application and monitoring of the cross-cutting themes fell through the cracks. In this situation, the high number of the cross-cutting themes hardly helped; thus it would have been better to choose only two or three, and really focus on them.

In spite of not having a systematic approach nor leadership in promoting the cross-cutting issues, important progress was achieved regarding many of them as most of them were somehow embedded in the programme design. The **ecosystem approach** was integrated in the proposal for "Guidelines for the territorial planning in the Amazonian region" and in the wildlife management work lead by WCS, as well as in the Our Amazonia communications campaign material and in the resource management plans elaborated under Component 4. Seven out of eight projects funded from Fondo BioCAN, were based, in their conception, on harmonizing the interests of human, economic and social development with environmental aspects and biodiversity conservation, building towards an ecosystem approach. In the projects implemented by CIPLA (Co-management of nature reserve and indigenous territories project in Bolivia), Fundación Pachamama (Ecotourism in Achuar territory in Ecuador), and Centro Lianas (Fish farming in Ecuador), the ecosystem approach was integrated both in the proposals and in project implementation.

Regionality could have been more pronounced in all programme activities, especially if the programme had been able to build on synergies between the components, and overcome country-specific activities. However, as this Final Evaluation suggests, with time the regional umbrella became too weak, and the country contexts were too diverse, to really achieve regional results, outcomes, and impact. Regionality can be assessed as having been at the core of BioCAN, but mainly due to external political developments, this was not achieved to the extent planned.

Interculturality was not mainstreamed in BioCAN, and in general, the BioCAN programme and project documents do not reflect different cultural expressions nor cosmovisions (as is the term e.g. used in Bolivia). Using top-down approaches (e.g. in territorial planning) and privileging research centres as implementing organisations also affected the possibility to integrate different cultural aspects into the proposals, as the management styles in these organisations rarely take into account others views than those coming from the official "western" academy. This said, more than twenty Amazonian indigenous groups participated in the different BioCAN projects, and all eleven sustainable use of biodiversity projects had indigenous organisations as



direct beneficiaries. Three of the Fondo BioCAN projects can be assessed as having really contributed to enhanced interculturality: One was the Takiwasi-Asociación Pirámide project based on recovering traditional indigenous knowledge about medicinal plants and practice in the Awajún and Quechua Lamistas communities in San Martín, Peru; the second one was the Fundación Pachamama ecotourism project, including cultural asset-mapping, in the Wankanim Reserve in Ecuador, and the third one was the cultural communication project ALER implemented with mainly indigenous communicators in the Andean and Amazonian community radios. All other projects linked to the sustainable use of biodiversity (Components 4 and 5) utilized traditional/indigenous knowledge in the making of the multiple management plans and guidelines on resource use. Lastly, the SGCAN Genetic Resources Committee work and the revision of Decision 391 regarding the Nagoya Protocol reflect the desire to include and protect indigenous knowledge in genetic resources. However, these examples cannot be considered as having been based on intercultural proposals *per se*.

Complementarity was, in practice, affected by the same contextual problems as regionality. In principle, all BioCAN activities should have been complementary with each other, and BioCAN as programme should have built collaboration with similar regional or subregional initiatives on biodiversity. However, in practice, lack of synergy has been pointed out e.g. between the territorial planning initiatives. Short implementation phase, complex management and dependency on rigid SGCAN hierarchy undeniably hindered full mainstreaming of this cross-cutting theme. Yet complementarity was at the heart of those (many) programme activities that came to catalyse ongoing processes, and so complementarity can be assessed as one of the cross-cutting themes where most success was achieved.

Distribution of benefits was the most systematically driven cross-cutting theme, but almost only within Component 4 (two Fondo BioCAN projects benefited from training in the distribution of benefits). In addition the principle of equal distribution of benefits was present in the Genetic Resources Committee's work. Having been identified as central for the commercial-linked pilot projects, BioCAN hired an external consultant to analyse and elaborate a baseline and recommendations to ensure fair distribution of benefits among all stakeholders. In addition, BioCAN organised two thematic workshops (in July and November 2012), to which each project sent two representatives. At least in some cases (e.g. Instituto Sinchi in Colombia), the consultant also visited the project sites, to work together with the organisation. Despite the strong and visible effort in this cross-cutting theme, doubts remain on how effective it was, how many of the recommendations have been put into practice by the organisations, and if it really has benefited the project participants and beneficiaries. Based on evaluation interviews, it seems that the majority of the project beneficiaries did not participate nor are they familiar with the concept, baseline and recommendations for fair and equal distribution of benefits; this is probably the result of internal turnover in the organisations, as well as gaps in internal communication. From a practical point of view, the most significant outputs of this effort have been the cost calculations and the identification of the most critical stakeholders along the value chain. Still, a lot remains to be done to ensure real financial feasibility of the projects and fair distribution of benefits.

Finally, **Gender Equity** was most systematically pushed within the Fondo BioCAN projects, where a gender-sensitive approach was rewarded during the selection process. Particular effort was put to identify and monitor balanced participation of both sexes in project activities; and in two projects (IUCN-TRAFFIC project with Waorani women in Ecuador, and Component 4 fruit value chain with Instituto Sinchi) just about all project participants were female. Not one project assessed during the Final Evaluation had included affirmative actions (e.g. community-based canteens or childcare during capacity-building workshops) to ensure equal opportunity to participate for working mothers. In Our Amazonia campaign, gender equity was relatively ignored.

An overview of all cross-cutting themes can be found as Annex 9 of this report.



5. PROGRAMME LEVEL CONCLUSIONS AND RECOMMENDATIONS

5.1 Conclusions

Relevance

The BioCAN Programme was relevant in the context of CAN Regional Biodiversity Strategy (Decision 523), the Andean Environmental Agenda 2006 – 2010, and 2012 – 2016. However, after the CAN Decision 792 on re-engineering, resulting in the dissolution of the Environmental Area and environment related CAN Committees, its relevance to CAN as a regional political body became questionable. The programme was well aligned with the Biodiversity Strategies and Environmental Policies of the four CAN member countries, and there was no major change in this respect during the Implementation Phase.

Within the thematic structure CAN countries were to a large extent able to tailor the pilot and fund projects to their national and local priorities hence increasing their relevance also in the national context. Also, the local-level projects were to a large extent relevant to the beneficiaries.

Impact

Due to the overly ambitious overall objective, discontinuities between the Installation and Implementation phases, the short effective duration of the Implementation Phase, and the complex, slow and bureaucratic management structure of the programme, little impact was achieved during the implementation phase. However, as many of the pilot and fund projects were embedded in broader programmes of the CAN member country governments and the implementing organisations, there is continuity in most of these activities and hence varying promise of future impact. This is especially the case with the projects focusing on sustainable use of biodiversity. No impact was evidenced with information systems development on the regional-level (i.e. related to the PIRAA), heavily affected by the CAN Decision 792, or territorial planning which is an area heavily impacted by changes of governments and policies and where the Environment Ministries have less of a role in actual implementation. The communication efforts were one-off and short term and it is not possible to estimate their impact as no mechanism to monitor this was built into the process. The CAN level work on genetic resources and wildlife management was aborted by the CAN Decision 792. Any impact in these areas will depend on national processes in the CAN countries, which in some areas (e.g. control of illegal trade in wildlife products) seem to continue, as well as the interest on the CAN countries to continue these processes within the new CAN structure.

Effectiveness

The effectiveness of BioCAN was reduced by the same factors that made the impact of the programme limited. There is, however, a large variation in the effectiveness between the themes and the individual projects.

The projects focusing on the sustainable use of biodiversity were by and large the most effective as in most cases they were a component or specific set of activities within on-going long term programmes. Hence their results and products were tailored to fit the needs of these processes based on previous and/or on-going assessments of beneficiary needs, and had better and more immediate use and uptake than in some of the other themes.

The effectiveness of the results and products of territorial planning varied, with the bottom-up approach chosen in Bolivia having a better uptake and resilience to political change than the more top-down approaches in the other three countries. The effectiveness of the top down approaches was also in many cases restricted by the fact that the BioCAN partner and project implementation organisation, the Ministry responsible for environment, had no direct mandate on territorial planning and limited influence on those ministries or decentralized government bodies with this mandate. The effectiveness related to information systems was low on the regional level, the most notable contributions being the establishment of regional standards for information sharing, and varied but limited contributions to the development of the information systems in the CAN countries.



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The lack of systematic synergy-building between the components deferred more noteworthy outcomes and possible impact. This was especially apparent between Component 4 and those Fondo BioCAN projects that focused on value chains and sustainable use of Amazonian biodiversity, but is also relevant for the other components. E.g. the macro-level territorial planning processes could have benefited from inputs from local-level, community-based actors, contributing to a more bottom-up and participative approach.

In case of the regional projects, their effectiveness was limited by the same factors that made their impact negligible, especially the CAN Decision 792 and its consequences to the Environmental Area. Much valuable work was, however, done, especially regarding wildlife management, and there are limited but valuable outcomes at the country level. Regarding genetic resources, the outcomes are so far limited, but can potentially be salvaged if the work is continued within the re-organized CAN committee structure.

In general, it can be concluded that it was mainly the project implementing organisations that benefited more substantially from BioCAN in terms of strengthened capacity and new and (higher level) contacts with the governments which have helped them to expand their activities and give wider use to the BioCAN outputs and products. This, in itself, is a valuable outcome.

Efficiency

BioCAN efficiency was reduced by its institutional setting in CAN, the subsequent complexity of the decision making processes requiring consensus on both strategic and operational issues between the four member countries and the SGCAN, leading to long and cumbersome processes on operational and management issues that could have been quickly resolved had the BioCAN Regional Coordination Unit be given sufficient autonomy, and had the role of the CAN and the four member countries remained on a more strategic level. The financial administration processes – with the RCU and CAN financial administration both approving all expenditure in a multi-layered process – further reduced the efficiency of BioCAN implementation. This, together with the short effective implementation period, was the most important negative constraint to BioCAN implementation, and led to a cascading negative impact from efficiency to effectiveness and impact.

Under these constraints the RCU and the pilot and Fund projects managed to implement a considerable amount of diverse activities and the quality and number of outputs produced is by and large impressive.

Sustainability

The chosen strategy of the BioCAN programme, as well as the ability of the CAN countries and project implementing organisations to “embed” the support from the programme in a broader setting of on-going programmes and efforts greatly increased the sustainability of the BioCAN actions. This approach indicates that these organisations had from the start a good understanding of the temporary and relatively short term nature of BioCAN support, and took a sensible approach to make the best use of it. Arguably, due to the relatively short term nature of BioCAN, without such approach the sustainability of the actions under BioCAN would have been negligible.

Coherence

The most significant issue regarding coherence was the drastic change in the CAN policies due to the Decision 792 on CAN re-engineering. Fortunately it happened fairly late in the Implementation Phase. However, it had and has a major impact on the future contribution of some of the BioCAN outputs and products, such as the PIRAA. There were also specific changes in the policies of some of the BioCAN countries (e.g. Bolivia on bio commerce) that partly reduced the coherence at the national level.



5.2 Lessons regarding Future Regional Programmes of MFA

As evidenced by BioCAN, the design of regional programmes often assumes too much regarding the commonalities between countries, and underestimates the differences in policies, institutional structures, and capacities between countries, as well as the risks of changes in regional political priorities.

On the other hand, in some, but often very specific, areas – the control of illegal wildlife trafficking being an example - joint action using regional high-level political platforms could have value, and decisions on this level can provide important political support to enable action at the country level.

Being a partner with institutions, such as CAN operating on the political regional level requires different timescales from those of BioCAN and a flexible way of operating. It also requires being realistic regarding the assumptions of the level of common interests and capacities between countries, and being aware that the countries' interest in regional solutions has its ups and downs. Consequently, a development partner in such cooperation should be prepared for a long term engagement and build into the design of the cooperation mechanism sufficient flexibility to be able to mobilize resources and respond to political opportunities when they emerge. A traditional development cooperation project may not be an appropriate instrument for this type of cooperation.

The BioCAN experience also shows that one should be realistic in terms of level of ambition – and consider from the outset carefully what can be achieved in the available time for implementation with the available funding. The leverage and importance given to a programme is – at least to some extent - in proportion to the amount of financing and perceived duration of the commitment of the partner. In the case of BioCAN there was clearly an overestimation of what could be realistically expected to be achieved with the given time, financing and CAN commitment. The short effective duration of the programme led to high transaction costs and contributed to a declining interest and importance given to the programme by the partners.

For this type relatively modest and short-term regional engagement more specific limited and tangible objectives, and a more straightforward and less ambitious structure for implementation, would have served better – e.g. channelling the funding through an International NGO or a NGO consortium well established in the region, with tested management systems. This approach would also have increased the possibilities for creating synergies between projects working on related themes at different levels and in different countries. Creating such synergies should be thought out in the design and built effectively into the programme management and operations.

An important lesson from BioCAN is also that a separate Inception Phase with a new tendering process and the change of Technical Assistance provider moving from Inception to Implementation phase is likely to break the momentum between the two phases and make the Inception Phase practically meaningless. Instead of having one continuous longer term programme it may easily lead, as was the case with BioCAN, to having two separate short-term programmes and twice the amount of time used in setting up the programme management structures and other activities carried out during a typical inception phase.

Finally, in a complex program like BioCAN, it is essential to clarify role of strategic and operational levels in programme management, and agree on clear Terms of Reference for all involved actors on all levels. The decision-making should be aligned with the principles of Result Based Management, and these principles should also be adhered to in practice, providing the unit responsible for programme management sufficient autonomy in operational decisions to carry out its work effectively. This, in practice, may be impossible in a programme that is fully embedded in a regional political organization, such as the, CAN. One option to solve this dilemma would be to separate the operational activities from the political level action, and delegate these to a more suitable organization (e.g. an INGO as indicated above), but with a coordination mechanism established between the two levels in the programme design, and a separate budget (and possibly also Technical Assistance) allocation for the regional level activities/regional partner organization.



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