Corporate Unit Evaluation Central Project Evaluation

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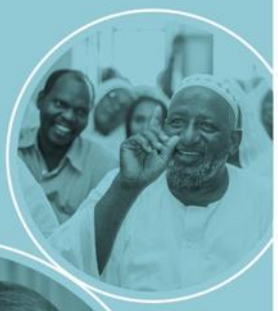

Central project evaluation

Green Markets and Sustainable Consumption in Brazil
Project number 2015.2131.9

Evaluation Report

On behalf of GIZ by Karsten Weitzenegger and Monika Röper (Madiba Consult GmbH)

Published: June 2021

giz Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH

Publication details

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The Evaluation Unit commissioned external independent evaluators to conduct the evaluation. This evaluation report was written by these external evaluators. All opinions and assessments expressed in the report are those of the authors.

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Published by:
Deutsche Gesellschaft für
Internationale Zusammenarbeit (GIZ) GmbH

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Bonn und Eschborn

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Design/layout:
DITHO Design GmbH, Köln

Printing and distribution:
GIZ, Bonn

Printed on 100% recycled paper, certified to Forest Stewardship Council (FSC) standards.

Bonn, June 2021

This publication is available as a pdf from the GIZ website: www.giz.de/evaluierung

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Abbreviations

ABNC	Associação Brasileira de Nozes e Castanhas Brazilian Association of Nuts and Chestnuts
ANATER	Agência Nacional de Assistência Técnica e Extensão Rural National Agency for Technical Assistance and Rural Extension
APEX	Agência Brasileira de Promoção de Exportações e Investimentos Agency for Promotion of Exports and Investments
ASPROC	Associação dos Produtores Rurais de Carauari Carauari Rural Producers Association
ATER	Assistência Técnica e Extensão Rural Technical assistance for rural extention
BMZ	German Federal Ministry for Economic Cooperation and Development
BRL	Brazilian real
CapGestão	Training programme that enables employees of rural assistance services to advise cooperatives on management issues
CONAB	Companhia Nacional de Abastecimento National Procurement Agency
CPE	Central Project Evaluations
EMBRAPA	Empresa Brasileira de Pesquisa Agropecuária Brazilian Agricultural Research Corporation
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH
IBAMA	Instituto Brasileiro do Meio Ambiente e dos Recursos Naturais Renováveis Brazilian Institute of the Environment and Renewable Natural Resources
IBGE	Instituto Brasileiro de Geografia e Estatistica Brazilian Institute of Geography and Statistics
ICMBio	Instituto Chico Mendes de Conservação da Biodiversidade Chico Mendes Institute for Biodiversity Conservation
IDAM	Instituto de Desenvolvimento Agropecuário e Florestal Sustentável do Amazonas Institute of Sustainable Agriculture and Forestry Development of the Amazon
IDEC	Instituto Brasileiro de Defesa do Consumidor Brazilian Institute for Consumer Protection
IDESAM	Instituto de Conservação e Desenvolvimento Sustentável da Amazônia Institute for Conservation and Sustainable Development of the Amazon
IFAC	Instituto Federal do Acre Federal Institute of Acre
INPE	Instituto Nacional de Pesquisas Espaciais National Space Research Institute
IPAM	Instituto de Pesquisa Ambiental da Amazônia Institute for Environmental Research of Amazonia
IPCA	Índice Nacional de Preços ao Consumidor Amplo National Broad Consumer Price Index
KfW	Kreditanstalt für Wiederaufbau German Development Bank

LNOB	Leave no one behind
M&E	Monitoring and evaluation
MAPA	Ministério da Agricultura, Pecuária e Abastecimento Ministry of Agriculture, Livestock and Food Supply
MDA	Ministério do Desenvolvimento Agrário Ministry of Agrarian Development
MPF	Ministério Público Federal Federal Prosecutor
MV	Mercados verdes/mercados verdes e consumo sustentável Green Markets/green markets and responsible consumption (used as short versions of the project title)
NGO	Non-governmental organisation
OECD/DAC	Organisation for Economic Co-operation and Development (OECD)/ Development Assistance Committee (DAC)
PAA	Programa de Aquisição de Alimentos Programme for Food Acquisition
PBAB	Private Business Action for Biodiversity Global project of the International Climate Initiative (IKI)
PLANAFE	Plano Nacional de Fortalecimento das Comunidades Extrativistas e Ribeirinhas National Plan for the Strengthening of Extractive and Riverain Communities
PLANAPO	Plano Nacional de Agroecologia e Produção Orgânica National Plan for Agroecology and Organic Production
PN	Project number
PNAE	Programa Nacional de Alimentação Escolar National School Feeding Programme
POA	Plano Anual Operacional Annual Operation Plan
PPCDAm	Plano de Ação para Prevenção e Controle do Desmatamento na Amazônia Legal Action Plan for the Prevention and Control of Deforestation in the Legal Amazon
PPP	Public-private partnership
REMA	Rede Maniva Network for the strengthening of biological agriculture in Amazonas State
SAF	Secretaria Extraordinaria de Agricultura Familiar, since 2019 Secretaria de Agricultura Familiar e Cooperativismo, Secretariat of Family Agriculture and Cooperatives
SDGs	Sustainable Development Goals
SEAD	Secretaria Especial de Agricultura Familiar e do Desenvolvimento Agrário Special Secretary for Small Scale Agriculture and Rural Development
ToC	Theory of Change
USAID	United States Agency for International Development
WWF	World Wide Fund for Nature

The project at a glance

Brazil: Green Markets and Sustainable Consumption (PN 2015.2131.9)

Project number	2015.2131.9
Creditor reporting system code	41010 Environmental Policy and Administrative Management
Project objective	Market access for products of socio-biodiversity and organic farming, which are produced by cooperatives and small farmers' associations in Amazonia is extended
Project term	1 October 2016 to 31 July 2020 (3 years and 10 months)
Project volume	EUR 5.1 million
Commissioning party	German Federal Ministry for Economic Cooperation and Development (BMZ)
Lead executing agency	GIZ, supported by the Eco Consulting/IPAM Consortium
Implementing organisations (in the partner country)	Federal Ministry of Agriculture, Livestock and Supply (Ministério da Agricultura, Pecuária e Abastecimento – MAPA)
Other development organisations involved	None
Target group(s)	Rural population of Amazonia (Brazil). The focus of the project is the population organised in cooperatives, producer and collector associations in the states of Acre, Amazonas, Amapá and Pará

1 Evaluation objectives and questions

1.1 Evaluation objectives

This evaluation is part of GIZ evaluation unit's random sample for Central Project Evaluations (CPE) of projects commissioned by the German Federal Ministry for Economic Cooperation and Development (BMZ). The CPE fulfils three basic functions: it supports evidence-based decisions, promotes transparency and accountability, and fosters organisational learning within the scope of contributing to effective knowledge management. Lessons learned are also relevant at project level, since certain project components (governance and market development) will be continued under the roof of a new project.

This final evaluation took place at the end of the project term under conditions of the Covid-19 pandemic. The project was assessed remotely along the OECD/DAC criteria and in accordance with the guidelines for GIZ's CPE; various empirical methods were used (for a detailed overview see **Table 3**). It was agreed with GIZ's evaluation unit, the project management and stakeholders during the inception phase that there would be a hypotheses-based assessment of the impact and effectiveness criteria. Using a contribution analysis, the evaluators and the project team jointly elaborated a theory of change (ToC) and subsequently formulated hypotheses. Outputs were assessed and causal links to the project's activities, instruments and implementation strategies were established by applying plausibility criteria. The updated results model and the process map provided a solid basis for the evaluation.

1.2 Evaluation questions

The project was assessed on the basis of standardised evaluation criteria and questions to ensure comparability by GIZ. These are based on the (OECD)/Development Assistance Committee (DAC) evaluation criteria for international cooperation and the evaluation criteria for German bilateral cooperation (in German): **relevance, efficiency**, **effectiveness**, **impact** and **sustainability**. Aspects regarding the criterion coherence, complementarity and coordination are included in the other criteria.

Specific assessment dimensions and analytical questions have been derived from this framework. These form the basis for all CPEs in GIZ and can be found in the **evaluation matrix** (Annex 1). In addition, contributions to the Agenda 2030 and its Sustainable Development Goals (SDGs) are taken into account, as well as cross-cutting issues such as gender, the environment, conflict sensitivity and human rights. Also, aspects regarding the quality of implementation are included in all OECD/DAC criteria.

In view of GIZ's continued support to the Government of Brazil in various related initiatives, there is great interest from BMZ and the Cluster on Tropical forests, Climate and Biodiversity (to which the project was assigned in GIZ Brazil) to determine how the results on the micro and meso levels can better contribute to policies at the macro level to effectively reduce forest degradation (IntDO6). Furthermore, the Secretariat of Family Agriculture and Cooperatives (*Secretaria de Agricultura Familiar e Cooperativismo*, SAF) of the Ministry of Agriculture, Livestock and Food Supply (*Ministério da Agricultura, Pecuária e Abastecimento*, MAPA) – as the main implementing national-level institution – has expressed interest in considering the sustainability of the project results during the current pandemic and receiving policy recommendations for post-crisis regulations (IntDB20, IntDB22). The evaluation team also brought together the project's interests regarding the evaluation. Main stakeholder groups articulated their interests in the evaluation results as well (IntDB13, IntDB16 IntDB17, IntDB20, IntDB22, IntSO16, IntSO18, IntTT3, IntZB4). The GIZ's sectoral unit was interviewed during the evaluation but they did not raise any additional questions (IntDO7, IntDO23, IntDO24).

Outcome harvesting was introduced in the inception phase as a method to collect information on changes in complex and volatile situations.[1] This methodology ensures participation from different stakeholders, even when done remotely. Outcome statements were collected from documents and interviews with stakeholders. In a virtual team workshop, the outcome statements were discussed and converted into more specific evaluation questions. More interviewees were identified to guarantee that all project components were addressed. Several outcome statements were related to the current pandemic situation. This was verified by repeating the outcome harvesting in the evaluation phase. Thus, the evaluation had to remain flexible to produce useful information on the crisis so that the methodological approach did not correspond to a complete or strict application of outcome harvesting.

The project team discussed the final evaluation questions on 23 June 2020 with the evaluators (IntDO3, IntDO4, IntDO5, IntDO6, IntDO7, IntDO8). The questions related to the ToC and additional areas of interests were collected and ranked according to priority. The project team monitored mostly quantitative data and, therefore, expected more qualitative findings from the evaluation. The project monitoring ended in June 2020 with some minor gaps in the final phase due to the Covid-19 crisis. Hence, GIZ was especially interested in learning what happened afterwards – especially at the impact level. The key stakeholders interviewed thereafter shared this interest and added additional aspects to the evaluation. The GIZ project team additionally added specific aspects to the evaluation questions. Both sets of questions were entered into the evaluation matrix as specifications or additions to standard questions according to the OECD/DAC criteria (see Annex 1). Most of the additional questions addressed the impact and sustainability (durability) of the predecessor project.

2 Object of the evaluation

This chapter aims to define the evaluation object, including the ToC and results hypotheses.

2.1 Definition of the evaluation object

The subject of this evaluation is the German bilateral project, Green Markets and Sustainable Consumption with Brazil (PN 2015.2131.9), commissioned as a technical cooperation module by BMZ. The project had an overall term from 1 October 2016 to 31 July 2020 and a budget of EUR 5.1 million. The project's objective was as follows: 'The market access for products of socio-biodiversity[2] and organic farming produced by cooperatives and small farmers' associations in Amazonia is extended'. It was divided into three components:

Component A: Marketing promotion policies, aiming to improve the implementation of national programmes and policies to promote marketing for cooperatives and small farmers' associations in the Amazon region. At the beginning of the project, the main programmatic reference was the National Plan for Agroecology and Organic Production (*Plano Nacional de Agroecologia e Produção Orgânica*, PLANAPO).

Component B: Capacity building and knowledge management to empower rural extension services to

[1] Outcome harvesting is a monitoring and evaluation methodology used to identify, describe, verify and analyse the changes brought about through a development intervention.

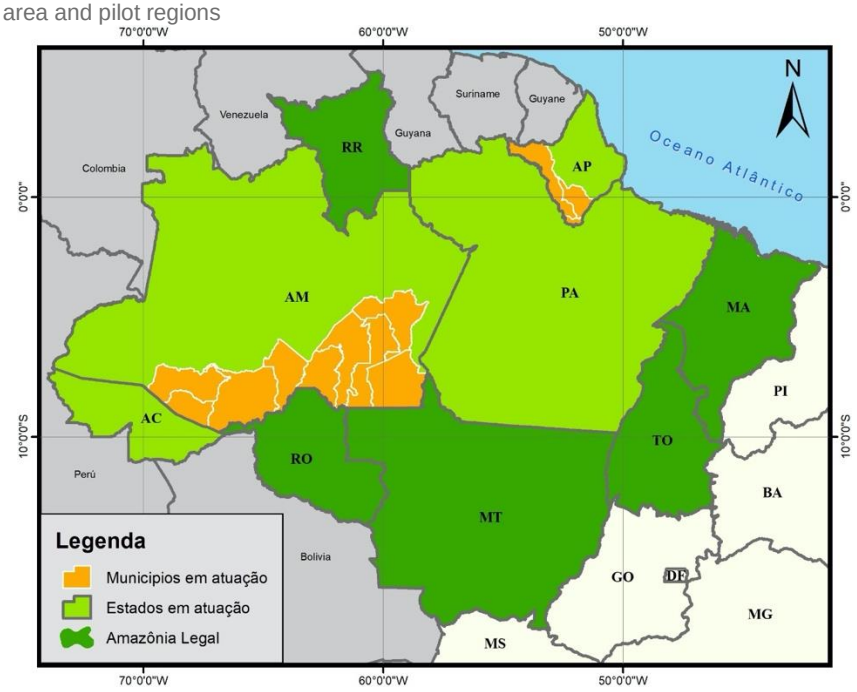
[2] Socio-biodiversity is a concept expressing the interrelationship between the biological diversity and the diversity of socio-cultural systems. Socio-biodiversity products are collected and cultivated by local and traditional groups throughout Brazil and linked to the specific tradition and cultural identity of these groups. In the Amazon region, these are mainly non-timber forest products, like Brazil nuts, açaí berries and natural rubber. The concept is the basis of the National Plan for the Promotion of Socio-biodiversity Value Chains adopted in 2009.

expand market access for socio-biodiversity products. This component should also ensure that the necessary information and knowledge is available for the implementation of policies and measures.

Component C: Marketing of socio-biodiversity and organic farming products from the Amazon region, aiming to improve access to private markets. The project addressed channels for marketing cooperatives' and smallholder farmer associations' products both with other companies and end consumers, mostly in the food and cosmetics sector.

The project took place in four states in the Amazon Basin (Acre, Amazonas, Pará and Amapá) and in two priority regions at local level (southern Amapá and southern Amazonas, see Figure 1). In its implementation of the project, GIZ was supported by the Eco Consulting/IPAM consortium. Co-financing was not part of the project and, therefore, not a subject of the evaluation.

Figure 1: Project area and pilot regions



Note: Dark green: legal Amazonia, light green: states with project actions, orange: pilot municipalities
Source: GIZ (DocGIZ55)

Specific aspects of the predecessor project 'Sustainable Economic Development (Green Markets) with Focus on Socio-biodiversity'[3] were considered within the framework of the evaluation and are assessed separately (see section 4.1) to obtain reasonable results on the long-term impacts and the sustainability of the project.

A follow-on project, Bioeconomy and Supply Chains (PN 2019.2348.1), is scheduled from 1 February 2021 to 31 January 2024 with an estimated budget of EUR 4 million. Synergies between the evaluation and the follow-on project are leveraged by the assignment of a single consultant for the present evaluation and the subsequent appraisal of the new project. This should also avoid excessive demand on key stakeholders.

The current project is part of the Development Cooperation Programme, Protection and Sustainable use of the Tropical Forest in Amazonia (referred here as the Tropical Forest Programme). This is a multi-donor programme, through which a German contribution of EUR 257 million is implemented by GIZ, the German Development Bank (Entwicklungsbank, KfW) and the Physikalisch-Technische Bundesanstalt (PTB). The programme was originally closely linked to Brazil's action plan for the Agenda 2030. The programme objective is: 'The preservation of the tropical rainforest and the sustainable use of natural resources

[3] The predecessor project (PN 2013.2454.0) ran from 2 December 2014 to 30 July 2016 and had a budget of EUR 1.0 million.

(especially in the Amazon region) contribute to global climate and biodiversity protection and lay the foundations for social, ecological and economically sustainable development in Brazil'. This evaluation does not cover other parts of the programme but refers to programme level when appropriate.

Context and framework conditions

The rainforest in the Amazon region of Brazil is shrinking. Advancing deforestation is releasing greenhouse gases, reducing biodiversity and destroying the settlement areas of indigenous peoples and other traditional groups. As its contribution to the Paris Climate Agreement, Brazil has, therefore, set itself the goal of halting illegal deforestation by 2030 and promoting sustainable production systems. Eco-friendly cultivation methods and the extraction of forest-based fruits and oils represent an important source of income and can open up economically viable prospects for the local population. But many of their organisations still face the challenge of gaining access to the market for their products.

The perception that the environmental institutions could not fight deforestation in isolation, due its complexity and cross-cutting nature, led to a coordinated approach which included the engagement of several federal governmental bodies. The Action Plan for the Prevention and Control of Deforestation in the Legal Amazon (*Plano de Ação para Prevenção e Controle do Desmatamento na Amazônia Legal,* PPCDAm), launched in 2004, aims at reducing deforestation rates and providing the conditions for a transition towards a sustainable development model in the region. A major challenge faced by PPCDAm early on, was consolidating the concern for deforestation in a diverse set of sectoral policies. Therefore, 'fostering sustainable production' was a core area of the plan from the beginning, bringing together a set of actions, programmes and initiatives at the federal level to promote alternative income-generating activities that do not cause deforestation. The National Plan for Agroecology and Organic Production (PLANAPO) was one such approach.

In this regard, the Brazilian Government is promoting the worth of products from socio-biodiversity and organic farming in the Amazon region. By expanding the market access for such products, there is an important potential for developing the sustainable management and valorisation of the natural resources of the region (DocGIZ45, DocGIZ29). Products of socio-biodiversity are mainly collected in the rainforests by traditional population groups. There is a list of 38 species from the Amazon region that serve as the basis for government policies to promote sustainable production. Currently, economically, the most important species include açaí berries (*Euterpe oleracea* and *Euterpe edulis*) and Brazil nut (*Bertholletia excelsa*). Also, great potential (e.g. for the cosmetics industry) is seen in various oil-bearing plants from Amazonia. According to the project proposal, the total sales volume for these traditionally gathered Amazon products was estimated at BRL 1,300 million for 2013 (DocGIZ29). There is potential for a further increase in production and added value with sustainable Amazon products in both the state-controlled 'institutional' markets (e.g. public procurement measures for school meals) and in expanded access to the high-priced and dynamic 'private' markets for sustainable consumption. The Brazilian urban middle class' demand for sustainably produced goods is ever growing, with an average annual growth rate of the Brazilian market for organic products at around 20%. Products labelled as sustainable or organic are increasingly entering the large supermarket chains. However, products from the Amazon region have so far not been able to benefit sufficiently from this dynamic (adapted from GIZ DocGIZ21 and DocGIZ25).

Despite several approaches to promoting the protection and/or sustainable management of the forest-based products, these have not been able to compete economically with the drivers of deforestation. For many years, initiatives on these issues were conceived and implemented by the Ministry of the Environment (*Ministério de Meio Ambiente*, MMA), but the agenda linked to the aspects of economic development was gradually taken on by the Ministry of Agrarian Development (*Ministério do Desenvolvimento Agrário*, MDA) – which is responsible for family farming issues. After the dissolution of the MDA in 2016, MAPA assumed all responsibility for supporting family farming and extraction of forest products in early 2019. Although primarily oriented towards the interests of agribusiness, MAPA installed the SAF, which absorbed the

responsibilities of the predecessor bodies. The SAF has several staff members who have been working for years on issues and programmes related to the promotion of economic alternatives to deforestation and who keep the institutional memory of previous institutions and programmes. The new administration promoted changes in strategic guidelines (e.g. abandoning the PLANAPO) but maintained several elements of the previous strategies, which are now anchored in the concepts of bioeconomy, family farming and socio-biodiversity.

Target groups and stakeholder structure

As defined in the project documents, the target group at impact level is the rural population of Amazonia. It comprises around 250,000 families, including minorities known, in Brazil, as 'traditional groups' such as rubber tappers, collectors and descendants of formerly enslaved groups (*quilombolas).* Together with over 160 different indigenous peoples, they reflect the ethnic and cultural diversity of the region. Additionally, smallholder settlers from other parts of the country are spread over hundreds of agricultural reform projects. Many forest dwellers live in areas that are geographically difficult to access. Thus, the state and its services are often absent. There is very limited access to health care, education (especially secondary schools), public transport, market access, financial services, and agricultural and forestry extension services. The poverty rate of all Amazonian states in 2017 was (in some cases significantly) above the Brazilian average of 25.4% provided by the Brazilian Institute of Geography and Statistics (*Instituto Brasileiro de Geografia e Estatistica*, IBGE). Furthermore, gender-based discrimination is particularly marked in the target group, as women often have less social and political influence as a result of traditional understandings of gender relations and roles.

The project focuses on the states of Acre, Amazonas, Amapá and Pará. About 450 cooperatives and associations were identified in these four states, each with an average of 100 members. These organisations represent the interests of the forest-dependent groups and family farmers and aim at enabling their market access. However, the vast majority have great weaknesses in terms of management and marketing skills. For demonstration and learning purposes at the local level, the implementation of the project took place in two priority areas: South Amazonas, with over 40,000 inhabitants, and South Amapá, with over 300,000 inhabitants. Other participants included the technical staff of rural advisory services, representatives of non-governmental organisations (NGOs), who deal with issues relating to the valorisation of natural resources in the Amazon region, representatives of associations from the food industry, gastronomy and the cosmetics industry, individual companies of the private sector, and representatives of companies and consumers of products from the Amazon region in the largest agglomeration regions in Brazil.

In line with policy changes, the main political partner at federal level was completely changed during the implementation period. Due to government restructuring after the 2016 impeachment and subsequent elections, the project was assigned to the MDA in 2017. The main counterpart, the Special Secretary for Small Scale Agriculture and Rural Development (*Secretaria Especial de Desenvolvimento Agrário*, SEAD), was transferred to the Executive Office of the President for some months before the project started in 2017. With the Bolsonaro government starting in January 2019, the unit was reformed into the SAF and got assigned to the MAPA as the political and implementing partner.

2.2 Results model including hypotheses

Problem analysis

The **core problem** remained unchanged throughout the project planning and implementation: 'The market access for socio-biodiversity and organic farming products produced by cooperatives and small farmers' associations in the Amazon is restricted.'

The following causes of the core problem are identified in the project proposal (DocGIZ29):

- The producer and collector organisations are not yet sufficiently capable of gaining access to market information and converting it into adapted marketing strategies that take into account the potential of the developing markets for environmentally and socially compatible products.
- A major cause is that sector policies and programmes to promote socio-biodiversity and organic farming products are not sufficiently coordinated and do not respond to the specific needs of the target group. At the sub-national level, the topic of marketing is not structurally integrated in forums with the participation of relevant actors. This makes it difficult for local organisations and companies to access the funding programmes.
- Rural advisory services do not have sufficient information to support the expansion of market access for said products. Existing knowledge is not systematically structured, nor exchanged between the different actors. Innovative content and methods, such as rural extension services, are rarely used to develop business models for socio-biodiversity products, to use seals or certificates to communicate the social and ecological benefits of sustainable management.
- The social and ecological added value of products of socio-biodiversity and organic farming is usually not recorded and communicated neither systematically nor in a way that is understandable for the consumers, which is why such products are not rewarded with better conditions on the market. Consumers' awareness of these aspects and the connection with the development conditions in the Amazon region have not been sufficiently developed.
- Women's leadership and management capacities remain undetected, as female participation in decision-making and management processes in cooperatives and smallholder farmers' organisations is still low.

Multi-level approach

The project worked with a multi-level approach and combined three interlinked fields of action (components), with each component corresponding to one level.

At **macro level (component A)**, the adaptation of federal marketing promotion policies and regulation to the specific regional or local situation in each state was a main issue for the project. The project supported the Brazilian Government in its efforts to promote the transition from conventional agriculture to agroecological production. To do so, Brazil has adopted the PLANAPO, which was a key starting point for the project. However, this wide-ranging plan was discontinued, and the project continued the support to market-oriented interventions in selected value chains.

At **meso level (component B)**, the project aimed to build the capacity of institutions in the Amazon region on marketing promotion, taking into account a range of specific value chains. The project has supported the elaboration of state policies for promoting the marketing of sustainable Amazonian products. Also, the capacity of institutions to interact at the different levels was addressed: one example being the creation of five ‘marketing chambers’ in four federal states in which all the relevant stakeholders work together to find ways to promote sustainable value chains. The project started the development of an information system to monitor the Brazilian measures on agroecology and organic farming. Sustainable consumption was also addressed with campaigns to encourage conscious consumption and provide information about production conditions in the Amazon region. New marketing channels for environmentally friendly products from the Amazon region were introduced.

At **micro level (component C)**, cooperatives were supported by building advisory services on management capacities. Needs ranged from advice on bookkeeping basics and the development of business models, to organisational development and sustainability seals.

Table 1: Multi-level approach

Level	Main stakeholders	Project design
Macro	Federal entities Four state governments	Improvement of marketing promotion policies at the federal level and in interaction with the sub-national levels. (Output 1, mainly implemented as component A)
Meso	Agricultural advisory services NGO (local, national, international) Federations of cooperatives Marketing chambers	Competence building and knowledge management with a focus on the system of rural advice. (Output 2, mainly implemented as component B)
Micro	Cooperatives Enterprises Community-based initiatives Local managers for public procurement programmes	Marketing of products of socio-biodiversity and organic farming from Amazonia with a focus on sustainable consumption. (Output 3, implemented as Component C)

PLANAPO

Note on the quality and use of planning documents

All project documents were in German and translated into English by the evaluators. The results matrix defines the project objective at outcome level. For evaluation purposes, the evaluators looked at the project's outputs 1 to 3, since they are formulated as conditions that involve changes by the stakeholders. The project's results matrix (DocGIZ22, DocGIZ56) does not use the term 'outcome' but refers to module objective and programme objective. However, the activity list from a former version of the agreement with BMZ is still annexed as a reminder. At project level, 'Results' or 'Rs' referred to an intermediate stage between the activities and the outputs, and were updated accordingly. These 13 results are meaningful to the project team and stakeholders, as they are seen as the steps leading to the outputs.

The theory of change (ToC) used in the project has been elaborated based on the results matrix agreed upon with BMZ on 30 March 2020. The result matrix was initially designed in 2017 based on relevant Capacity WORKS tools. It was accordingly updated with every change of the project to reflect contextual change and communicate them to BMZ. An initial results model had been drafted, which, in a subsequent step, was further developed into a process map, defining and showing the project's main processes. In the documents, the cause–effect relationships of the problem situation are plausibly set out. The results model was updated by the project steering in 2018, 2019 and 2020 and finally adjusted in discussion with the evaluation team. Both the results model and the process map proved suitable to serve as guidance as well as communication tools when discussing the project's concept and design with the partners. All adjustments seem to reflect the relevant changes and are a sign that the results matrix was actively used as a steering tool. The results model visualised here reflects the actual approach and design and was created during the inception mission based on the latest adjustment (DocGIZ24).

The project is part of the German-Brazilian programme, Protection and Sustainable Use of Tropical Forests (Biodiversity and Climate).[4] The programme's current goal is '[…] by maintaining the tropical rainforest and sustainable use of natural resources (especially in Amazonia) [to] contribute to global climate and biodiversity protection and foundations for a social, ecological and economically sustainable development in Brazil' (DocGIZ100). The sustainable use of Amazon's natural resources is a vital component in achieving this goal.

At impact level, the project fits with the programme results framework and contributes specifically to programme target indicator 4 which reads, 'increased production volume of açaí berry, Brazil nut, Jaborandi, natural rubber, Babaçú, Copaíba, Cumarú'. It also contributes to programme target indicator 5, 'innovative approaches to improve the effectiveness and resource mobilisation in forest protection'. Other

[4] On behalf of the German government, GIZ has been working with Brazilian partners on the protection, sustainable use and the restoration of tropical forests since the early 1990s. See the current project list at https://www.giz.de/en/worldwide/392.html

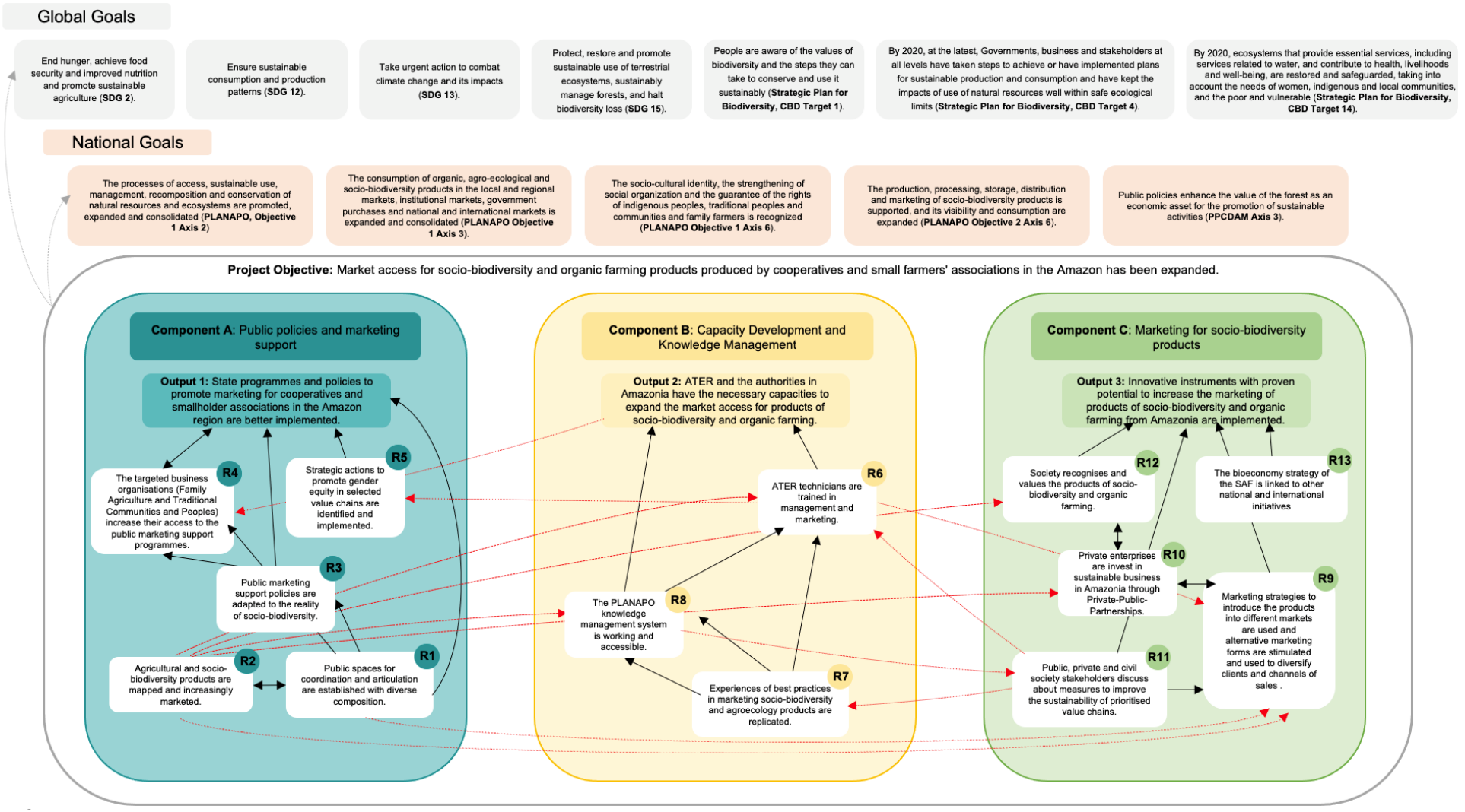
programme target indicators cover (1) deforestation rates in Amazonia; (2) individual or collective land ownership and land use rights; (3) deforestation in indigenous areas and in nature reserves; and (4) innovative approaches to improve the effectiveness and resource mobilisation in forest protection (DocGIZ41, DocGIZ45, DocGIZ81). The project also contributes to the SDGs 2, 12, 13 and 15. Moreover, goals 1, 4, and 14 of the Convention on Biological Diversity are referenced. The project's impacts are formulated in two core national action documents, PLANAPO and PPCDAm. Thus, the project is rooted in much older national long-term plans than the SDGs and the Paris Agreement on Climate Action. PLANAPO, commonly known as 'Agroecological Brazil' (www.agroecologia.gov.br) had a first phase from 2013 to 2015 and a second from 2016 to 2019 (DocGov5, DocGov15). The implementation was discontinued, hence, the envisaged third phase was not carried out.

According to the project offer (DocGIZ29), the project also contributes to participatory development and good governance by improving the coordination of policies between different departments and levels of government and by better aligning public funding programmes to the specific needs of the population in the Amazon region. The desired improvement in the income situation and the strengthening of producer groups and cooperatives contribute to rural development and food security.

The project also contributes to the reduction of greenhouse gas emissions, since the subsidised sustainable production and marketing systems contribute to the preservation of the forests and, thus, reduce CO_2 emissions from changes in land use. Moreover, it supports adaptation to climate change by promoting sustainable production systems that are less susceptible to climate variability than conventional systems (DocGIZ29).

The ToC visualised in the updated results model (**Figure** 2) reflects this approach and concept.

Figure 2: Results model (April 2020, adapted during the evaluation)



The project is responsible for the achievement of the results and outputs within the coloured areas in the results model (sphere of responsibility) circled by the black line in Figure 2, which is considered the project's system boundary. Beyond the boundary, the project contributes to national and international targets. Responsibility is shared with the Tropical Forests Programme, in which the project only covers the defined areas of intervention. As Figure 2 shows, the project was divided into three components that are interlinked by the multi-level approach.

Three project outputs jointly lead to the **project objective (at outcome level)** of expanding the market access for products of socio-biodiversity and organic farming that are produced by cooperatives and smallholder associations in the Amazon region (DocGIZ29). The project's impacts are part of the results matrix of the Tropical Forest Programme (GDC programme), which seeks to preserve the tropical rainforest and the sustainable use of natural resources (especially in the Amazon region). The impact was originally formulated with reference to the PLANAPO II; however, as PLANAPO II was never implemented, the current matrix only lists the project/programme goals. The impact should contribute to global climate and biodiversity protection and become the basis for a socially, ecologically and economically sustainable development in Brazil (DocGIZ45).

Output 1: State programmes and policies to promote marketing for cooperatives and smallholder associations in the Amazon region are better implemented.
This field of action aims at improving the implementation of state programmes and marketing promotion policies for cooperatives and smallholder farmers' associations in Amazonia. The PLANAPO was the central starting point of the project at the national level. To support the harmonisation of different sector policies, the project intended to advise on the coordination of the implementation of PLANAPO II, but this was never carried out.

Output 1 should be achieved through five results: if public spaces for coordination and articulation are established with diverse composition (R1), and at the same time the agricultural and socio-biodiversity products are mapped and increasingly marketed (R2), public marketing support policies can adapt to the reality of socio-biodiversity (R3). That would allow the targeted business organisations (family agriculture and traditional communities and peoples) to increase their access to the public marketing support programmes (R4). Strategic actions to promote gender equity in selected value chains must be identified and implemented (R5) to reach the output.

Output 2: ATER and the authorities in Amazonia have the necessary capacities to expand the market access for products of socio-biodiversity and organic farming.
This output aims to equip the network of agricultural advice (Technical Assistance for Rural Extension – ATER, including both public and private providers) with the capacities necessary to widen the market access for socio-biodiversity and agroecology products. It flanks the outputs 1 and 3 by ensuring that the necessary information and knowledge are available for the targeted implementation of policies and measures.

This output needs three results to be reached: ATER technicians are trained in management and marketing (R6) and the PLANAPO knowledge management system is working and accessible (R8). Needed for this is that experiences of best practices in marketing socio-biodiversity and agroecology products are replicated (R7).

Output 3: Innovative instruments with proven potential to increase the marketing of products of socio-biodiversity and organic farming from Amazonia are implemented.
This output aims to improve access to private markets. The project promotes both the marketing channels for selected products of the cooperatives and small farmer associations in the form of processed products to other companies, as well as directly to the end consumers. The relevant value chains for marketing the products belong to the food and cosmetics sector. Strategies for the labelling and differentiated marketing of sustainable

products play a special role, so that the social or ecological added value is rewarded through better marketing conditions.

Output 3 is based on five results: marketing strategies to introduce the products into different markets are used and alternative marketing forms are stimulated and used to diversify clients and channels of sales (R9); private enterprises are encouraged to invest in sustainable business in Amazonia (R10); public, private and civil society stakeholders discuss about measures to improve the sustainability of prioritised value chains (R11); that causes society to recognise and value the products of socio-biodiversity and organic farming (R12); and builds on the bioeconomy strategy of the SAF complemented by other national and international initiatives (R13).

The **capacity development strategy** combines elements of individual competence development and organisational development, as well as the strengthening of networks at the societal level. At this level, dialogue forums for better integration of national programmes with federal policies, mechanisms for better coordination among the various actors, and consumer initiatives for sustainable consumption were supported. At the national level, the project strengthened individual competencies in project management, the coordination of multi-stakeholder processes and value chains, and gender issues. Measures for organisational development at the national level include processes for private-sector-oriented marketing promotion, management and knowledge management as well as the effect-oriented monitoring of SAF's policies and programmes. At the state level, the organisational development measures were aimed at the field offices of the SAF, which play a major role in anchoring the national funding policies in the respective local context, such as intermediary organisations, for the integration of market-oriented innovative business models in their advisory services (DocGIZ27, DocGIZ21).

Among the capacity development initiatives, three training programmes that focused on specific project issues stand out:

The training programme **CapGestão** was originally linked to the already existing federal programme ‘Mais Gestão’ and aimed at offering specific training for the rural extension advisors hired by Mais Gestão in the project regions. The programme consisted of a sequence of five theoretical modules interspersed with practical applications of innovative advisory methods in their work with the cooperatives. The programme was implemented in a total of 10 months and comprised 225 hours of lessons. As a link to the micro level, the trained advisors had to commit to applying their new knowledge in cooperatives. It was assumed that the advisors would also make their own expertise accessible to the cooperatives. CapGestão started with an integrated set of modules for rural business and marketing advice. Additional contents for health and hygiene regulations, value chains of açaí berries, the fish pirarucu (*Arapaima gigas*), and the Brazil nut were introduced later. Employees of the rural advisory services received further training in subject areas that enable them to convey content to promote marketing, such as appropriately designed offers to promote value chains, entrepreneurship, organisational development, gender, women and youth issues. Appropriate didactic material was developed to support the advisory services. CapGestão trained 121 technicians, 48% of them women. They advised 69 cooperatives and organisations in 46 municipalities, with almost 5,000 members.

A second training programme called **CapGestores** qualified public officials in the Amazon region to promote purchases for public procurement programmes from family farmers and value regional food, especially products from socio-biodiversity. The enabling factor is that Brazilian law stipulates that 30% of public food purchases must come from family farming. However, this is still not fully accomplished, especially in the Amazon region. With this in mind, the project’s approach to qualify the local buyers responsible for public procurement helped to comply with the law and, at the same time, encouraged regional family farming and ensured food security for the rural and urban population. CapGestores trained 225 buyers from state institutions, 60% of whom were women (DocGIZ100).

Finally, the training course **CapFeiras** was set up to prepare cooperative representatives for their participation in trade fairs. Representatives of three cooperatives were trained directly to participate in the Biofach Fair. Additionally, a virtual training with eight video lessons and a methodological guide were prepared and ten enterprises selected by MAPA were qualified to participate at national and international trade fairs.

Evaluation hypotheses

For evaluation purposes, four hypotheses were developed to demonstrate the project's ToC. They reflect the main assumptions and mirror the most intense processes as defined by the project team and the main project partners. They relate to political backing (hypothesis 1), appropriate business development services (hypothesis 2), improved market access (hypothesis 3), and institutional strengthening (hypothesis 4).

Table 2: Evaluation hypotheses

Hypothesis 1 (H1)	Technical advice and studies in the field of agroecology and socio-biodiversity products and dialogue between stakeholders will lead to better access to public markets for cooperatives and smallholder associations.
H1 is related to **output 1**: 'State programmes and policies to promote marketing for cooperatives and smallholder associations in the Amazon region are better implemented', which requires several results to be reached**:** • R5: Strategic actions to promote gender equity in selected value chains are identified and implemented. • R4: Family famers and traditional communities and people raise their access to the public marketing support programmes. • R3: Public marketing support policies adapt to the reality of socio-biodiversity. H1 also relates to project **outcome indicator 1**: doubled value of sales to public programme markets.	
Hypothesis 2 (H2)	Capacity development and knowledge management will enable the network of agricultural advisors to provide services appropriate to widen the market access for socio-biodiversity and agroecology products.
H2 is related to **output 2**: 'ATER and the authorities in the Amazonia have the necessary capacities to expand the market access for products of socio-biodiversity and organic farming', which requires several results to be reached**:** • R6: ATER technicians are trained in management and marketing. • R8: PLANAPO knowledge management system is working and accessible. H2 also relates to project **outcome indicator 2**, which monitors the increase in sales of socio-biodiversity and organic farming products by the advised cooperatives and smallholder farmers' associations.	
Hypothesis 3 (H3)	Innovative instruments, such as consumer campaigns, branding, investment promotion, public-private partnerships, and value chain development, will lead to increased recognition and private sector market sales in selected value chains of socio-biodiversity and organic farming products from the Amazon.
H3 is related to **output 3**: 'Innovative instruments with proven potential to increase the marketing of products of socio-biodiversity and organic farming from Amazonia are implemented', which requires several results to be reached**:** • R9: Marketing strategies to insert the products into different markets are used and alternative marketing forms are stimulated and used to diversify clients and channels of sales. • R11: Public, private and civil society stakeholders discuss measures to improve the sustainability of prioritised socio-biodiversity value chains. • R12: Society recognises and values the products of socio-biodiversity and organic farming. • R13: The bioeconomy strategy of the SAF is complemented with other national and international initiatives.	
Hypothesis 4 (H4)	Strategic advice to regional marketing chambers and their coordination with state, private and civil stakeholders will lead to localised regulation and public market access for local products of smallholders and traditional communities.
H4 is related to **all outputs** and focuses on the institution created and promoted during the implementation of the project (marketing chambers). This emerging result is assessed with regard to effectiveness and sustainability of the institutions. Thus, H4 relates to project **output indicator 1.2** 'In 4 Amazonian states, 5 coordination forums (e.g. in the form of so-called marketing chambers) established work priorities in the area of marketing socio-biodiversity products and organic farming from the Amazon.' There is a link to **outcome indicator 3** as well, which monitors the use of gender tools in marketing chambers.	

3 Evaluability and evaluation process

3.1 Evaluability: data availability and quality

A core outcome of the inception phase was to determine the evaluability of the project under the conditions of the Covid-19 pandemic. The project team and the key stakeholders were interested to run this exercise to reflect and document the outcome.

The present evaluation report is the only document that summarises all the information available. The main documents and monitoring data were available until October 2020. The monitoring already confirmed the results measured by most indicators. Monitoring based on the baseline was continued until early 2020. Some of the planned measurements were not possible because of the pandemic. Even though most indicators were already reached by end of 2019, focus during the evaluation was on the damage the pandemic might have brought for the final results.

3.2 Baseline and monitoring data including partner data

The project had a suitable instrument and method for measuring changes in key indicators. The monitoring system comprised a results-based monitoring system, which was set up and maintained by qualified staff. The status was updated in documents on each indicator, written by component leaders and gathered by a project specialist. The procedure seemed to be agreed upon and used by all stakeholders. The fact that the monitoring is done in Portuguese facilitates sharing the status specific to each project area. Another advantage of the indicator sheets is that the information on specific indicators can be easily shared with stakeholders.

The necessary baseline data regarding the output and outcome indicators to carry out the evaluation were available. The indicators were suitable to measure the achievements of the project in terms of effectiveness. In general, these indicators do meet the widely accepted SMART criteria: they are specific, measurable, achievable, relevant, and time-bound (see Table 7). A reformulation to ensure evaluability was not necessary.

The general status was presented to the evaluators during the inception mission and updated during the course of the evaluation. The information collected for each indicator in the monitoring system is documented. There is a written description of when, and how, this information was collected by the project team. The project team updated some indicator sheets in June 2020, but due to the pandemic, some indicator sheets were last updated in December 2019. All these documents and data served as base for the evaluation.

The monitoring system is neither based nor linked to the partner's monitoring and evaluation (M&E) system, as PLANAPO was discontinued. Neither GIZ's Kompass toolbox nor GIZ's online results-based monitoring tool were used. Instead, the project used the *Instrumento de Gestão e Monitoramento de Impactos* (Impact Management and Monitoring Tool) for its monitoring, which was developed in Brazil and is now mandatory for monitoring all GIZ projects on-site.

Remote evaluation due to the Covid-19 pandemic

This evaluation took place at the end of the project term under the conditions of the Covid-19 pandemic. The inception phase – conducted in May/June 2020 – was already affected by the pandemic. Consequently, the fully remote evaluation mission took place in August/September 2020. At the time of writing, the Covid-19 epidemic in Brazil was not yet under control and several restrictions remained.

Some benefits resulted from switching to a remote evaluation design. Because the project's partners and stakeholders had quickly shifted to remote communication in the beginning of the Covid-19 crisis, the evaluation benefited early on from their knowledge as the situation allowed for long and intense interviews. No doubt some contextual information such as body language, personal interaction and small talk gets lost when meeting remotely. Nonetheless, participants were able to point to online sources and share documents in real-time. Some videos and statements collected earlier were also useful for evaluation purposes. The project activities – which had moved online in the previous months – were easy to access, including transcripts from these online events.

Photo 1: The project switched effectively to online conferences and workshops

Source: GIZ

However, the evaluation team had very limited access to the target groups. While reaching stakeholders in Brasilia and the state capitals was possible, the outreach to rural areas was very difficult, as the digital divide inside Brazil is dramatic. The few people in rural areas who could be contacted, reported that connection to some more remote communities had been interrupted for months, since the markets that served as information hubs were closed. While some communities managed to stay connected via radio, for others, it was unknown if health or logistical problems kept them isolated and what the current situation was.

3.3 Evaluation process

As mentioned in chapter 1.1, the evaluation was conducted based on the OECD/DAC criteria and GIZ's CPE guidelines. As agreed with all involved, a hypotheses-based assessment of the impact and effectiveness criteria was carried out. A contribution analysis was used, a ToC jointly elaborated, and hypotheses were formulated. Outputs were assessed and causal links to the project's activities, instruments and implementation strategies were established by applying plausibility criteria. The triangulation of methods and sources has been ensured throughout the evaluation process.

In preparing the evaluation mission, the evaluation team finely tuned the list of interviewees. When selecting the interview partners, they were careful to ensure that the statements triangulated with the desk study information. The evaluation design and methodology were discussed with the project team and the main project partners during the inception mission. The evaluators used data from document analysis and interviews with GIZ staff, key actors and primary stakeholders, as well as from secondary research sources. In addition to bilateral interviews, several lively online workshops and long calls meant that stakeholders who have access to the internet could be involved. The project team provided the evaluators with the initial and updated actors maps (in January 2019) for the national level and for each of the four states in which the project was implemented. The maps allowed a visualisation of the organisations with which the project related, distinguishing primary and secondary actors. However, analyses that permit a deeper understanding of these relations were not available. In addition, 46 participants from the capacity building modules carried out for rural

extension workers in Amazonia (CapGestão) took part in an online survey 2-15 October 2020 (see Annex 2). The collected data was analysed and processed so that it could be discussed among the evaluators. Regular reflection was ensured throughout the mission. The GIZ Efficiency Tool was used as the basis for assessing the project's efficiency. A 'follow-the-money' approach was applied in the analysis and assessment, with focus on the cost-output relation.

The evaluators faced some challenges with the GIZ evaluation tools, as they detected a lack of specific guidelines to assess the programme approach of the selected project. Rather than focusing on the continuity from the predecessor project, it would be interesting to evaluate how the bilateral projects act as part of a larger programme and how they relate to the sector programmes and related global German programmes. In addition, the Efficiency Tool did not always adapt to the project. For instance, it was not possible to allocate the costs for the Eco Consult/IPAM consortium to the correct output and it did not integrate well in the project's cost management systems. Explanations and negotiations were needed for the analysis and, thus, the results could be biased. Furthermore, the tool did not shed light on the specific aspects where efficiency could be improved.

In chapter 4, we will explain how each OECD/DAC criterion was assessed. To adequately anticipate relevant and likely results and direct the focus of data collection and analysis, a theory-based approach was applied following a slightly reconstructed results model of the project. The evaluation was based on the principles of contribution analysis and relies predominantly on qualitative methods. Since results processes at this level are non-linear and to a certain degree unpredictable, the use of open and semi-structured interviews allows for recording unintended occurrences and results. The evaluation team considered a quasi-experimental design, as this could clearly compare the project treatment with a non-treated group. However, this was turned down, as the four project states do not have comparable conditions with other Amazon states (Rondônia, Roraima, Tocantins, Mato Grosso, Maranhão). In some cases, the evaluation team used information from other states to compare the project results with not treated areas as a control mechanism; for example, the market statistics for socio-biodiversity products or the Brazil nut activities in Mato Grosso.

Method triangulation loops were built in by several routines. Data was gathered from different sources and compared for plausibility. The interviewee selection for each evaluation dimension considered the diversity of perspectives and gender equity. The above-mentioned empirical methods were applied to compare findings against each other. When possible, the applied methods complemented each other, expanding the evaluators' knowledge. In addition, two virtual inception meetings were held with the project team (IntDO8, IntDO10). The team contextualised the changes in public policies and their impacts throughout the implementation of the project and gave indications for priority evaluation questions. At the second meeting, the project team was asked to comment and complement a set of evaluation questions prepared by the evaluation team, associated with the outcomes, outputs and indicators of the project. The team divided the questions into two categories: (1) questions that covered the results and impacts of the project; and (2) those that assessed the quality of the implementation. To ensure validation, an end-of-mission workshop with the project stakeholders took place (InDO11).

Evaluation design

As a result of the respective discussions with the project team and the main partners, the evaluators decided that the analysis would follow the evaluation questions and no specific design would be applied. The empirical methods presented in Table 3 have been **applied for all the five OECD/DAC evaluation criteria**.

Table 3: Empirical methods used in the evaluation

Selection of interview partners	The interviewee selection process started during the inception phase. The project team, main project partner representatives and evaluators jointly set up the list of potential interviewees. A final selection was done by the evaluation team. The selection of interviewees was based on the role in the project, coverage of stakeholder groups, region, gender and availability.
Interview analysis	The interviews delivered the primary and most valuable input to the evaluation. They were carried out using online tools that allow data protection. The collected data from the interviews were analysed and processed in a confidential way so that it could be discussed among the evaluators, project team and partners. The content of the interviews was documented by writing quotes and summaries, which the evaluators read to the interviewee if clarification was needed. The minutes were scanned for keywords and translated into key findings for each interview. The content of the interviews rather than the wording is regarded as central: the aim is to work out the typical and common aspects of the interviews and, thus, raise data richness instead of case counting.
Workshops	Workshops were held at the opening and closing of the mission with the participation of the project team, SAF partners, GIZ officers and the German Embassy.
Focus group discussions (FGDs)	Group interviews were held with each component team, the SAF teams and the members of the marketing chambers. In several cases, stakeholders were interviewed both bilaterally and during the FGDs.
Online survey with link to social media	An online survey with the participants of the training modules for rural extension workers (CapGestão) was carried out using an online survey tool, as this is a mobile tool commonly used by the target group. Since there is no complete mailing list for the participants, they were invited to take part in the survey through social media posts. Interview guidelines and data protection were respected in the process. The survey was open 2-10 October 2020; 46 out of 121 people in the programme (24 female, 22 male) participated.
Document analysis	The objective of the document analysis was to find out retrospective and evaluable information about the project. The criteria applied in the analysis included: purpose, credibility, accuracy/ validity of the document, reputation, and interests (bias) of the author/s. The main questions studied were: Which data had already been collected? Which new data needs to be collected? To what extent could the document be used for triangulation?

The project considers its key stakeholders as those in the public sector institutions that are technically related. Primary stakeholders that are considered in the capacity development strategy include development service providers, both public and private, that assist the business associations of the target groups; they are organised as cooperatives and producers' and collectors' associations. Private companies, NGOs and think tanks are considered as secondary stakeholders. The components worked with different additional stakeholders, which are mapped by each component for capacity building purposes and for each state (DocGIZ68, 72, 74, 75, 76, 77, 78).

All relevant stakeholder groups were reached. **Table 4** shows their participation in the different formats, as well as the attention paid to a balanced composition of stakeholder groups and gender representation. Several interviewees took part in bilateral talks, workshops and other online events. All interviews were conducted remotely, based on open and qualitative guiding questions that were related to the interviewees' knowledge and interaction with the project's implementation.

Table 4: List of stakeholders of the evaluation and selected interviewees

Organisation/company/target group	Overall number of persons involved in evaluation including gender disaggregation	No. of interview participants	No. of focus group participants	No. of workshop participants	No. of survey participants
Donors: GIZ and BMZ	9 male, 6 female	7	4	7	0
GIZ project team, GIZ programme heads, Eco Consulting/IPAM consultants' team, GIZ headquarters in Germany, BMZ representative at the German Embassy					
Partner organisations (direct target group)	8 male, 2 female	5	4	6	0
Ministério da Agricultura, Pecuária e Abastecimento (MAPA)					
Companhia Nacional de Abastecimento (CONAB)					
Other stakeholders (public actors, other development projects, etc.)	13 male, 8 female	21	0	4	0
Câmara Amapá, Câmara Pará, Câmara Santarém, Colegiado Tapajos, Comissão de Alimentos Tradicionais do Amazonas (Catrapoa), Empresa Brasileira de Pesquisa Agropecuária (EMBRAPA), Empresa de Assistência Técnica e Extensão Rural do Estado do Pará (Emater/PA), Fundo Nacional de Desenvolvimento da Educação – FNDE, Instituto Chico Mendes de Conservação da Biodiversidade (ICMBio), Instituto de Desenvolvimento Agropecuário e Florestal Sustentável do Amazonas (IDAM), Instituto Municipal de Agricultura, Pecuária e Abastecimento, Instituto Nacional de Metrologia – Inmetro, Ministério Público Federal do Amazonas (MPF/AM), Prefeitura de Pauini, Secretaria de Desenvolvimento Rural do Amapá (SDR/AP), Secretaria Estadual de Educação do Amapá (SEDAP), Secretaria Municipal de Educação de Santarém (Seduc)					
Civil society and private actors	16 male, 14 female	30	0	0	0
Associação Brasileira de Nozes e Castanhs (ABNC), Associação da Reserva Arapixi, Associação dos Produtores Rurais de Carauari (ASPROC), Associação Nossa Amazônia (ANAMA), Associação Paraense de Apoio às Comunidades Carentes (APACC), Central do Cerrado, CoopAm Altamira, Cooperativa de Produtos Orgânicos da Amazônia, Cooperativa de Turismo e Artesanato da Floresta (Turiarte), Ecochefs, Indústria e Comércio de Cosméticos Natura Ltda., Instituto Conexsus, Instituto de Conservação e Desenvolvimento Sustentável da Amazôni (IDESAM), Instituto de Defesa do Consumidor (IDEC), Instituto de Educação do Brasil (IEB), Instituto de Manejo e Certificação Florestal e Agrícola (Imaflora), Instituto de Pesquisas da Amazônia (IPAM), Instituto Iepé, Mondelez, Okearô Soluções Socioambientais, Operação Amazônia (OPAN), Rede Maniva de Agroecologia (REMA), Sindicato de Bares e Restaurantes do Rio de Janeiro (Sindrio), Strada, Union for Ethical Biotrade (UEBT), WWF Brasil					
Universities and think tanks	1 male, 2 female	3	0	0	0
Universidade Federal Rural do Amazonas (UFRA), Universidade Federal do Pará (UPFA)					
Final beneficiaries (indirect target groups)					
Representatives of local productive associations and cooperatives	5 male, 7 female	7	0	5	0
Participants from all capacity building modules in Amazonia	22 male, 24 female	3	0	0	46 in survey

4 Assessment of the project according to OECD/DAC criteria

4.1 Impact and sustainability of predecessor project

Evaluation basis and design for the predecessor project

Specific aspects of the predecessor project are considered within the framework of the evaluation in order to obtain reasonable results on long-term impacts and the sustainability of the project. This analysis also relates to the coherence and coordination of the bilateral cooperation.

Evaluation basis: The final report (DocGIZ80) and an interview with the project manager (IntDO14) served as the evaluation basis for the predecessor project, as there was no formal evaluation.

Evaluation design: As the predecessor project had a similar scope and laid the ground for the current project, it led to a shift in the approach. The evaluation addressed this under the sustainability criterion, and when assessing the efficiency of innovation and learning.

Analysis and assessment of the predecessor project

There is an evident continuity from the predecessor project, which was preparatory and laid the conceptual ground for the current design. Despite sharp shifts in policies and counterparts, a relatively stable community of practice emerged around the concept of socio-biodiversity markets and learned from failure to implement actions in Amazonia. A strong factor to secure the continuity of efforts is the long-term programme approach, which allow for consecutive projects. The umbrella of the bilateral programme allows GIZ to work along strategic issues with long-term partnerships and to facilitate worldwide knowledge and networks.

Several GIZ and current MAPA staff members were involved in the previous project and remember it well (IntB22, IntDO14, IntDB30). The project was relatively small (EUR 1 million) and in retrospective is seen as a preparation and pilot phase for the current project. Main factors of success and failure for the predecessor project were identified, and the current project absorbed lessons learned and built on the predecessor's results of activities as they were defined.

The intended impact of the predecessor project can still be observed in the context of the marketing strategies for forest products by local communities. The results of the former project laid the ground for the current project: the project's consulting services set the course for the introduction of innovative funding instruments and business models in 2016. This includes the launch of a management consulting programme for organised small farmers in the states of Acre, Amapá, Amazonas and Pará as a regional mechanism for implementing the countrywide MaisGestão-approach, as well as the piloting of a specially tailored edition of the National Programme for Strengthening Cooperatives and Partnerships for Family Agriculture and Agrarian Reform (*Programa Nacional de Fomento e Fortalecimento do Cooperativismo e Associativismo Solidário da Agricultura Familiar e Reforma Agrária,* COOPERAF) in the state of Pará **(**DocGIZ29). The main shift in the predecessor project was to perceive activities of cooperatives and traditional peoples and communities as an economic potential, not as a social problem, strengthening the concept of socio-biodiversity.

Contrary to the current project, the predecessor had the objective of supporting the no-longer existing *Ministério do Desenvolvimento Agrário* (MDA) in its role to coordinate value-added policies designed to promote the sustainable exploitation of socio-biodiversity product chains in the Amazon region. The project

delivered methodological and strategic support designed to improve the M&E instruments that were already in hand. At the same time, it trained MDA technicians and managers to apply these M&E tools. Thus, it intervened in mediating between different spheres of government. A main difficulty of the MDA was to bring policies and programmes into operation. The MDA had some staff concentrated in Brasilia, but no branch offices or extension services in Amazonia.

Several achieved results (output, outcome) from the predecessor project can be identified. For instance, it introduced the market-oriented approach to promote the value creation of socio-biodiversity products of the tropical forest in Amazonia. The focus of the project was to facilitate access to improve economic consulting services for organised producer groups as well as small and micro-businesses. This was achieved by both promoting innovative business and supporting the measures that aim to increase the value of socio-biodiversity in Amazonia.

The results of the predecessor project were only partly anchored/institutionalised in the partner systems. The project's advisory services set the course for the introduction of innovative funding instruments and business models, which took effect in 2016. The project aimed to raise the impact through national policies and programmes, namely the National Plan for the Promotion of Socio-Biodiversity Product Chains (*Plano Nacional de Promoção das Cadeias de Produtos da Sociobiodiversidade*, PNPSB), the PLANAPO, the National Plan for the Strengthening of Extractive and Riverine Communities (*Plano Nacional de Fortalecimento das Comunidades Extrativistas e Ribeirinhas*, PLANAFE) and the Bolsa Verde Programme.

The following factors identified during the predecessor project were considered when forming the current project and remain valid:

- Frequent shifts in staff and responsibilities at federal government level and some states severely affected the implementation.
- Coordination among public institutions remains difficult, especially between environmental and rural development entities.
- The support to innovative business models and business support services was effective in the pilot states. The Federal institutions were able to adjust their socio-biodiversity promotion policies to local needs and specific value chains.
- Marked-oriented models are increasingly accepted in Brazil. However, long-term efforts are needed to reach the objectives, especially at sub-national levels.
- Horizontal and vertical knowledge management is needed. Good dialogue with the different actors involved in socio-biodiversity promotion policies is paramount. Target group organisations have to get more capacity to dialogue at policy level.

Retrospectively, the stakeholders and evaluators agree that the transition from MDA to MAPA has opened up opportunities and brought benefits to the implementation of the socio-biodiversity agenda. The former project was also a starting point for collaboration with global initiatives, private companies and civil society partners. It collaborated with Germany’s International Climate Initiative (Internationale Klimainitiative, IKI), especially the projects, Private Business Action for Biodiversity, and Biodiversity protection through the integration of ecosystem services in public programmes and entrepreneurship (TEEB). This action was funded by the German environment ministry, and also supported MDA/SEAD in the integration of advice in ecosystem services for products of socio-biodiversity.

4.2 Relevance

Summarising assessment and rating of relevance

Table 5: Rating of OECD/DAC criterion: relevance

Criterion	Assessment dimension	Score and rating
Relevance	The project is designed in line with the relevant strategic reference frameworks	26 out of 30 points
	The project design matches the needs of the target group(s)	25 out of 30 points
	The project is adequately designed to achieve the chosen project objective	18 out of 20 points
	The project was adapted to changes in line with requirements and re-adapted where applicable	18 out of 20 points
Relevance total score and rating		Score: **87 out of 100 points** Rating: Level 2: successful

In total, the relevance of the project is rated as successful, scoring 87 out of 100 points.

Evaluation basis and design for assessing relevance

Relevance dimension 1: The evaluators compared the relevant international, national and state strategies and frameworks (see Annex 1) with the strategies and frameworks used in the project's concept. They examined whether the important aspects of the strategies and frameworks were congruent with the design or vice versa. In addition, the interactions between strategies to combat deforestation and the promotion of organic farming and a sustainable collective economy were analysed.

Relevance dimension 2: The evaluation provides an analysis of the target group(s) of the project from the evaluators' perspective. Therefore, the target group analysis, which was carried out with the project team during the inception mission as part of the stakeholder analysis, was corroborated (see section 2.2). The analysis included an assessment of the needs of the target group. The team evaluated the target group's demands in terms of improved conditions through the application of instruments for green markets and sustainable consumption – as well as their needs within the range of the project's objectives' system. The 'leave no one behind' (LNOB) principle was addressed in the analysis. On the basis of the analysis, representatives from partner organisations, other stakeholders (public actors, other development projects, etc.), civil society, private actors, universities and think tanks were sufficiently covered by remote interviews (see list in Table 4). Other stakeholders were involved in the evaluation process as much as possible, but especially traditional peoples and communities were unreachable due to the Covid-19 pandemic.

Relevance dimension 3: The evaluators studied the plausibility of the ToC hypotheses to determine whether the project objective and the project concept were in line with the hypotheses chain. A first assessment of the quality of the design (results model and process mapping) performed in the inception phase was used to analyse if inputs, activities, outputs and the project outcome were adequately mapped in the results model and if the system boundary was clearly defined and plausible. The process map was used to understand how the project's core processes were planned to lead to the outputs and outcomes as well as to the overarching objective (impact). Furthermore, the process map outlined the support processes and steering processes and presented the risk assessment that was updated in the progress and monitoring reports.

Relevance dimension 4: The evaluators reviewed changes in public policy and guidelines, institutional exchanges and the impacts of the political and economic crisis (including the impact of Covid-19) on the project's structure and implementation. Both the desk review and the interviews with the project team and other

stakeholders led to an understanding of how the project responded to the changes through adjustments, redesign and changes in activities.

Analysis and assessment of relevance

The project concept is in line with the relevant strategic reference frameworks:

At the international level, the project is in line with the Agenda 2030 and the Paris Agreement on Climate Action. The project directly contributes to the achievement of SDG 15 (Protect, restore and promote land ecosystems and promote their sustainable use, sustainably manage forests, combat desertification, stop and reverse soil degradation and stop biodiversity loss) (DocGov1, 2) and the implementation of the Biodiversity Convention, in particular to achieve goals 1, 4 and 14 of the strategic plan 2020 of the Convention on Biological Diversity. It also contributes to SDG 2 (End hunger, achieve food security and improved nutrition and promote sustainable agriculture), SDG 12 (Ensure sustainable consumption and production patterns), and SDG 13 (Take urgent action to combat climate change and its impacts), as well as to the international declaration on forest conservation and the UN Framework Convention on Climate Change (DocGIZ29). The project design is also in line with the multi-donor Development Cooperation Programme on tropical forests in the Amazon region. It contributes to the support of national and state policies to promote sustainable use models as envisaged in the BMZ country strategy. With regard to the BMZ sector concepts, the project relates to the BMZ Forest Action Plan, which incorporates the objectives of the New York Declaration of 2014. Specific contributions are made to the field of action 10 (responsible private sector involvement, especially in the development of business models for forest products). The project also addresses the key point 1 of BMZ's Latin America policy (protecting rainforests and combating climate change). Due to both its importance for climate change and to the sheer size of the forest, it is expected that cooperation with Brazil will continue, even considering recent shifts in political priorities by the federal Brazilian Government. Cooperation with Brazil as a global partner is relevant to Germany, no matter what current obstacles might occur (IntDO09).

Photo 2: The project reached traditional communities with management and marketing training (*Source: GIZ*)

At the national level, the project contributes to the implementation of the Brazilian strategies to combat deforestation for the promotion of organic farming and a sustainable collective economy (DocGov3,5,14). It also contributes to the implementation of national strategies to strengthen smallholder agriculture and the sustainable use of forest products (PLANAPO and subsequent plans and programmes, DocGov15). Further contributions are made to the National School Feeding Programme (*Programa Nacional de Alimentação Escolar*, PNAE) and the Public Food Procurement Programmes (*Programa de Aquisição de Alimentos*, PAA). Moreover, the project is in line with MAPA's new vision on bioeconomics and socio-biodiversity in the Amazon (IntDB02). In May 2019, MAPA announced the start of the Bioeconomy Brazil Socio-Biodiversity programme, which intends to establish a mechanism for cooperation between the private and public sectors (private-public partnerships, PPP) to incentivise investments in sustainable value chains for strengthening socio-biodiversity.

The project concept matches the needs of the target group(s):

The project focuses on the core problems and needs of the Amazonian population who are organised in cooperatives, and producer/collector associations, being the target groups. The commercialisation of forest products by local communities is itself located at the intersection between the economic, social and environmental aspects of sustainability. Socio-biodiversity must generate wealth for the populations of the Amazon, which is the most important region for this field of action, but the approach also serves to operate in other biomes. It was a merit of the project to bring the commercial question into the debate (IntDB02).

The project's focus on market access required a reasonable level of organised production to guarantee an economically viable commercialisation. This meant that the project had to interact with already minimally organised structures, like local producer associations or cooperatives. With the given project resources, it was possible to reach a larger number of smallholders than if working with unorganised groups. If a different focus had been chosen (e.g. poverty alleviation), an approach with less organised groups or a greater focus on structuring organisations at more early stages might have been more appropriate. Even so, the project worked on very basic topics for cooperatives and associations that were well adjusted to the needs and demands of the organisations. One example from Amazonas showed that the training programme CapGestão managed to advise an organisation that had previously avoided markets altogether.

> "The CapGestão design was the result of a consultation and evaluation process, the management of farmers' organisations has always been a major bottleneck. Many did not go forward because of this. The presidents of the organisations are farmers and are placed at the stake without preparation and with a low level of education. It is essential to internalise the learnings to share with the managers to minimise the administrative, accounting and financial aspects, manage conflicts and overcome demands. CapGestão touched this wound and the seed was planted (IntZB10)."

The different perspectives, needs and concerns of women and men are represented in the project design. A specific gender module is now an inherent part of the training programme for professionals in rural extension (CapGestão). Especially with the innovative methods to address female participation in socio-biodiversity value chains, the project concept was fine-tuned for gender-specific needs. Even some prominent male cooperative leaders and facilitators have mentioned the gender-related concept as relevant (IntDO14).

> "We have women in the cooperative, but not a group. There is not much differentiation, women work, but there is still a lot of machismo. There is a wide range of opportunities for gender work, not only in the cooperative. I have not been able to develop much within the cooperative yet, the training was at the end of the year and there were many other activities. But I developed a project to apply to the cooperative. There is a group of women who are not members, but they are called to work, because their work is better. So you have to show the value of work, women still don't know the importance and capacity and power that they have in cooperatives. Women need to take the lead and empower themselves, they work, but stay behind men. In our cooperative we have women on the fiscal council, but not on the board. I want to work to put women on the board in the next election (IntZB15)".

The project is designed to reach particularly disadvantaged groups as foreseen in the Agenda 2030 and the LNOB principle. This includes women, youth and vulnerable groups like indigenous peoples. The identified risks and potentials for human rights and gender aspects are included into the project concept.

The project concept is adequately designed to achieve the chosen project objective:

The chosen system boundary (sphere of responsibility) of the project (including its partners) was clearly defined and plausible. The potential influences of other donors/organisations outside of the project's sphere of responsibility were adequately considered (IntSO05).

Internal trade-offs and conflicts with trends and drivers of deforestation are adequately addressed in the project

design and the safeguards analysis. Institutional and private markets complement each other, the public procurement programmes PAA and PNAE caused many individual farmers to join community organisations in order to access the markets. Those who worked only with local fairs saw an opportunity to organise themselves to access public calls, since the purchase limits in the calls increase for cooperatives (IntDB21).

The focus towards the collaboration with more structured cooperatives is also important for creating successful cases in the Amazon (IntDO14).

The activities, instruments and outputs were adequately designed to achieve the project objective. The underlying results hypotheses of the project are plausible. The project adopted several approaches to improve commercialisation: institutional markets, training, direct links with cooperatives to increase access to public and private markets (IntDO14). Before and after the political changes, Green Markets offered a bridge approach to economic use, on local (e.g. school feeding), national and international level (e.g. PPP Natura/Symrise) (IntDO09).

Green Markets managed to give visibility to results on issues that the federal government would not have been able to tackle on its own in the Amazon region. The strategy of getting closer to the states proved correct. The permanent negotiation process between the federal and state levels created spaces for dialogue between those levels, as well as with civil society and the private sector (IntDO09). Providing answers became even more relevant and urgent because the value of the Amazon rainforest and the disregard of local and traditional populations are at stake (IntSO7).

The project design was adapted to changes in line with requirements and re-adapted where applicable:

The project was not changed but managed to adapt to several contextual changes. At the federal level, the project faced contradictory and conflicting policies, as each presidency followed a different approach to forest conservation. The project was designed under the presidency of Dilma Rousseff (until August 2016), then was adjusted during the presidency of Michel Temer (until December 2018) and changed again when Jair Bolsonaro took office in January 2019. The project went through political turmoil, changes in the political-ideological stance on family farming, the dissolution of the MDA and migration to MAPA. Along with that, staff was changed at all levels. A focus of the evaluation was to draw conclusions and lessons learned on how the project managed to keep up its relevance in time of radical policy shifts.

In contrast to projects that came into conflict with ideological catchphrases that are currently seen as red flags (like indigenous peoples, land rights, traditional peoples, NGOs), the Green Markets project was not at the centre of the agenda and does not prevent economic use. Indeed, it is seen as a positive agenda that does not take anything away from anyone. In the meantime, even the agricultural lobbying is bothered by high deforestation rates and has shifted towards more moderate positions. Even so, the project's strategy is not indicative of the overall macro-political behaviour of the government. Macro-politics still aim at weakening social and environmental aspects, albeit without completely overturning laws. For this purpose, alternative mechanisms are used, such as the reduction of budget and a reduced release of funds (IntDO09). Green Markets/bioeconomy, however, means more than 'does no harm'; it fits in with the government's focus on the economic development of the Amazon and is, therefore, supported. Development cooperation can shape its approaches on this basis, but it must maintain the focus on sustainability and involve the smaller partners (although not exclusively) (IntDO09).

Stakeholders commented on their efforts to keep the project implementation active through difficult times (IntDO3,6,8,9, IntDB2,19,21). Under troublesome conditions, the project design stayed relevant to the stakeholders, even as the counterpart ministries were changed and underlying policies and the project's main reference programmes were discontinued. These policies and programmes remain merely paperwork if there is no political will, an action plan, staff and budget to implement effective activities on the ground. Several national

policies and programmes that the Tropical Forest Programme related to (DocGIZ5) are not implemented any more by the Brazilian state, even if the documents are still online. The de facto end of the deforestation action plan PPCDAm and the official hard end of the PLANAPO left the project implementation relatively stable. PLANAPO ceased to exist at the federal level but the project supported the states in the Amazon region that started developing their own agroecology policies (IntDO7). However, the project's orientation to PLANAPO was unfavourable and resources and efforts devoted to output 2 (especially the design of a knowledge management system for the programme) were lost (IntDO14).

The project helped make the transition to MAPA and to address issues that had not previously been dealt within the ministry. The SAF joined MAPA with the project's working lines as flagships. This helped to open the door and make the transition, in addition to building agendas with other partners. Within MAPA, the project was a reference for the agendas of family farming, extractivism and the Amazon region (IntDB30), helping to establish a different perspective (IntDB21).

The project team together with the key stakeholders developed skills to keep the project relevant by adjusting to change while maintaining the objective (IntDB02). The integration into MAPA allowed an approximation with other strategic areas, as well as access to other instruments. The project is currently situated in the Market Access Department, responsible for the commercialisation of family farming, which assimilated the project better than the socio-biodiversity area at SEAD (previous partner). The stakeholders felt that public policies for family farming over the past 20 years have been so strong that even the changes have failed to eliminate them (IntDO14).

4.3 Effectiveness

This section analyses and assesses the relevance of the project.

Summarising assessment and rating of effectiveness

Table 6: Rating of OECD/DAC criterion: effectiveness

Criterion	Assessment dimension	Score and rating
Effectiveness	The project achieved the objective (outcome) on time in accordance with the project objective indicators	36 out of 40 points
	The activities and outputs of the project contributed substantially to the project objective achievement (outcome)	25 out of 30 points
	No project-related negative results have occurred – and if any negative results occurred, the project responded adequately The occurrence of additional (not formally agreed) positive results has been monitored and additional opportunities for further positive results have been seized	27 out of 30 points
Effectiveness score and rating		Score**: 88 out of 100 points** Rating: Level 2: successful

In total, the effectiveness of the project is rated successful, scoring 88 out of 100 points.

Evaluation basis and design for assessing effectiveness

When assessing the effectiveness of a project, the key question is: Does the project achieve the objective agreed upon in the mandate according to indicators? The objectives and indicators at project objective (outcome) level are used to answer this question. For the evaluation, this means first checking the quality of the objectives and indicators. Evaluation bases are the objective indicators and the (selected) hypotheses.

Effectiveness dimension 1: The results matrix, progress reports, monitoring data; interviews and discussions; and the final reports on the indicators were used to evaluate if the project achieved the objective (outcome) on time in accordance with the project objective indicators.

Effectiveness dimension 2: The empirical methods used for the evaluation dimension 2 are similar to those applied for the dimension 1. The foundation for the evaluators' work here is the results matrix, the updated results model and the process map. The causal links between the outputs were analysed to check if the activities, results and outputs of the project contributed substantially to the project objective achievement (outcome). Especially the interviews with the project team and with the partners in the states and pilot regions provided meaningful information on this evaluation dimension. Interviews and discussions with the project management and key partners in the state administrations were conducted and analysed to verify the risk analysis in progress and monitoring reports,

Effectiveness dimensions 3 and 4: It has been assessed whether the occurrence of additional (not formally agreed) positive or negative results has been monitored by the project and additional opportunities for further positive results have been seized. The empirical methods used for evaluation dimension 3 focused on a risk analysis, using the project's monitoring system and progress reports, as well as conducting open and semi-structured interviews, either individually or – if appropriate and possible – in virtual groups. Qualitative data collection and analysis for this part was carried out during the inception and evaluation missions through interviews and discussions, mainly with the project team and the monitoring expert. During the inception mission, the evaluators collected change statements that contributed to the project.

Evaluation design for all effectiveness dimensions: As a result of the respective discussions with the project team and the main partners, it was decided that the analysis would follow the evaluation questions. Results at outcome level were assessed and causal links to the projects activities, results, instruments and implementation strategies were established by applying plausibility criteria. The updated results model and the process map provided a good basis for this procedure. The contribution analysis using the hypotheses was applied. The two hypotheses jointly formulated by the evaluators and the project team under the effectiveness criterion reflect the main intervention logic.

Hypothesis 2 concerns the project's capacity development strategy for delivering training programmes (mainly CapGestão) and knowledge tools to rural advisors through public and private partners. Their improved services should then enable cooperatives and smallholder farmers' associations to widen the market access for socio-biodiversity and agroecology products. This casual relation is shown in the ToC for output 2 (Figure 2).

Hypothesis 3 concerns the project's innovative instruments that were introduced through value chain development, campaigns, branding, national dialogues, and promotion events. These results and outputs should lead to increased private sector engagement and consumer awareness for sustainable socio-biodiversity and organic farming products from Amazonia. This casual relation is shown in the ToC for output 3 (Figure 2).

Three key questions were asked on this step of the contribution analysis: What evidence can be found that the targeted results actually occurred to confirm or disprove each individual hypothesis? How did the project

contribute to the results that can be observed? What were alternative explanations and the influence of external factors and risks?

All project outcome indicators largely meet the SMART criteria and could be used as evaluation basis:

Table 7: Effectiveness outcome assessment according to SMART criteria

Project objective indicator according to the offer/original indicator	Indicator achievement according to final monitoring (DocGIZ98, 100) and comment	Assessment according to SMART criteria
Project outcome indicator 1: The value of Amazonian socio-biodiversity and organic farming products in the National School Dining Programme (*Programa Nacional de Alimentação Escolar* – PNAE) and the Food Buying Programme (*Programa de Aquisição de Alimentos* – PAA) is doubled in two assisted areas of the SEAD. **Base value (31.12.2018)**: BRL 1,357,776.18 (South Amapá BRL 862,844.76 and south Amazon state BRL 494,931) **Target value**: BRL 2,715,552 **End value**: BRL 3,200,312. End of project report **Source**: Baseline study (2018 survey after the territories were defined in December 2017) and follow-up surveys at the end of the project – no interim surveys are planned.	In 2019, products of socio-biodiversity and agro-ecological farming worth BRL 3,200,311.97 were marketed in the two priority regions of the project as part of public procurement programmes. This corresponds to **an increase of 146%** compared to the base year 2017. The target value was, thus, clearly exceeded. A key factor for success was the advice given to local buyers who, due to unclear general conditions, often act uncertainly when designing the tenders. They, therefore, often preferred well-tried tendering procedures, which usually led to the procurement of food from conventional sources. A specific training programme called CapGestores developed by the project to prepare local procurement managers to adopt procedures that enable them to buy socio-biodiversity and organic products proved to be very helpful here. These experiences were documented in a publication (DocGIZ97) and made available to the public.	**Specific**: yes. **Measurable**: yes. **Achievable**: yes, at the end of the project term. **Relevant**: yes, relevant for measuring the essential dimensions and at the correct results level. **Time-bound**: yes, achievement until the end of the project term.
Project outcome indicator 2: The number of medium-sized and large companies that communicate to the end consumer the ecological and social added value of their products made with ingredients from socio-biodiversity and organic farming has increased by 50%. **Base value**: 15 **Target value**: 23 **End Value**: 24 **Source**: Baseline study and follow-up surveys	In August 2020, 24 companies that met the criteria of the indicator could be identified. The target value was, thus, **reached by 104%**. In the last months of implementation, the partnership with the NGO Imaflora proved to be very helpful in attracting new companies to actively communicate sustainability aspects of their respective value chains and to enable them to do so. Imaflora was advised to establish a new business area that would put the expansion of its partnerships with companies on an economically viable basis. Thus, even after the end of the project, new companies could be won as buyers for sustainable Amazon products, such as the Colorado Brewery with an Amazon beer, the marketing of which is linked to a campaign to reduce	**Specific**: yes, in the four Amazon states. **Measurable**: yes. The time and effort required to check the measured values is demanding, but still in a reasonable ratio to the relevance of the indicator and the total volume of the measure. **Achievable**: yes **Relevant**: yes, for measuring the essential dimensions and at the correct results level. **Time-bound**: yes. The target value of the indicator can be achieved at the end of the project term.

	deforestation rates.	
Project outcome indicator 3: Two groups of stakeholders involving government and civil society organisations (e.g. marketing chambers) use gender tools in the planning of policies and programmes, with which the income and working conditions of women in the context of enhanced market access for two value chains of socio-biodiversity are improved. **Base value**: 0 **Target value**: 2 groups of actors have applied gender tools **End value**: 5 **Source**: Documentation of the planning and the measures implemented; Documentation of the learning experiences of the partners involved.	Five groups of actors have used gender tools in the planning of measures and programmes aimed at improving the income and working conditions of women within the framework of expanded market access. This represents an **achievement of 250%.** After individual participants in these groups learned how to use the tools during a training course on the project, they were also advised by the project staff on how to use them in their immediate surroundings. The feedback from those involved showed that the proposed methods for gender-sensitive planning were very helpful in providing a new perspective on the challenges and the options for action in the value chain.	**Specific**: no. Only partly clear on who does what. **Measurable**: yes. **Achievable**: yes. **Relevant**: yes, considering that this is a new instrument. Two cases of use will not have substantial impact on the target group. **Time-bound**: yes, even though some activities were postponed to July 2020 due to the pandemic.
Project outcome indicator 4: Cooperatives and smallholder farmers' associations in the four states of Acre, Amapá, Amazonas and Pará increase their sales of socio-biodiversity and organic farming products by 20% after adjustment for inflation. **Base value**: BRL 688,800 **Target value**: BRL 826,560 (plus inflation) **End value**: BRL 921,890 **Source**: Baseline (sample of 36 cooperatives in the project regions)	Due to the contact restrictions during the Covid-19 pandemic, access to sales data from 2019 was limited. The values from December 2017, 2018 and 2019 were available for eight cooperatives. In this sample, the average turnover of the cooperatives rose from BRL 1,169,000.00 to BRL 1,560,000. This corresponds to an increase of 33.84%. In the period from December 2017 to December 2019, the cumulative inflation in the National Broad Consumer Price Index (*Índice Nacional de Preços ao Consumidor Amplo*, IPCA) provided by IBGE was 8.69%. After deducting inflation, real sales growth of 25,15% remains. If this growth is extrapolated to the entire baseline, **the average turnover of the cooperatives in the Amazon region with products of agroecology and socio-biodiversity in 2019 is BRL 921,890, adjusted for inflation BRL 841,778, the project goal was, thus, achieved**. Sales growth was achieved both by expanding production and sales volumes and by creating higher quality products through innovation and additional value	**Specific**: yes **Measurable**: yes, through project survey based on 50 cooperatives frequently contacted by Eco/IPAM. The time and effort required to check the measured values is demanding, but still in a reasonable ratio to the relevance of the indicator and the total volume of the measure. **Achievable**: yes **Relevant**: yes, for measuring the essential dimensions and at the correct results level. **Time-bound**: yes. The target value of the indicator can be achieved at the end of the project term.

	creation in the cooperatives. Innovative marketing strategies also played a very relevant role. For instance, the small farmers' association ASPROC was able to increase the price achieved for its pirarucu fish by 330% by using appropriate campaigns for sustainable consumption and the creation of its own brand to reach high-priced market segments in bars and restaurants in Rio de Janeiro and São Paulo.	

Analysis and assessment of effectiveness

The project achieved the objective (outcome) on time in accordance with the project objective indicators: As shown in Table 8, the evaluation team comes to the conclusion that all four project outcome indicators were achieved by the end of the project. Some minor deductions to the score result from the analysis described above.

The activities and outputs of the project contributed substantially to the project objective achievement (outcome):

Photo 3: The project led to different ways of marketing and distribution (*Source: GIZ*)

The contribution was analysed by establishing the relations between the output indicators and the outcomes. Outputs that were not achieved at the end of the project because of the pandemic, were continued by the GIZ team and the stakeholders in the months afterwards. Some of the indicators' measurement was done in August 2020.

Table 8: Achievement of output indicators

Output indicators	Achievement in %
Access to public programmes – Indicator 1.1	98
Regional marketing chambers – Indicator 1.2	100
Knowledge management for marketing – Indicator 2.1	100
Replication of good practices – Indicator 2.2	120
Qualification of rural advisors – Indicator 2.3	121
Private sector partnerships – Indicator 3.1	100
Media coverage – Indicator 3.2	147
Sustainability labelling – Indicator 3.3	150
Action plan for bioeconomy – Indicator 3.4	100
National dialogues – Indicator 3.5	100

The project team highlighted the numbers referring to advice by rural assistance technicians and the replication of actions, increases in revenue, the number of cooperatives and associations benefiting from the training, which the monitoring metrics prove. There was a change in the improvised way the cooperatives look at marketing, which is part of everyday life. The project brought professionalism to deal with public and private markets (IntDO14).

The project can be considered as a best practice in the effective use of communication and visibility tools. The publications are well edited and widely used in training and marketing activities. Beyond the usual visibility, the project has built lasting communities of practice by using social media platforms. These communities increased their interaction during the pandemic, even after the end of the project. The evaluators suggested to the project team and consultants that they continue this valuable work and document it for the use by other projects.

No project-related (unintended) negative results have occurred – and if any negative results occurred, the project responded adequately:

Negative results were not detected through either the projects risk management system or the interviews. The survey confirmed that, however, there were difficulties in implementing the approaches and instruments of the training modules in the cooperatives, especially during the Covid-19 crisis.

Hypothesis 2 can be confirmed. Project activities built the capacity of the agricultural advisors. If they provide their services, socio-biodiversity and agroecology producers prove to get a better market share.

CapGestão's initial goal to revise the government’s policy guide for the already existing Mais Gestão programme was ambitious. There was a lack of timing in the link to the Mais Gestão announcement, causing delays and mismatches. In the end, CapGestão did not serve its original purpose, but achieved its own merits in implementing a programme with good facilitators who encouraged critical analysis and trained more than 120 professionals from 59 public and private rural extensions services, as well as a smaller number of advisors who work directly in the cooperatives (IntSO05).

The total number of families benefiting from improved counselling services increased by 110% to 5,062 families in 46 municipalities. In a final survey of the participants, 82% believed that the quality of their work, which is related to the course content, had improved (Indicator 2.3). The capacity development programme CapGestão was vital for qualifying and expanding knowledge to access the market. The government is perceived as very distant and the project provided proximity and knowledge. There is potential for multiplication in the use of the developed tools (IntDB21). The impacts of CapGestão will be verified over time – it is therefore important that post-project there is a monitoring of what is being applied, who is doing other types of training, etc. (IntSO04).

CapGestão brought an aspect to technical advice that was not seen before: management. The participation of technicians from all rural technical assistance organisations promoted a broad understanding of what it means to train technicians in management. The aspects of management need to be understood as a whole, but it is relevant to continue with investments in public rural technical assistance to ensure a continued performance (IntSO04). The trainings brought a systemic look to face the challenges of organisations. The participation of young people and women proved particularly important to boost organisations (IntSO13). In general, the technicians work with production and some marketing, but not with management. The programme offered the possibility to reflect and internalise these aspects (IntDO14). Longer training courses such as CapGestão promoted the constitution of networks of trainees and trainers. The sequence of modules and inter-modules promoted the articulation between theory and practice, facilitating feedback, absorption of learning and adjustments, such as the inversion of the order of tools and steps and customisations (IntSO04).

CapGestão had a dropout rate of approximately 30%. Those who gave up did it because the organisation had

no money or time to guarantee the applications, but even those who failed to complete the training learned (IntZB7). CapGestão emphasised that technicians are a tool and development initiatives must come from the cooperative members. Thus, it is also important that technicians do not blame themselves so much when tasks do not work or do not generate results; sometimes the organisation is just not mature enough. It is necessary to overcome paternalistic analyses, let organisations learn on their own and value technicians (IntZB6).

The survey on CapGestão trainees (see Annex 2) showed a very good training uptake, but low implementation. The rollout of the new capacities was still blocked by the Covid-19 lockdown at the time of writing. The data showed that CapGestão participants concentrated more on cooperatives and family agriculture after the training. Most effective – according to the participants – was the training on management capacities and the access to public markets (PAA, PNAE). Least effective was the access to credit, which seems to be the cooperatives' most desired effect (IntZB9).

> "When CapGestão started, we held meetings to assess how we were doing and where we could improve. I used many tools, learned the theory and applied it to the fullest. It improved the transparency and accountability of the cooperative, it was very important to learn to evaluate the market. The course can be for both the cooperative managers and the rural assistance technicians, it gives a broader view. At first, I thought it was strange to be a member and technician of the cooperative. In the first module I learned to put myself in the third person, without interfering, it taught me to make the cooperative meetings more productive and to gather people's ideas and not to influence. Producers have an opinion, but they are ashamed to speak, participation has greatly improved (IntZB15)."

> "I found it difficult that the cooperative's expectation was that CapGestão will arrive with solutions. But 80% of CapGestão is raising reality, seeing oneself and defining results. Then we had a drop in mobilisation, the cooperative was not prepared in terms of organisational maturity. But the Venn diagram showed that the cooperative members did not know the cooperative and the planning was very simplistic. The goals were only for revenue, there was no reflection on product diversification, markets, etc. Thus, the tools reached a limit. But as far as they were able, they had results and took advantage of self-knowledge (IntZB6)."

The projects strengthening of organic products helped to face the pandemic with increased social capital, motivation, importance of governance, exchanges, and participation in events (IntDO14). In this sense, Covid-19 brought a path of no return: the universalisation of knowledge must necessarily pass through digital inclusion. The future must lie in high quality semi-face-to-face systems (IntSO04).

CapGestão and other training activities provided an emergency response by bringing conceptual elements and tools for those who are working, though a longer-term oriented solution is needed – especially for training and strengthening young leaders in associations and governments. Professionalisation based on the reality of the Amazon is fundamental. In this regard, it is important to differentiate between undergraduate and postgraduate courses and provide a complementary offer for those in the medium level (IntSO7).

The CapFeiras training sessions demonstrated that the practical preparation of cooperative representatives, ranging from understanding the rules and operation of trade fairs to guidance on how to relate to buyers, has the potential to change the results that cooperatives can obtain.

> "I participated in CapFeiras and Biofach; it was essential. It started with coaching, helping how to go to the fair, what I needed to take with me, e.g. for documentation. Before, I participated in the Chocolate Festival in Belém, but it does not compare. There was the preparation of the video classes, it was a short course teaching what to bring along, how to behave, what we would see at the fairs. It was my first international trip. It was accompanied by our trainer, it was through her that we got to know customers and markets, how the product is, where the cocoa beans fit in, how to sell. We did not close deals at the fair, but we had a previous buyer in Austria with whom we had lost contact and were able to reattach at Biofach. There would have been a 70% chance of closing the deal had it not been for the pandemic. We saw that fairs are the place where you get to know the market, because when looking for companies on the internet, there are many, but fairs really help you find them. Coopoam had already been to Biofach in other years, but in the other years we visited one or two stands, we did not get contacts, we did not participate in

> business rounds with companies. Now we have brought a pile of contacts and potential new customers and we are exchanging emails (IntZB15)."

The project also advised SAF/MAPA on how to develop and apply innovative instruments using information and communication technologies for the collection and management of knowledge and information by the employees of the rural advisory services and other stakeholders (DocGIZ98, 100, IntDO8). Successful and promising experiences in the marketing of sustainable Amazon products were analysed, systematised and made available to the relevant actors in a revised form, for instance, in the form of didactic material that is used by the rural advisory services. In order to identify these examples and to exchange experiences, cooperation was also carried out in international networks, for example Mercosul, in the context of the regular meetings on smallholder agriculture.

Hypothesis 3 can be confirmed. The project's cooperation with the private sector opened market access for socio-biodiversity and organic farming products.

At the local level, the project operated by empowering rural advisory services to advise companies and cooperatives on the development of marketing strategies. In the prioritised areas of promotion, the marketing chambers were supported in strategy formation. In order to identify relevant potential and to ensure gender equality, gender analyses (DocGIZ15,17,65,67,69) played an important role in strategy formation. The project's advice also included the integration of ecosystem services and the social and ecological added value generated by the products in question into the company's communication strategies.

New partnerships with the private sector were initiated to leverage additional resources to invest in sustainable production and marketing systems. Investment funds play an important role, particularly ethical investments, which strive for profit while generating social and ecological impact. These so-called impact investors can make a decisive contribution to sustainable land use as well as to strengthening sustainable value chains in the Amazon.

At the national level, consumer campaigns to promote sustainable consumption of Amazon products were supported to ensure that these products were focused more strongly to urban consumer groups. The project promoted the marketing channels for the products of the cooperatives and small farmers' associations in both the form of processed products to other companies and directly to the end consumers. The most relevant value chains for marketing the products belong to the food and cosmetics sector. Strategies for the labelling and differentiated marketing of sustainable products play a special role, so that the social or ecological added value associated with them is rewarded by better marketing conditions.

Sales increases resulted both from the expansion of production and sales volumes, as well as by creating higher quality products through innovation and additional value creation in the cooperatives. Innovative marketing strategies also play a very relevant role. For instance, the ASPROC smallholder association was able to increase the price of its fish by 330% by campaigning for sustainable consumption and creating a collectively owned brand to access high-priced market segments at bars and restaurants in Rio de Janeiro through gastronomic festivals. Bringing back the almost extinct pirarucu (an Arapaima fish) to the table with the sustainable management logo 'Gosto da Amazônia' was mentioned as a breakthrough in several interviews.

The pirarucu experience had impacts for other Amazonian products: the gastronomic festival model could be a chance for other Amazonian products, but there was a lot of investment in the preparation. Many other Amazonian value chains still suffer from a lack of structure and informality, organisations are not able to present proposals, make pricing, etc. Replication of the pirarucu experience will not happen organically – products have to go through preparation steps to take advantage of this potential. The existence of the pirarucu brand and restaurants already aligned with the concept of the festival would be favourable for the expansion but promoting other products would need specific distribution and sales logistics (IntSO15).

The project also showed that traceability depends in which markets the cooperatives operate and which ones they want to reach. Most cooperatives still get 80% of sales from public policies. These started to give attention to other aspects like organic products, but the focus is still heavily placed on correct documentation, sanitary requirements, etc. (IntDO14). There are several opportunities in both domestic and international markets. Fair trade can play a relevant role in distributing the gains within the value chain and there is significant demand for socio-biodiversity products by high standard consumers in big Brazilian cities (IntDB02).

It was important for the cooperatives to understand that in order to meet the characteristics of the markets, it was essential to have management, health security, and ensure environmental specifications. Brands, seals, standards and traceability, along with activation campaigns, made it clear that it was not just about advertising. It was necessary to have governance, a control system and quality assurance, regardless of whether the market is a local fair or a consumer in Europe (IntDO14).

Market players such as cooperatives, manufacturing and processing companies, associations, retailers, certification organisations, as well as NGOs and government institutions were advised on strengthening and creating initiatives and instruments for market launch and differentiated marketing of sustainable Amazon products (certification, seals, etc.). In order to strengthen marketing options at the international level, MAPA's Department for International Affairs was advised on the preparation for participation in international trade fair events. Cooperation with the Agency for Promotion of Exports and Investments (*Agência Brasileira de Promoção de Exportações e Investimentos*, APEX) as part of the Organics Brazil Initiative was planned.

The project also supported the multi-institutional dialogue processes for Brazil nuts and açaí berries, two priority value chains of socio-biodiversity products. Five thematic workshops were held for each value chain to strengthen the technical and policy dialogue between the main stakeholders. Between 25 and 30 organisations participated in the events, covering companies, community organisations, government bodies and support organisations. The national dialogues took a long time to mature and face-to-face meetings were overwhelmed by a very ambitious agenda. The virtual meetings were successful, but when they started to work, the project ended. The partnership with other projects were crucial to support the initiatives for the (IntSO5). The dialogues helped bring partners together, such as MAPA and Inmetro (*Instituto Nacional de Metrologia*), the institute in charge of developing technical standards and representing Brazil in sustainability standards forums (IntDO7). The experiences from the dialogues were consolidated in the policy briefs for Brazil nut and açaí, which are being used to guide MAPA's work. Documents about organic fairs and pirarucu with the aim to contribute to the regulatory work were also drafted (IntDO7).

> "The dialogues were the initiative to act in large chains. The starting point was the analysis of powerful, but disorganised and individualised chains. The dialogues were a lighter process than the commercialisation chambers, compatible with the general reduction in the spaces for dialogue. Round tables are not created top down and need a concrete problem to mobilise. The challenge was how to bring in private initiative, having sustainability standards as the guiding line. Nobody wanted to discuss this topic and initially GIZ did not conduct the process in a didactic way. The broadening of the approach allowed to summon the actors. The gains were to light a small spark in a troubled general context, showing that it makes sense to be together. The dialogues had some troubles, but they generated alerts and triggered bilateral processes, but they are difficult to monitor (IntSO15)."

The future challenges for the dialogues are how to renew the approach, bring the guidelines and convert them into results (with MAPA). In the discussion on sustainability standards, it is necessary to calibrate the discussion and guide through the profusion of models (IntSO15). Bringing the business sector into the dialogues process was a gain, but stakeholders pointed out that it takes about five years to integrate a company that is new to the circuit. Therefore, strategies to know what is wanted from each company are needed: inspiration from pioneering companies, make the transition feasible or interact with companies that think there are no problems in the chain and that the problem is the media or communities that complain a lot. It is necessary to have pilots to do the entire process of incentive, investment and communication in specific

cases (IntSO2).

The project stimulated and supported the preparation of cooperation with the private sector, especially with direct engagement of companies through the DeveloPPP mechanism. During the project's lifetime, the partnership started with the companies Natura and Symrise, from the fragrance and cosmetics sector. Synergies in the implementation were exploited, for example in the design of training programmes and the preparation of cooperatives for participation in trade fairs. Two other partnerships in the field of agroforestry systems promotion are in preparation. DeveloPPP is an interesting mechanism to foster private sector engagement and for the complementary design of the projects, but its applicability in the context of sustainable resource use in Amazonia is limited. The DeveloPPP mechanism is suitable for large companies, which are able to meet the formal requirements of the DeveloPPP programme in terms of turnover and number of employees. MAPA has shown interest in developing a modified approach that could enable the participation of smaller and national companies in Amazonia and increase its potential (IntDB02). Including non-European companies was a good step in this direction. It is still time-consuming for the project team to make contact and encourage the engagement of new companies (IntSO2). Beyond the specific conditions of the DeveloPPP approach, greater commercial courage is needed in bringing organisations closer to the private sector: exposing organisations to the world market and to private initiatives to make raw material supply contracts feasible. The business to consumer market also provides a step in this direction, as consumers are interested in the history and production process of the product, leading to new marketing opportunities for the Amazonian cooperatives. (IntDO14).

Finally, the project supported educational and promotional campaigns to raise awareness among buyers and consumers about social and environmental added value of Amazonian products. However, the project's resources were limited for a professional approach to advertising campaigns. Concrete campaigns at the local level were more successful; for example, for the organic producers' network Rede Maniva, as well as the 'The Brazil nut can save the Amazon' campaign in cooperation with the Brazilian Association of the Nut Industry (IntDO7). The Maniva Network is now very well positioned and oriented to the consumer, particularly on its social networks. Consumers who go or have the potential to go to fairs are informed there (IntDO7). Another important milestone was the participation of ABNC, an actor who was perceived as a 'stranger' to the discussion on sustainability but is now willing to listen and participate in the Brazil nut dialogues (IntSO5).

4.4 Impact

This section analyses and assesses the impact of the project. It is structured according to the assessment dimensions in the GIZ project evaluation matrix (see Annex 1).

Summarising assessment and rating of impact

Table 9: Rating of OECD/DAC criterion: impact

Criterion	Assessment dimension	Score and rating
Impact	The intended overarching development results have occurred or are expected	20 out of 40 points
	The outcome of the project contributed to the occurred or expected overarching development results	26 out of 30 points
	No project-related negative results at impact level have occurred – and if any negative results occurred, the project responded adequately The occurrence of additional (not formally agreed) positive results at impact level has been monitored and additional opportunities for further positive results have been seized	25 out of 30 points
Impact score and rating		Score: **71 out of 100 points** Rating: Level 3: moderately successful

Evaluation basis and design for assessing impact

Impact dimension 1: The following sources were used to define the criteria against which the impact was measured: programme and project proposal, particularly the results matrix and the results model. The assigned identifiers – as outlined in the project proposal and the Agenda 2030 – have an impact on social, economic and ecological dimensions. For the empirical methods for the impact dimension 1, results at impact level were assessed and causal links were made to the project activities, instruments and implementation strategies, as well as to the outcome. The updated results model and the process map provided a sound basis for this procedure. Other methods comprise the review of internal (project and GIZ documents) and external documents and literature, as well as conducting open and semi-structured interviews and group discussions (IntDB24,32, IntDO8,11,14).

Impact dimension 2: The hypotheses from the results model selected for assessing the effectiveness (project objectives, outcome) were examined in more detail to explain plausible relationships between projects outcomes and impacts. A discussion of a counterfactual situation (what would have happened without the project) was included in qualitative terms using interviews with different stakeholders. Two of the four formulated hypotheses have been selected to describe the impact of the project. They reflect the main assumptions in this respect and mirror the most relevant processes according to the project team and the main project partners.

Hypothesis 1: Technical advice and studies in the field of agroecology and socio-biodiversity products and dialogue of stakeholders will lead to better access to public markets for cooperatives and smallholder associations – linking output 1 with outcome and impact levels, see process 1.

Hypothesis 4: Strategic advice to regional marketing chambers and their coordination with state, private and civil stakeholders will lead to localised regulation and public market access for local products of smallholders and traditional communities – linking the outputs 1 and 2 (Indicator 1.2) to the impact level, see process 1.

For the empirical methods for the impact dimension 2, the ToC, in particular hypotheses 1 and 4, the results model, the process map, progress and monitoring reports, and interviews and group discussions were

analysed and discussed (IntDB24,32, IntDO11,14). An analysis and discussion of further documentation providing information on framework conditions in the relevant sectors, as well as federal and state interventions also took place.

Impact dimension 3 and 4: Relevant documentation – particularly monitoring and progress reports and context analyses – were analysed and information from the workshops, discussions and meetings was gathered in the course of the inception and evaluation phases. For the empirical methods for evaluation dimension 3 and 4, important aspects were discussed with project management, staff and partners. In addition, project documentation, monitoring and progress reports were analysed, and information was gathered through discussions and interviews.

Impact design for all evaluation dimensions: It was agreed that the assessment of the impact criterion will be hypotheses-based. The respective hypotheses have been jointly formulated in a workshop. Furthermore, it was agreed to follow the evaluation questions as outlined in the evaluation matrix. Additional questions raised by the partners were included as specifications to the standard evaluation questions.

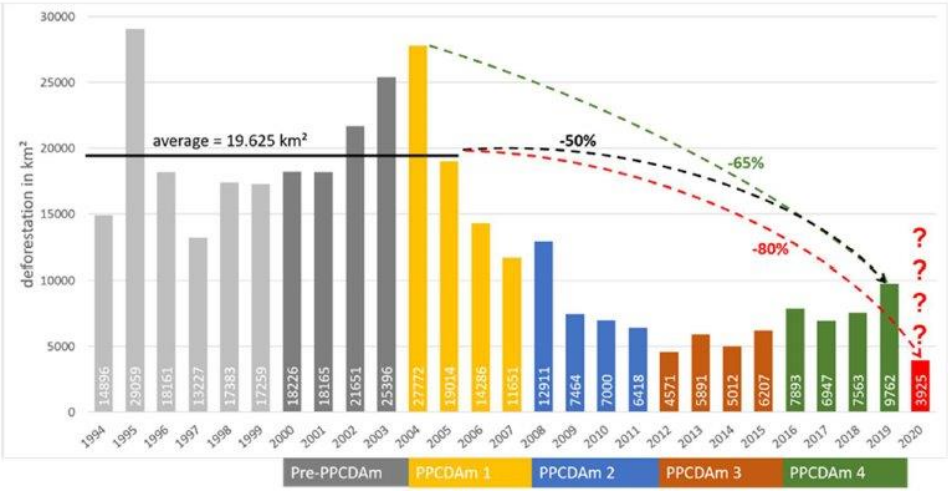
Analysis and assessment of impact

Intended overarching development results

The outcome of the project contributes to the overarching development results (occurred or foreseen). The occurrence of additional (not formally agreed) positive results at impact level has been monitored and additional opportunities for further positive results have been seized. As previously mentioned, this evaluation covers the Green Markets project but not the entire Tropical Forests Programme. However, the programme is the framework to measure the impact and has not been evaluated. In addition, the political framework conditions have worsened in recent years. The programme is under revision and bilateral cooperation is at stake.

National policies and programmes were supportive to the project but have lost impact themselves. Over the first three phases of implementation (1st phase: 2004-2008; 2nd: 2009-2011 and 3rd: 2012-2015), the PPCDAm (DocGov5) helped produce a series of results that enabled the sharp reduction in the Amazon deforestation rate (see Figure 3). Thus, there was evidence of the previous impact of this approach, which the project built on.

Figure 3: Deforestation in Brazil's Amazonian region, 1994-2019



Source: DocGIZ100

Brazil's remarkable progress in the mitigation of forestry emissions observed since 2004 was reversed in 2015. Deforestation and the resulting emissions increase have recently picked up speed again, with the 2019 dry

season breaking records in deforestation and forest fires. The Bolsonaro administration, supported by legislators who have traditionally opposed forest protection policies, has continued with the weakening of environmental institutions, including substantial budget cuts, which have severely reduced Brazil's ability to monitor, inspect and prevent environmental crimes, including illegal deforestation (Web63). Deforestation in the Brazilian Amazon over the past 12 months has reached the highest level since monthly tracking began in 2007, according to official data released by the National Space Research Institute (*Instituto Nacional de Pesquisa Especial*, INPE) (Web64, Web100). Between August 2018 and July 2019, the destruction of the Amazon forest reached 10,129 km^2, an increase of 34% over the previous period. In 2020, the preliminary deforested area is 11.088 km², corresponding to another 9.5% increase. This scenario is accompanied by an increase in violence, forest fires, the expansion of irregular mining, the growth of public land-grabbing and other illegal activities, especially invasions of indigenous lands and protected areas (Web57). Although deforestation increased in the project region, and project pilot areas in Amazonas and Amapá are affected, they are not yet hotspots of forest loss (see maps in Annex 3). Interviewees in both pilot areas complained about the level of smoke in the air.

Environmental advocates and researchers blame the policies of Bolsonaro for emboldening illegal loggers, ranchers and land speculators to clear the forest. Bolsonaro has urged the development of the Amazon, including protected areas as a way to lift the region's residents out of poverty. In May 2020, the president authorised deployment of armed forces to fight the destruction of the Amazon rainforest, giving them authority over environmental agencies in the region. The order gives the military authority to 'coordinate' activities of agencies such as the Brazilian Institute of the Environment and Renewable Natural Resources (*Instituto Brasileiro do Meio Ambiente e dos Recursos Naturais Renováveis*, IBAMA) and the department of natural parks (*Instituto Chico Mendes de Conservação da Biodiversidade*, ICMBio).

Civil society organisations have proposed a moratorium on deforestation in the Amazon for at least five years, with exceptions such as for traditional populations and family farming; toughened penalties for environmental crimes and deforestation, including the creation of a task force to suppress land crimes; and immediate resumption of the PPCDAm. This resumption would need to include guaranteed resources, targets, timetables and detailed implementation plans, with transparent accountability and social participation, the NGOs demand (DocDiv6).

All in all, the impact assumption was that the project would contribute to contain deforestation, provided that it was implemented together with command-and-control strategies, as well as clearing of land rights and spatial planning, as provided for in PPCDAm. Without this integrated approach, the capacity to influence deforestation trends only through the valorisation of socio-biodiversity products remains limited.

Considering all this, the project did well within its scope and delivered more than expected. The project clearly contributed to the impact by being effective towards its outcome. It specifically contributes to programme target indicator 4 (Increased production volume of açaí berry, Brazil nut, *jaborandi*, natural rubber, *babaçú*, *copaíba*, *cumarú*). It also counts for the programme target indicator 5 by generating 'innovative approaches to improve the effectiveness and resource mobilisation in forest protection'. There was no doubt that sustainable use of non-wood forest resources is one element required to protect Brazil's tropical rainforest (IntDO9, IntDB02). However, the other programme target indicators (1) deforestation rates in Amazonia; (2) individual or collective land ownership and land use rights; (3) share of deforestation in indigenous areas and in nature reserves face negative trends (DocGIZ88).

The project was very effective in communicating its benefits to both constituencies, the Amazonian producers and authorities, as well as to the Brazilian consumers and companies involved. The approach also counts on scientific evidence and support by international agreements, as mentioned. However, this was not enough to convince those making decisions, that only sustainable methods are the only possible way to use Amazonian resources. The agro-industrial lobby is a strong opponent, while illegal loggers take advantage on the ground. The project priority areas are not yet the hubs of deforestation but are at the borderline (see maps in Annex 3).

The project outcomes contributed to economic, social and environmental dimensions of sustainable development, but the policy framework and the results of related projects within the Tropical Forest Programme and global initiatives are still needed. The project outcomes are not enough to stop deforestation. The project has the correct approaches and alliances to promote sustainable resources management as economic benefit for all, including the traditional peoples and communities. But the framework conditions have become unfavourable. This evaluation did not assess Brazil's overall performance to signed agreements, such as the Agenda 2030's SDGs 2, 12, 13, 15, the Paris Agreement and the Convention on Biological Diversity. The evaluators debated in several interviews, what such international commitments mean on the ground.

The project's target groups, which are organised in cooperatives and producers and collectors' associations, have no direct power to stop illegal logging, burning and mining. They need their rights protected by the state. The project helped to communicate that these target groups can combine the economic use of natural and cultural resources while conserving them. But the leading political powers are still in favour of converting the forest into pastures and plantations, while other important groups have different views. The socio-biodiversity producers are not yet recognised as an economic viable option to use the natural resources. The project was strictly technical but opened interaction and networking channels across governance levels and social barriers. It was definitely part of the solution, but the solution is complex and needs political coherence.

In this sense, the project contributed to participatory development and good governance by improving the coordination of policies between different departments and levels of government and by better aligning public funding programmes to the specific needs of the population in the Amazon region. The desired improvement in the income situation and the strengthening of producer groups and cooperatives make a contribution to rural development and food security.

Hypothesis 1 can be confirmed. Technical advice and studies in the field of agroecology and socio-biodiversity products and dialogue of stakeholders did lead to better access to public markets for cooperatives and smallholder associations.

The project activities led to an increase of more than 30% of public purchasing from cooperatives and smallholder associations (DocGIZ82.100). This approach is based on a federal law from 2010 (DocGov20) which stipulates that at least 30% of all public food purchases should originate from family agriculture. The law also allows the purchase of organic and agroecology products at a cost 30% higher compared to conventional products. This law was not implemented in the Amazon region because of lack of political leadership and technical capacities. The project produced a technical note on how this law should be implemented in municipalities and by other public entities (schools, administration, army etc.). Public and civil stakeholders cooperated on this process, among them were the Federal Public Ministry, which has the power to require mandatory enforcement of the law in states and municipalities. The project also reached procurement officers in the Amazon region with the training programme CapGestores. This capacity development enabled many procurement officers to execute the law and to mobilise funds from the federal programmes PNAE and PAA. (IntDB24, IntDB18, IntZB8, IntDG32) The project's attention to institutional markets helped to identify and approach the actors who decide on the implementation of public policies (IntSO13). The CapGestores workshops for training municipal managers for public procurements were important for them to learn about the dynamics of the public announcements and demystify that there is no reliability (such as certification or guaranteed delivery) by local organisations (IntDB21).

Placing the project in MAPA had positive effects for the socio-biodiversity agenda, because it allowed the breaking of paradigms in the treatment of differentiated value chains (IntDB21). The legal framework of the PNAE made it difficult to comply with the percentage of purchases from family farming, but the dialogue with municipal managers and other relevant actors (e.g. cooks) in public institutions brought it closer. Stakeholders also pointed out the importance of the participation by the Ministry of Education, responsible for the funding of

the National School Meals Programme, and the public prosecutor to ensure compliance and to detect and remove obstacles (IntDB21).

A further contribution was the project's support in adapting the normative instruction (DocGov20) to privilege the pirarucu chain for public purchase and place the organic seal on the product. It was important to gather actors and discuss the instruction before going for public consultation. This emblematic fish of Amazonia was almost extinct and became famous as symbol for biodiversity loss. The project helped to bring it back to the public's attention substantially as the first socio-biodiversity product that is officially added to the traditional list of crops. The normative instruction facilitated the entry of a product of the local food culture into government purchases. This is valid for other products too and other chains can benefit from this pilot (IntDB21).

Hypothesis 4 is also confirmed. The marketing chambers are becoming the regional hubs for all stakeholders to network and discuss their issues – also beyond marketing. All five chambers were initiated by the project. Each chamber is organised differently regarding legal form, participation and infrastructure. With support from the project, the chambers have raised public market access and caused localised regulation for products of smallholders and traditional communities. The chambers still rely a lot on the project, but all have started to act in their own way. No formal networking other than through the project was established. Thanks to the success, MAPA and some of the chambers are discussing plans to formally start a marketing chamber at federal level. The scope and name are still being debated.

Sub-national actors responsible for the implementation of the funding programmes were strengthened in their methodological skills for moderating and coordinating multi-stakeholder processes and for advising marketing strategies for products of socio-biodiversity and organic farming. Individual and organisational competencies of private sector actors were developed in such a way that they were able to implement marketing strategies or to use marketing channels that reward the social and ecological added value of sustainable management.

The chambers work on local solutions for regulation and public market access. The formal and informal communication structures built with project support were also used for emergency response, which came in handy during the Covid-19 crisis. The chambers are very effective in coordinating various stakeholders, especially when a quick response is need (e.g. school feeding during lockdown) (IntSO19). The local products of smallholders and traditional communities are different in each location. All five marketing chambers were able to work with the help of digital tools despite the contact restrictions during the Covid-19 pandemic. The chambers made an important contribution to the implementation of the MAPA programme for coordinating the distribution of school meals in the households of the students when schools were closed (indicator 1.2).

> "Regarding the identification of impacts, the Amazon region is a world apart, expanding access to markets is a challenge, the federal government is often unable to provide customised assistance (IntDB21)."

Institutional markets (PAA, PNAE) are the first strategy to access markets other than local fairs and barter. They are essential for the public in the Amazon. The chambers were important for the discussion but there is little perspective for a consistent support dialogue between actors, which should not depend on specific projects, considering the permanence of public policies (IntSO13). The chambers will go on and are fundamental in the social control of public policies. The process of emptying governance spaces has not impaired their functioning.

For MAPA, the chambers represented a considerable gain. It is important to encourage the participation of MAPA's regional representations and the National Procurement Agency (*Companhia Nacional de Abastecimento*, CONAB) to discuss challenges. But one should consider that National institutions have limited agency to operate at the local level (IntDB21); the role of the states is fundamental to the functioning of the chambers, as well as the strengthening of grassroots organisations to be able to move forward autonomously (IntDB02).

All in all, the project's implementation time was short in view of the impacts to be promoted. Some impacts can already be verified but others will only be detected in the medium to long term (IntDO14).

> "What would have happened without the project? (Statements from stakeholders)
>
> The training programme and the chambers contributed to other articulations and the participants contributed to many other actions in the states. Without the project, these possibilities of articulation would not have happened. The first trip of one of the SAF's coordinators to the northern region was supported by the project., before that he had not had contact with the region (IntDO14).
>
> Without the project, São Paulo would not have known sustainably produced pirarucu. The articulation spaces would not exist, since the previous spaces were dissolved. The project has built bonds of trust between institutions. Although this is qualitative, actions are implemented when organisations feel trust leading to the strengthening of social capital in the region. There has been talk about indigenous school food for many years, but without the project the technical note on this subject would not have existed. The normative instrument for organics and the dialogue for its construction would not have existed. The brand 'Gosto da Amazônia' would not exist (IntDO14).
>
> Compared to the states outside the project's scope, there was a significant difference in the numbers of the PNAE/PAA in the states with marketing chambers and in the proposition of state agroecology policies. Without the chambers, this process would have been much slower. The project team saw the opportunities to move forward, while the public ministry alone would not be able to be so effective. The mobilisation for participation in CapGestão and other trainings also took place thanks to the chambers. Similarly, the contact to the staff responsible for public procurement and the construction of public announcements was achieved through the chambers. Other states, such as Tocantins and Rondônia, are interested in the performance of the chambers. In states without the project, dialogue is more precarious (IntZB30)."

No project-related (unintended) negative results at impact level have occurred – and if any negative results occurred, the project responded adequately:

No negative impacts were identified either in the risk management of the project or during the interviews. However, donors do perceive as a risk (IntDO3,6,9,23) the crowding out of traditional producers as Amazonian products become more in demand, from which unsustainable producers could benefit. Products such as açaí berries are increasingly produced in large plantations in the Amazon region, but also in Asia and Africa and are even certified as organic. The project target groups could not be competitive in large private sector markets. The concept of socio-biodiversity links the people to the products, but the concept of bioeconomy does not consider this aspect. For the project this competition was not yet apparent, as it concentrated on sales to public markets under the 'family agriculture' legal category.

A positive unintended result was the popularity of the training materials. The training programmes developed by the project for CapGestão and CapGestores have been replicated by other organisations such as the Institute for Environmental Research of Amazonia (*Instituto de Pesquisa Ambiental da Amazônia,* IPAM) and the Instituto Humanize (DocGIZ82, IntSO04).

4.5 Efficiency

This section analyses and assesses the efficiency of the project. It is structured according to the assessment dimensions in the GIZ project evaluation matrix (see Annex 1).

Summarising assessment and rating of efficiency

Table 10: Rating of OECD/DAC criterion: efficiency

Criterion	Assessment dimension	Score and rating
Efficiency	The project's use of resources is appropriate with regard to the outputs achieved (Allocation efficiency: resources/outputs)	59 out of 70 points
	The project's use of resources is appropriate with regard to achieving the projects objective (outcome). (Allocation efficiency: resources/outcome)	28 out of 30 points
Efficiency score and rating		Score: **87 out of 100 points** Rating: Level 2: successful

Evaluation basis and design for assessing efficiency

Evaluation basis: GIZ applies the 'follow-the-money approach' as the standard method of efficiency measurement in CPEs. In this method, all costs allocated to the project are retrospectively assigned to the corresponding outputs. This should reveal how existing resources can be better allocated for achieving results. Thus, based on the maximum principle, it studies how far the same funds can be used to achieve even greater results. Bases for the analysis are the financial statements from 19 August 2020, the annual progress report of 15 September 2020, the list of local contracts, and several interviews with the GIZ project team.

Evaluation design: The strength of the follow-the-money approach lies in systematically tracking all the project's costs, which makes it possible to identify potential inefficiencies. As all costs are systematically tracked, costs that cannot be assigned to outputs are easily identified. In addition, outputs that possibly make little or no contribution to the project objective can be determined. In this sense, the follow-the-money approach can also offer further indications for the evaluation, for example, on how similar projects could set their priorities in the future.

Empirical methods: The GIZ Central Evaluation Unit developed an Efficiency Tool in 2017 as a framework for assessing cost-effectiveness. The analysis of this evaluation dimension is based on named tool and the cost-output data. The tool was updated to protect sensible data. While the first step involves systematic mapping of the costs and commitment, the second step requires an analysis of costs for each output by using the assessment of involved or external stakeholders as well as the evaluator's assessment.

Production efficiency

The distribution of the sum of the output costs is in reasonable proportion to the outputs, as the three outputs/components had almost the same financial weight (see **Error! Reference source not found.**).

Table 11: Summary of the Efficiency Tool

Project goal	Market access for socio-biodiversity and organic farming products produced by cooperatives and small farmers' associations in the Amazon has been expanded			
BMZ costs (sum of individual costs)	€4,482,441.22 (not considering about 12% of the total cost for overall administration, central staff and financing, which cannot be linked to particular outputs)			
Co-financing	€0.00			
Partner contributions	€0.00			
Total cost	**€4,482,441.22**			
Residual value (BMZ costs and co-financing)	€0.00			
Project goal indicators	Output indicator 1 The value of Amazonian socio-biodiversity and organic farming products in the National School Dining Programme (Programa Nacional de Alimentação Escolar – PNAE) and the Food Buying Programme (Programa de Aquisição de Alimentos – PAA) is in two assisted areas of the Secretariat for Smallholder Agriculture (Secretaria Extraordinaria de Agricultura Familiar – SEAD), doubled.	Output indicator 2 The number of medium-sized and large companies that communicate the ecological and social added value of their products made with ingredients from socio-biodiversity and organic farming to the end consumer has increased by 50%.	Output indicator 3 Two groups of stakeholders involving government and civil society organisations (e.g. marketing chambers) use gender tools in the planning of policies and programmes, with which the income and working conditions of women in the context of enhanced market access for two value chains of socio-biodiversity should be improved.	Output indicator 4 Cooperatives and smallholder farmers' associations in the four states of Acre, Amapá, Amazonas and Pará increase their sales of socio-biodiversity and organic farming products by 20% after adjustment for inflation.
Target achievement	118%	104%	250%	112%
	Output A	**Output B**	**Output C**	
Outputs	State programmes and policies to promote marketing for cooperatives and smallholder associations in the Amazon are better implemented.	The rural advisory services and authorities in Amazonia have the necessary capacities to expand the market access for products of socio-biodiversity and organic farming.	Innovative instruments with proven potential to increase the marketing of products of socio-biodiversity and organic farming from Amazonia are implemented.	0
Costs including commitments	€1,414,014.33	€1,478,370.03	€1,590,056.86	€0.00
Co-financing	€0.00	€0.00	€0.00	€0.00
Partner contributions	€0,00	€0.00	€0.00	€0.00
Total costs	**€1,414,014.33**	**€1,478,370.03**	**€1,590,056.86**	**€0.00**
Total costs in %	**32%**	**33%**	**35%**	**0%**
BMZ costs in % without co-financing	**32%**	**33%**	**35%**	**0%**

The project controlled its resources according to the planned costs for the agreed services (outputs). Deviations from the costs are only made if the reasons are comprehensible.

The approach of the project described in the module proposal with regard to the outputs corresponds to the given framework conditions. The partner constellation suggested in the module proposal and the associated levels of intervention could be implemented well in terms of the estimated costs in relation to the targeted outputs of the project. The project strategy from the module proposal could be implemented well in terms of the estimated costs in relation to the targeted outputs of the project. The scope of the project was fully realised in terms of the estimated costs in relation to the targeted outputs of the project. As planned, the four selected states were not entirely covered by project activities, only the capitals and the two selected priority aeras were reached. The risks described in the project proposal are easy to understand in terms of the estimated costs in relation to the intended outputs of the project.

The project's use of resources is appropriate with regard to achieving the projects objective (outcome):

The question to what extent could the outcome have been maximised with the same amount of resources, and the same or better quality, was already answered in the previous section. The project exceeded the planned results while staying within budget. The project controls its resources according to the outputs, so that the maximum effects in terms of the objective are achieved. Taking into account the scaling problems towards the end of the project, the allocation efficiency could have been even better.

The project made the appropriate adjustments in times of the Covid-19 pandemic to mitigate the risks and sustain the results. Meetings, consultations and workshops were held using video conference tools. The project documents were distributed via virtual channels. Local contracts were amended to adjust delivery to the lockdown. Finally, this evaluation was done remotely.

The project design and the adjusted partner selection and the associated levels of intervention could be implemented well with regard to the estimated costs in relation to the intended module goal of the project. The partner contributions are in reasonable proportion to the costs of the project's outputs. The national costs at ministry level and the federal funds mobilised were considerable but have not been considered in this evaluation.

The project has taken the necessary steps to fully realise synergies, coordination and complementarity within German development cooperation. Thanks to the combined financing, the overall costs have not increased disproportionately in relation to the total costs. Synergies with interventions by other donors at the impact level were reduced by retrieval of donors to the Amazon Fund. But very significant synergies were achieved in the joint implementation of the project's activities with the United States Agency for International Development (USAID), the United States Forest Service (USFS), World Wide Fund for Nature (WWF), Instituto Humanize, and private companies through the develoPPP instrument.

4.6 Sustainability

This section analyses and assesses the sustainability of the project. It is structured according to the assessment dimensions in the GIZ project evaluation matrix (see Annex 1).

Summarising assessment and rating of sustainability

Table 12: Rating of OECD/DAC criterion: sustainability

Criterion	Assessment dimension	Score and rating
Sustainability	Prerequisite for ensuring the long-term success of the project: results are anchored in (partner) structures	41 out of 50 points
	Forecast of durability: results of the project are permanent, stable and long-term resilient	31 out of 50 points
Sustainability score and rating		Score: **72 out of 100 points** Rating: Level 3: moderately successful

Sustainability dimension 1: Emphasis was put on identifying efforts and mechanisms so that the results were sustained in the medium to long term by the partners themselves and establishing in which way these have been institutionalised/anchored in the partner system. Sustainability was evaluated at the individual, organisational and societal/political level. For the empirical methods for sustainability dimension 1, the evaluation was primarily based on the background documents and interaction with the respondents at the federal government, state governments and chambers. In addition to the documents' analysis and verification, open and semi-structured interviews with focused questions on the strategies/mechanisms inbuilt by the project partners for ensuring continuity of the project outcome and for sustaining/broadening the impact were asked (IntDB23, IntDB02, IntDO7, IntDO14). The evaluators looked particularly for instruments/mechanisms for replication/propagation of the pilot efforts as a core requirement for ensuring sustainability.

Sustainability dimension 2: Emphasis was put on (1) assessing to what extent the outcome and impact of the project were durable, stable and resilient in the long term under the given conditions; (2) what risks and potentials emerged for the durability of the results; (3) how likely these factors were to occur; (4) and the measures that the project took to reduce such risks. However, before discussing the sustainability, it has to be pointed out that an assessment of sustainability at this point is only possible to a limited extent. This is due to land use planning processes being such lengthy processes, only showing their impacts after a long time. Also, the introduction of new policies into established governance systems (and particularly in those of large federal countries) needs much more time to come to an effect. Therefore, the project's sustainability is predicted rather than assessed in this evaluation. For the empirical methods for sustainability dimension 2, the evaluation team consulted project documentation, literature research and analysis, open and semi-structures interviews, discussion of this aspect with key stakeholders (IntDB23, IntDB02, IntDO7, IntDO14).

Analysis and assessment regarding sustainability

Results were anchored in (partner) structures:
The project's exit strategy is not explicitly defined. However, approaches to sustainability have been developed by the project. Resources and capacities at the individual, organisational or societal/political level in the partner country are available in the longer term to ensure the continuation of the results achieved. At an individual level, there are testimonies and records of what the processes represented for the target groups, which are family farmers and forest product collectors organised in local producer associations and cooperatives. On an organisational level, some institutions made statements about the change in the participation of technicians on the performance of the organisations. At the society level, many initiatives, such as collectives of Brazil nut and pirarucu, remain active. However, budget cuts threaten the sustainability of the public purchasing programmes PNAE and PAA, on which the project results depend. The federal government's policy is to bring public purchases to market conditions faster than envisaged. CONAB is trying to offer tools for the transition of the family agriculture producers into private sector markets (IntDB23) but it cannot keep up with the rapidity of the budget cuts.

The advisory contents, approaches, methods and concepts of the project are anchored/institutionalised in the partner systems. There are examples on how the results will be continuously used and/or further developed by the target group and/or implementing partners.

The project took appropriate measures to ensure that the results can be sustained in the medium to long term by the partners themselves – like creating the basis for the formulation of and making conceptual key contributions to the SAF Bioeconomy Brazil Socio-biodiversity Programme (IntDB02), as well as compiling a comprehensive documentation of the central activities, training materials and results through different communication formats (e.g. publications, videos, structured communities of practice on social media channels). Selected elements of the project will be continued in a successor.

The project's work with differentiated family farming allowed the integration of SAF with the department of geographical indications, collective brands, etc. Relationships were very limited before, but now it has started to build relationships with potential for the future. Technical cooperation projects can catalyse these relationships of trust and integration (IntDO7).

> "Maintaining the relationship … was important, he [SAF coordinator] is using the results of the dialogues and policy briefs to promote the socio-biodiversity agenda. He participated from the beginning in the orientation and formulation of the dialogues, bringing the position of MAPA, with the Bioeconomy Program as well. In the states, there was a lot of complementation for the realisation of CapGestão, reducing implementation costs. In addition, a very fruitful relationship with IFAC to continue with professional training courses (IntDO14)."

MAPA has its own budget allocation for the execution of the public purchase programme PAA together with the National Supply Agency CONAB, but without a regional cut. An effort was made to obtain extraordinary credit for coping with the Covid-19 pandemic, which is being negotiated with the Cabinet, the Ministry of Economy and with support from SAF. There were no cuts in public resources (DocGIZ101, IntDB21).

> "The impact of the pandemic did not affect our cooperative as much as we were imagining, but we understood that we need management improvements. We saw that we had very high costs and were unable to increase transfers to our producers, which can be done with improvements in management (IntZB11)."

On the contrary, the pandemic emphasised the existing digital divide in Brazil. Specially, large parts of the target groups lack access to digital tools.

> "The pandemic made the differences very evident: cooperatives do not dominate remote dialogue technologies (IntSO7)."

Several traces of sustainability were detected during the evaluation. Federal entities mobilised resources from their budget to continue activities or look for market-oriented ways to go on. The marketing chambers in the states became more active and more resilient during the pandemic. Different groups of stakeholders have gained confidence to cooperate effectively. The chambers have streamlined shared structures. All of them confirmed that they continue their work, some even attracted national and donor financing. The training material and guidebooks of the project are already shared and copied within the large multiplicator networks the project has formed. There are initiatives to fund the capacity development activities on a stable basis and to formalise the training and career path of rural business advisors. A promising change is observed in several cooperatives that improved their organisation as a project result. The gender approach, which the project intensified towards the end, caused impressive results in several occasions. Recognising the contribution of women to sustainable value chains has shown a potential for deep change in socio-biodiversity communities.

Results of the project were permanent, stable and long-term resilient:

It is plausible that the results (outcome and impact) of the project are durable, stable and resilient in the long term. Lessons learned are prepared and documented in a way that the target group benefits after project expiry.
The current crisis represents a risk for indicators 1 and 4 (revenues). The producers faced various problems, not only related to health, but also to transport, market access and communication. Sales decreased during the pandemic, but project partners envisage a growth trend after the pandemic (IntDO14). The public markets are open and the buyers prefer local supplies, as they are more stable. The private markets showed clear signs of increasing demand for organic products during the lockdown. Many families switched to home cooking with local products. Various interview partners confirmed a trend in growing private sector demand for socio-biodiversity products.

> "The impact of the pandemic on pirarucu sales in Rio de Janeiro at first was disastrous. In the first month, 30% of establishments in the sector closed their doors; depending on the comeback, they may reach 50%. Regarding pirarucu, they started in 2020 selling 500 kg per month, in April sales were zero. Now the movement is slowly resuming, the sales promoter resumed activities this month, some restaurants are reopening and selling pirarucu again (IntSO15)."

> "In the post-pandemic period, we expect the emergence of new companies that want to relate, but do not know how. In the Origens programme, we saw an increase in demand of 30%. The dialogues help the relationship process and strengthen commitments. We see positive scenarios, with demand greater than supply, which creates great challenges for reinvention (IntSO2)."

Indicators 2 and 3 have a better sustainability perspective. During the crisis, companies worked on their marketing profile and followed the trend of socio-biodiversity and organic consumption (IntDO14). Reports form producer organisations confirm that the crisis is the moment to implement changes that have been discussed and prepared during the project. The use of the gender tool is not expected to fall back. The introduction has addressed root causes of the organisation and the benefits of using gender tools is widely recognised (IntDB1b, IntDB32, IntDO17).

The dialogues acted on the reduction of spaces for discussion and remain active in civil society and in the private sector (IntDO14). The attractiveness of the format is demonstrated in particular by several funding commitments after the end of the project. GIZ, as the initiator of these dialogues, distinguishes its unique selling point in ensuring the connection to the MAPA and, thus, redirecting questions and demands raised in the dialogues directly to the responsible departments in the MAPA.

The chambers also remain as discussion groups and some are supporting the definition state public policies (IntDO14). The feeling of belonging and real importance will define the chamber's continuity, thus, the political representation of the state in the chambers is relevant. Continued support from MAPA is also relevant. Due to the participation of government agencies, non-institutionalisation does not work; if there is no formality, people do not take it for themselves and do not feel entitled to act (IntZB30). The role of the Federal Public Ministry was positive for the chambers, as their representatives have the power to enforce the implementation of federal actions (IntDP24,31,32).

Interviewees in the region warned that after the upcoming municipal election, all operational staff might be exchanged as it usually happens when political mandates change. This could damage the established results of CapGestão trainings, which led to capable procurement officers in many municipalities.

Voices on the future approach
Some aspects mentioned during the interviews regarding the future of the approach of the project should be highlighted – particularly in light of the follow-on project:

> “Green Market’s work with the public ministry, technical assistance and the government itself helped to start shaping the concept, but there are many voices to be heard. It needs a conceptual discussion, any action in value chains, impact investing and bioeconomy has to come with adjectives and include principles and values (IntSO5).”

> “The post-pandemic is still going to be one of the biggest economic crises in the country, the bioeconomy cannot only look at the market, but also at subsistence, food security and survival. Small businesses will need subsidies to survive; they are the ones who generate income and maintain the forest standing (IntSO5).”

> “The conceptual question of the bioeconomy is not clear, what the government wants and what the voices of the people of the Amazon want. Articulation is important to facilitate the discussion in the social control spaces, to participate and be heard. It is not levelled, there are several understandings. The concept of bioeconomy in the government comes with some aspects that are not acceptable, the process is still under discussion. The fragilities and attacks on the populations of the Amazon do not allow the discussion to proceed because the groups are only defending themselves, e.g. indigenous peoples. In the discussion on economics and business, for example, the terms have to be discussed: if you don't like terms like indigenous enterprises, what terms and concepts would be adequate? (IntSO7).”

> “When discussing bioeconomy and perspectives for the future, it is important to pay attention to extractivism and family farming, in order to focus on the most fragile public and with less access so that they do not become losers in the process (IntSO2).”

> “Bioeconomy is not a concept, but a conceptual field: there is a tripod of sustainability, innovation and the market, in this case, demand for innovation for a use that is already seen as sustainable and needs a market. This discussion is also connected with the Amazon Sustainable Development Council and the entry of new actors such as the Ministry of Economy. It is necessary to question that the industrial proposals do not consider the structuring and supply of raw material for production (IntZB30).”

> “The priority must be on processing products in the forest, so as not to generate white elephants. The big industries will still stay in the cities. In the Brazil nut chain, the priority is the regulation and inspection of large plants. There is no space for the existence of so many community plants, since they are unable to deliver the required quality and are not ready to do proper management. There is no reason to flood the market with bad nuts (IntSO2).”

4.7 Key results and overall rating

Taking into consideration all criteria, the project is rated as ‘successful’. The relevance was kept high by the key stakeholders, the outputs were effectively produced and used, the effects were maximised while keeping the costs down. Impact and sustainability are moderately successful, despite the unfavourable context and the Covid-19 crisis. All in all, the project is definitely a success case in spite of these challenges.

The success was evident until the beginning of the Covid-19 pandemic. In its final months, the project rapidly adjusted to the situation. However, it is too early to predict what will remain of the results after the pandemic. The project raised the resilience of the stakeholders and target groups.

One of the project’s strength is the long-term partnership of Germany with Brazil and in particular the four Amazon states. This means not only technical excellence, but trust among partners, so that a variety of academic, civil society, private sector and media stakeholders can join. After more than 20 years of bilateral cooperation in this field, it is hard to tell if the same stakeholder network would exist without German cooperation.

Protecting tropical forests is relevant worldwide, not just Brazil. The project represents a link to global initiatives and to a continuity of projects promoting sustainable use of forest resources. Despite covering three complex

intervention areas, the project addressed only one piece of the overall solution for forest conservation. While other elements might be missing for Amazonia, the project showed that its approach to sustainable production and consumption works. The recognition of the project approach is still too weak to convince policy makers and companies to stop unsustainable resource use.

Table 13: Overall rating of OECD/DAC criteria and assessment dimensions

Evaluation criteria	**Score (Max. 100)**	**Rating 1 (highly successful) to 6 (highly unsuccessful)**
Relevance	87	Level 2: successful
Effectivity	88	Level 2: successful
Impact	71	Level 3: moderately successful
Efficiency	87	Level 2: successful
Sustainability	72	Level 3: moderately successful
Mean score and overall rating	**81**	**Level 2: successful**

The overall rating of the project based on the results of all five criteria is 'successful'. The hypotheses developed as part of the ToC are plausible and were confirmed in the course of the evaluation.

Table 14: Rating and score scales

100-point scale (score)	**6-level scale (rating)**
92–100	Level 1: highly successful
81–91	Level 2: successful
67–80	Level 3: moderately successful
50–66	Level 4: moderately unsuccessful
30–49	Level 5: unsuccessful
0–29	Level 6: highly unsuccessful

5 Conclusions and recommendations

5.1 Factors of success or failure

The evaluation comes to the conclusion that the project played an important role in networking, awareness raising and capacity building of key actors in the field of sustainable resource use in the Amazon.

> "Green Markets was one of the most successful and skilful projects I saw from GIZ, it managed to reconcile civil society, government and the private sector. It also chose the consulting company and professionals well and had teams committed to the ministry. It was possible to maintain government partners throughout the execution in MDA, SEAD and MAPA (IntSO05)."

Some key success factors include:

- The project team and the multiple stakeholders stayed committed to cooperate on very diverse and sometime troublesome tasks throughout the project implementation. The project was a building element for a continuing community of practice that involves national and state governments, municipalities, educational institutions, private business, traditional peoples and communities, academics, civil society, international NGOs, independent professionals' cooperatives, and producer organisations.
- The project stakeholders managed to advance on many small and technical steps, using open dialogue and dedication to detail, because the benefits in terms of socio-economic development and access to rights were clear.
- The project became a best practice in the use of effective communication and visibility tools. Beyond the usual visibility, the project has built lasting communities of practice by using social media platforms and other channels. These communities increased their interaction during the pandemic, even after the end of the project.

There is still great potential to work with SAF/MAPA. Building on the positive experiences in the context of the project can be a very important part of bioeconomy policy and a much more strategic approach to be followed. The MAPA programme, Bioeconomy Brazil – Socio-biodiversity, from 2019 proclaims among other things a mechanism for the cooperation between the private and the public sector (private-public partnerships, PPP), aiming to establish incentives for investments in sustainable value chains of socio-biodiversity. Another starting point is the MAPA initiative 'Dialogues of Socio-biodiversity' to use in the context of multi-actor partnerships from public and private sector and civil society organisations to help build value chains of extractivism and to establish minimum social and ecological standards.

External factors: factors beyond the project's immediate range of responsibility (political context or increase/decrease of budget)

> The German Tropical Forest Programme will not prevent politicians from acting. An exit would mean that the cooperation no longer makes sense or is no longer important. However, global partnership means dealing again and again with those who have global significance due to sheer size and power (IntDO09).

> The migration to MAPA allowed to develop relationships that were more difficult before, because we were in other agencies. It was fortunate to have a secretary of family agriculture who gave a lot of prominence to the project and other MAPA secretaries giving so much support and without interfering. The coordinators were also positive. This in a context of SAF that has never been on MAPA before (IntDO14).

There is still a lack of cooperation in the Amazon region, due to timing problems between the projects and lack of dialogue in the design. There are difficulties in adjusting strategies: often the project/action is the business

itself, it is difficult to find a common denominator, and there has to be a lot of communication. Additionally, the changes in the political structures and approaches and the worsening of the political conditions in terms of environmental protection and deforestation prevention in recent years, affected the project's impact.

5.2 Recommendations

- ✓ The governments of Germany and Brazil should continue cooperation on forest protection and sustainable resource use as global partners. Provided that civil society and federal states can be involved in the implementation of the project, the current potential for cooperation with the MAPA should be consistently expanded. This particularly applies to the areas of bioeconomy and the marketing of socio-biodiversity products. In this area, credible political will can be seen and there are concrete points of contact for cooperation, such as the described programme for bioeconomy and socio-biodiversity (*Programa Bioeconomia Brasil – Sociobiodiversidade*).
- ✓ Considering the ups and downs of their cooperation, governments should negotiate their partnership actions respecting and involving the multi-actor networks of civil society, academics, and businesses that bring knowledge and experience in the Amazon region. BMZ should continue actions for market access of products of socio-biodiversity and organic farming within the forest programme and link them more to the related global and regional portfolio. The cooperation approaches for deforestation-free supply chains should be pursued. Here, however, it is important that particularly robust (origin) control systems are set up so that development cooperation funds are not used for voluntary agreements that do not have any convincing effects. In promoting deforestation-free supply chains, it is important that traditional population groups are not crowded out.
- ✓ Women must be addressed and included systematically as workers, traders and leaders into future actions.
- ✓ Research and consultations should introduce safeguards so that traditional communities and peoples and other vulnerable populations benefit from future actions related to bioeconomy.
- ✓ A just digitalisation must be part of the future strategy. Efforts are needed to bridge the digital divide for those who are left behind.
- ✓ For the planned successor project on Bioeconomy and Supply Chains, the evaluation details the methodological innovations that can be based on the project results.
- ✓ A desired aim is to establish a sustainable system of non-formal and formal training and rural business development services.

Recommendations for the follow-on project

In a future project, it is important to provide follow-up for those already trained by CapGestão, to check if they are using the tools and if they need an update. The course must be taken directly to the regions, as many people want to participate (IntZB15).

New editions of CapGestão should be more specific, have fewer modules and be customised by region. The project systematised very well what remains as a legacy and enables replicability, with videos, infographics and other materials. A group on social media called AterBook was accessible, useful and simple, especially during the pandemic (IntSO5).

In the future, it is necessary to foresee priorities for communities' access to the internet, especially with the impact of the pandemic. The use of the internet implies energy expenditure. Not everyone has equipment or access at home, so they are unable to take advantage of public programmes.

> “I have never felt the digital divide so close to my skin, it has affected activities a lot (IntZB7).”

Institutionalising CapGestão in federal bodies would allow the involvement of both technical assistants and the young leaders in the local organisations seeking qualification. For this purpose, it is necessary to invest in the elaboration of the political-pedagogical project, formally required by the institutes. Green Markets did not reach this point, which would have generated a product to present. But the replication of CapGestão by IPAM is also important, the non-formal and formal training must continue in parallel (IntSO5).

It would be important to make a model between the more basic training module DOP/CEFE and the comprehensive CapGestão approach and offer it directly to producers. DOP/CEFE alone is a very fast course (three days) but that is a long time for the producer. A more intense, modular course, but less than CapGestão, would be good (IntZB15).

List of resources

Primary sources: Project-related documents and websites

DocGIZ1	Diagnóstico de acesso PP.pdf
DocGIZ2	Länderstrategie Brasilien 2018.pdf
DocGIZ3	PÖK__Brasilien_Januar_2019.pdf
DocGIZ4	Projeto_Bioeconomia_da_Floresta_MAPA.pdf
DocGIZ5	Overview relevant documents.pdf
DocGIZ6	Infográfico - Equidade de Gênero.jpg
DocGIZ7	Infográfico - Fortalecimento do PNAE.pdf
DocGIZ8	Infográfico - Parcerias com setor empresarial.pdf
DocGIZ9	Infográfico Câmaras NOVO.pdf
DocGIZ10	Infográfico Campanhas e iniciativas.jpg
DocGIZ11	Infográfico CapFeiras.jpg
DocGIZ12	Infográfico CapGestão.jpg
DocGIZ13	Infográfico CapGestores.jpg
DocGIZ14	Infográfico Diálogos da Sociobiodiversidade.jpg
DocGIZ15	Infográfico Empoderamento Econômico das Mulheres.pdf
DocGIZ16	Infográfico Estrategias de Acesso a Mercados.jpg
DocGIZ17	Infográfico Gênero Alcançar Beneficiar Empoderar.pdf
DocGIZ8	ÄA barmittelrelevante Aufstockung Grüne Märkte PN 2015.2131.9.pdf
DocGIZ19	Grüne Märkte PN 2015 2131 9 Wirkungsmatrix ÄA 2019 mit Markierung.docx
DocGIZ20	Begründungsblatt.docx
DocGIZ21	Grüne Märkte PN 2015 2131 9 ÄA 2019 mit Markierung.docx
DocGIZ22	Grüne Märkte PN 2015 2131 9 Wirkungsmatrix ÄA 2019 mit Markierung.docx
DocGIZ23	Grüne Märkte PN 2015.2131.9 Anlage-Umwelt-und-Klimapruefung nicht mitgeschickt.docx
DocGIZ24	2554_ÄA_2020_Grüne_Märkte_WiMa_QP EA_9.4.2020.docx
DocGIZ25	Änderungsangebot 2020 Begründungsblatt.docx
DocGIZ26	Grüne Märkte PN 2015.2131.9 Wirkungsmatrix_final ZAK.docx
DocGIZ27	Grüne Märkte PN 2015.2131.9_Instrumentenkonzept.docx
DocGIZ28	Grüne Märkte_Angebotsdaten_korrigiert final_D_1521319_PN 201521319.docx
DocGIZ29	Grüne_Märkte_PN_2015_2131_9_Programmvorschlag_final_20160803.docx
DocGIZ30	POA 2018 final.xlsx
DocGIZ31	POA 2020.xlsx
DocGIZ32	POA2019 CompA_atualização 22.01.2019.xlsx
DocGIZ33	POA2019 CompB v.30.11.2018.xlsx
DocGIZ34	POA2019 CompC 30112018.xlsx
DocGIZ35	Cópia de Sistematização POA Amapá (00000002).xlsx
DocGIZ36	Relatório POA manaus.docx
DocGIZ37	sistematização dos paineis - nationale Ebene.xlsx
DocGIZ38	Sistematização dos paineis de atividades_ACRE.xlsx
DocGIZ39	Sistematização POA Belém.xlsx
DocGIZ40	Anlage 1_Übersicht Portfolio EZ-Programm Tropenwald_Stand 2018-12.xlsx
DocGIZ41	Anlage 2_EZ-Programm Tropenwald_Wirkungsmatrix_final.docx
DocGIZ42	Anlage 3a_EZ-Programm Tropenwald_Wirkungslogik_TZ-Teil_final.pptx
DocGIZ43	Anlage 3b_EZ-Programm Tropenwald_Wirkungslogik_FZ-Teil_final.pptx
DocGIZ44	EZ-Programm.pdf

DocGIZ45	EZ-Programm Tropenwald Brasilien_Version final_2018-12-17.docx
DocGIZ46	Berichterstattung_EZ-Programm TW_Anlage Wirkungsmatrix FZ-Teil_final.pptx
DocGIZ47	Berichterstattung_EZ-Programm TW_Anlage Wirkungsmatrix TZ-Teil_final.pptx
DocGIZ48	Berichterstattung_EZ-Programm TW_Anlage Wirkungsmatrix_Version 2019-07-26_final.docx
DocGIZ49	Berichterstattung_EZ-Programm TW_Programmbericht 1_final.docx
DocGIZ50	Karte_20TW_202019.jpg
DocGIZ51	201521319_PFB 2017_Grüne Märkte_ Anlage 2_Wirkungslogik_final.pptx
DocGIZ52	201521319_PFB 2017_Grüne Märkte_Anlage 1_WiMa_final.docx
DocGIZ53	201521319_PFB_2017_Grüne_Märkte_komplett.pdf
DocGIZ54	201521319_PFB 2018_Grüne Märkte und nachhaltiger Konsum in Brasilien.docx
DocGIZ55	201521319_PFB 2018_Grüne Märkte und nachhaltiger Konsum_Anlage 2_Projektregion.jpg
DocGIZ56	201521319_PFB 2018_Grüne Märkte und nachhaltiger Konsum_Wirkungsmatrix.docx
DocGIZ57	201521319_PFB 2017_Grüne Märkte_ Anlage 2_Wirkungslogik_final.pptx
DocGIZ58	modelo de resultados GIZ _com R18.pdf
DocGIZ59	Modelo de Resultados MV.pdf
DocGIZ60	Modelo de Resultados MV 2020.png
DocGIZ61	Modelo de Resultados MV 2020_v2.png
DocGIZ62	1-2020_ACORDHO_ MV, Bioeconomia, CAR e TL.docx
DocGIZ63	3-2020_Recomendações DH_MV, CAR e TL.pdf
DocGIZ64	4-2020_Implementação_Direitos-Humanos_CAR-MV-TL.pptx
DocGIZ65	2019_Análise SWOT Gênero_Mercados Verdes.docx
DocGIZ66	2019_FT_Mercados Verdes_Scan de gênero.docx
DocGIZ67	2019_perfil de gênero_Mercados Verdes.xlsx
DocGIZ68	Akt.ana2-2020_Mapeamento de Atores_DIREITOS HUMANOS.pptx
DocGIZ69	Grüne Märkte 2015.2131.9 Genderanalyse_merc_verd_final.docx
DocGIZ70	Grüne Märkte PN 2015.2131.9 Anlage-Umwelt-und-Klimapruefung_final ZAK.docx
DocGIZ71	Grüne Märkte PN 2015.2131.9 Checkliste-Umwelt-und-Klimapruefung_final ZAK_NEU.docx
DocGIZ72	Akteursanalyse (alt).pptx
DocGIZ73	MAPA AM 2019.pptx
DocGIZ74	Mapa de atores DeveloPPP 2019.docx
DocGIZ75	Mapa de Atores Pará 2019.pptx
DocGIZ76	Orientações Mapa de atores_jan2019 Amapá.pptx
DocGIZ77	Orientações Mapa de atores_jan2019_ACRE.pptx
DocGIZ78	Orientações Mapa de atores_jan2019_Nacional.pptx
DocGIZ79	PBAB_Mapping atores_2019.pptx
DocGIZ80	Schlussbericht_Nachhaltige Wirtschaftsentwicklung (Grüne Märkte)_PN 201324540_final.pdf (Vorprojet)
DocGIZ81	Modification Offer 2020
DocGIZ82	Wirkungsmonitoring Zwischenstand.zip 04.06.2020
DocGIZ83	Estrutura de Condução Mercados Verdes.pptx
DocGIZ84	Project Progress Report 2019 (draft)
DocGIZ85	Hintergrund zu den Vermarktungskammern(von2017).pptx
DocGIZ86	Kurzstellungnahme Bioökonomie und Lieferketten.docx
DocGIZ87	Modelo de Resultados MV 2020_v2.png
DocGIZ88	Programmbericht 2020 EZ Tropenwald.pdf
DocGIZ89	MAPA SAF Project Site: https://www.gov.br/agricultura/pt-br/assuntos/agricultura-

	familiar/publicacoes/projeto-mercados-verdes-e-consumo-sustentável
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Web15	DeveloPPP Nachhaltige Unternehmensinitiativen in Entwicklungsländern https://www.developpp.de
Web16	Empresa Brasileira de Pesquisa Agropecuária – EMBRAPA https://www.embrapa.br/
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Web19	Green Growth Knowledge Platform
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Annex: Evaluation matrix

OECD-DAC Criterion RELEVANCE (max. 100 points)					
Assessment dimensions	**Evaluation questions**	**Evaluation indicators**	**Data collection methods** (e.g. interviews, focus group discussions, documents, project/partner monitoring system, workshop, survey, etc.)	**Data sources** (list of relevant documents, interviews with specific stakeholder categories, specific monitoring data, specific workshop(s), etc.)	**Evidence strength** (moderate, good, strong)
The project concept (1) is in line with the relevant strategic reference frameworks. Max. 30 points	Which strategic reference frameworks exist for the project? (e.g. national strategies incl. national implementation strategy for 2030 agenda, regional and international strategies, sectoral, cross-sectoral change strategies, if bilateral project especially partner strategies, internal analysis frameworks e.g. safeguards and gender (2))	The project contributes to the implementation of the Brazilian strategies to combat deforestation to the promotion of organic farming and a sustainable collective economy. The project supports Brazil's efforts to implement the Paris Declaration on Climate Change and the Convention on Biological Diversity.	Analysis of strategic documento, project monitoring system for internal analysis frameworfs, including safeguards and gender	National and regional strategy documents: PPCDAm, Planapo, Programa Bioeconomia Brasil Sociobiodiversidade, Brasil Mais Cooperativo, PNAE, PAA,, Brazilian Agenda 2030 Action Plan, relevant state strategies on organic production and agroecology Project safeguard and gender analysis	moderate
	To what extent is the project concept in line with the relevant strategic reference frameworks?	The project concept is in line with the relevant strategic reference frameworks and managed to make the necessary adjustments in view of changes in references and strategic guidelines	Document analysis Interviews	Programme and project documentation (PFB) Complementary information from interviews to explore shifts and coping strategies related to political changes	good
	To what extent was the (conflict) context of the project adequately analysed and considered for the project concept (key documents: (Integrated) Peace and Conflict Assessment, Safeguard Conflict and Conflict Sensitivity documents)?	The conflict analyzes were carried out and considered in the project concept as demanded by the country context and followed the evolution of the scenario throughout the implementation period.	Document analysis Interviews	Project safeguard and gender analyses Complementary information from interviews with GIZ Project Coordination and Staff	good
	To what extent are the interactions (synergies/trade-offs) of the intervention with other sectors reflected in the project concept – also regarding the sustainability dimensions (ecological, economic and social)?	The commercialization of forest products by local communities is itself located at the intersection between the economic, social and environmental aspects of sustainability. Internal trade-offs and conflicts with trends and drivers of deforestation are adequately addressed in the project concepts and the safeguards analysis.	Document analysis	Project documentation (Proposal and PFB)	good
	To what extent is the project concept in line with the Development Cooperation (DC) programme (If applicable), the BMZ country strategy and BMZ sectoral concepts?	The project concept is in line with the DC programme on tropical forests in the Amazon Region, the BMZ country strategy and relevant BMZ sectoral concepts.	Document analysis	DC Programme Country Strategy Relevant sector concepts (Forest Action Plan, New York Declaration, Latin America Policy)	strong

	To what extend is the project concept in line with the (national) objectives of the 2030 agenda? To which Sustainable Development Goals (SDG) is the project supposed to contribute?	The project concept is in line with the Brazilian Action Plan for the 2030 agenda and contributes to the SDGs, in particular SDG 15	Document analysis Interviews	National Agenda 2030 Action Plan 2017-2019 Complementary information from intervews with MAPA on updates and relevance of the Agenda 2030 for the Brazilian Governament and MAPA	moderate
	To what extend is the project concept subsidiary to partner efforts or efforts of other relevant organisatons (subsidiarity and complementarity)?	The project contributes to the implementation of national strategies to strengthen smallholder agriculture and the sustainable use of forest products (Planapo and subsequent plans and programs). Further contributions are made to the National Program for Strengthening Cooperatives and Solidarity Associations (Cooperaf) in smallholder agriculture, the National School Feeding Program (PNAE) and the Public Food Procurement Programs (PAA).	Document analysis Interviews	National and regional strategy documents: PPCDAm, Planapo, Programa Bioeconomica Brasil Sociobiodiversidade, Brasil Mais Cooperativo, PNAE, PAA, PGPMBio, Brazilian Agenda 2030 Action Plan, relevant state strategies	
The project concept (1) matches the needs of the target group(s). Max. 30 points	To what extent is the chosen project concept geared to the core problems and needs of the target group(s)?	The chosen project concept is geared to the core problems and needs of the target groups.	Interviews	Interviews with representatives of cooperatives and associations, members of the regional marketing chambers, participants of the CAP-Gestão Programme, MAPA, state governments	strong
	How are the different perspectives, needs and concerns of women and men represented in the project concept?	The different perspectives, needs and concerns of women and men are appropriately represented in the project concept.	Document analysis Interviews	Project documentation on gender issues, systematization of the gender approaches adopted in CAP Gestão, interviews with participants and cooperative/associations representatives and GIZ Staff	good
	To what extent was the project concept designed to reach particularly disadvantaged groups (LNOB principle, as foreseen in the Agenda 2030)? How were identified risks and potentials for human rights and gender aspects included into the project concept?	The project concept is designed to reach particularly disadvantaged groups as foreseen in the Agenda 2030 (LNOB) - including women, youth, and vulnerable groups like indigenous peoples - and the identified risks and potentials for human rights and gender aspects are included into the project concept.	Document analysis Interviews	Project documentation on human rights related safeguard analyses and implementation Interview with project staff and GIZ Human Rights related project	good
	To what extent are the intended impacts regarding the target group(s) realistic from todays perspective and the given resources (time, financial, partner capacities)? Did the design include strategies that strengthen the well-being of extractivists?	The intended impacts are realistic from todays perspective and the given resources in terms of time, financial, partner capacities.	Interviews	Interviews with MAPA, state governments, members od the marketing chambers and GIZ staff	good

The project concept (1) is adequately designed to achieve the chosen project objective. Max. 20 points	Assessment of current results model and results hypotheses (theory of change, ToC) of actual project logic: - To what extent is the project objective realistic from todays perspective and the given resources (time, financial, partner capacities)? - To what extent are the activities, instruments and outputs adequately designed to achieve the project objective? - To what extent are the underlying results hypotheses of the project plausible? - To what extent is the chosen system boundary (sphere of responsibility) of the project (including partner) clearly defined and plausible? - Are potential influences of other donors/organisations outside of the project's sphere of responsibility adequately considered? - To what extent are the assumptions and risks for the project complete and plausibe?	The activities, instruments and outputs are adequately designed to achieve the project objective. The underlying results hypotheses of the project are plausible. The chosen system boundary (sphere of responsibility) of the project (including partner) is clearly defined and plausible. The potential influences of other donors/organisations outside of the project's sphere of responsibility are adequately considered. The assumptions and risks for the project are complete and plausibe.	Document analysis Interviews	Project documentation (proposal and PFB) Interviews with GIZ Project Coordination	good
	To what extent does the strategic orientation of the project address potential changes in its framework conditions? How is the crisis generated by the Covid-19 pandemic affecting the behaviour of consumers and beneficiaries when buying and selling sustainable products?	The underlying results hypotheses of the project are plausible.	Document analyses	Project documentation (proposal and PFB) Interviews with GIZ Project Coordination	good

	How is/was the complexity of the framework conditions and guidelines handled? How is/was any possible overloading dealt with and strategically focused?	The potential influences of other donors/organisations outside of the project's sphere of responsibility are adequately considered.	Document analysis Interviews	Project documentation (proposal and PFB) Interviews with GIZ Programme and Project Coordination	good

The project concept (1) was adapted to changes in line with requirements and re-adapted where applicable. Max. 20 points	What changes have occurred during project implementation? (e.g. local, national, international, sectoral, including state of the art of sectoral know-how)?	The changes which occured during project implementation are described.	Document analysis Interviews	Project documentation (proposal and PFB) Interviews with BMZ and GIZ (Country Director, Programme and Project Coordination) Interviews wiht government and civil society representatives (national and regional level) Interviews with target group representatives Interviews with GIZ Programme and Project Coordination	
	How were the changes dealt with regarding the project concept?	The changes regarding the project concept were appropriately handled.	Document analysis Interviews	Project odocumentation (PFB) Complementary informaton from interviews with GIZ Project Coordination and staff	

(1) The 'project concept' encompasses project objective and theory of change (ToC, see 3) with activities, outputs, instruments and results hypotheses as well as the implementation strategy (e.g. methodological approach, CD-strategy, results hypotheses)

(2) In the GIZ Safeguards and Gender system risks are assessed before project start regarding following aspects: gender, conflict, human rights, environment and climate. For the topics gender and human rights not only risks but also potentials are assessed. Before introducing the new safeguard system in 2016 GIZ used to examine these aspects in seperate checks.

(3) Theory of Change = GIZ results model = graphic illustration and narrative results hypotheses

(4) Deescalating factors/ connectors: e.g. peace-promoting actors and institutions, structural changes, peace-promoting norms and behavior. For more details on ‘connectors’ see: GIZ (2007): ‘Peace and Conflict Assessment (PCA).

(5) Escalating factors/ dividers: e.g. destructive institutions, structures, norms and behavior. For more details on ‘dividers’ see: GIZ (2007): ‘Peace and Conflict Assessment (PCA).

(6) All projects in fragile contexts, projects with FS1 or FS2 markers and all transitional aid projects have to weaken escalating factors/dividers and have to mitigate risks in the context of conflict, fragility and violence. Projects with FS1 or FS2 markers should also consider how to strengthen deescalating factors/ connectors and how to address peace needs in its project objective/sub-objective?

OECD-DAC Criterion EFFECTIVENESS (max. 100 points)

Assessment dimensions	**Evaluation questions**	**Evaluation indicators**	**Data collection methods** (e.g. interviews, focus group discussions, documents, project/partner monitoring system, workshop, survey, etc.)	**Data sources** (list of relevant documents, interviews with specific stakeholder categories, specific monitoring data, specific workshop(s), etc.)	**Evidence strength** (moderate, good, strong)

The project achieved the objective (outcome) on time in accordance with the project objective indicators.(1) Max. 40 points	To what extent has the agreed project objective (outcome) been achieved (or will be achieved until end of project), measured against the objective indicators? Are additional indicators needed to reflect the project objective adequately?	The outcome has been achieved. There are no additional indicators needed.	Monitoring system Interviews	Data from the projects monitoring systems Interviews with MAPA and GIZ staff	strong
	To what extend were the results in terms of public policies achieved, especially in view of the two changes in federal government that the project witnessed? To what extent has the project contributed to improving the implementation of public marketing programs and policies for family farming and PCT organizations in the Amazon?	The outcome has been achieved. Learning has been documented and used.	Interviews	Data from the projects monitoring systems Interviews with MAPA and GIZ staff	good
	To what extent is it foreseeable that unachieved aspects of the project objective will be achieved during the current project term?	All aspects of the project objective will be achieved during the current project term	Monitoring system Interviews	Data from the projects monitoring systems Interviews with MAPA and GIZ staff	moderate
The activities and outputs of the project contributed substantially to the project objective achievement (outcome).(1) Max. 30 points	To what extent have the agreed project outputs been achieved (or will be achieved until the end of the project), measured against the output indicators? Are additional indicators needed to reflect the outputs adequately? Did the implementation of CapGestão / CapGestores / CapFeiras reach additional actors beyond ATER? What new advisory services have been implemented?	• Impacts of actions with family farming organizations and PCTS in relation to management and marketing? • Use of acquired skills to expand access to markets for socio-biodiversity and agroecology products?	Monitoring system Interviews	Data from the projects monitoring systems Interviews with MAPA and GIZ staff	strong
	How does the project contribute via activities, instruments and outputs to the achievement of the project objective (outcome)? (contribution-analysis approach) Is the construction and maturation logic replicable? (creation of multisectoral groups, such as dialogues or the pirarucu group)	The activities, instruments and outputs are successfully contributing to achieving the outcome.	Project documentation Interviews	Project documentation (reports and publications) Interviews with GIZ, MAPA, marketing chambers, civil society and private sector representatives, representatives of target groups	strong
	Implementation strategy: Which factors in the implementation contribute successfully to or hinder the achievement of the project objective? What factors promote the permanent introduction of policies in institutions? Especially, how does SAF/MAPA use the project results to increase its own capacity and structure? How can these experiences be used to popularize more products?	Success factors are identified. Obstacles to project implementations are identified.	Interviews	Interviews with MAPA and GIZ staff	strong
	What other/alternative factors contributed to the fact that the project objective was achieved or not achieved?	Other factors - if any - are identified.	Interviews	Interviews with MAPA and GIZ staff	strong

	What would have happened without the project? How did the stakeholders in Rondônia, Mato Grosso, Tocantines act without a Project? What were the outcomes there?	Due to Covid-19 crisis situation, creating a counter-factual situation would not be feasable and is expected to not add sufficient extra value.	n.a.	n.a.	
No project-related (unintended) negative results have occurred – and if any negative results occured the project responded adequately. The occurrence of additional (not formally agreed) positive results has been monitored and additional opportunities for further positive results have been seized. Max. 30 points	Which (unintended) negative or (formally not agreed) positive results does the project produce at output and outcome level and why? How are the ATER institutions (public, private and NGOs) using the acquired skills to expand access to markets for products of socio-biodiversity and agroecology? Where are there still bottlenecks? How did the awareness campaigns contribute to expand or qualify the commercialization of Amazonian products?	Unintended negative factors as well as formally not agreed positive results are identified at outcome and output levels are identified and explained.	Project documentation Interviews	Project documentation (reports) Interviews with GIZ, MAPA, marketing chambers, civil society and private sector representatives, representatives of target groups	good

	How were risks and assumptions (see also GIZ Safeguards and Gender system) as well as (unintended) negative results at the output and outcome level assessed in the monitoring system? Were risks already known during the concept phase? How did gender learning at CapGestão (eg gender toolbox, adherence terms against sexual harassment, gender-appropriate value chain case) contribute to the visibility / analysis of gender restrictions in value chains and unpaid activities (domestic) of women in the Amazon?	Risks regarding unintended negative results at the output and outcome level were correctly assessed in the monitoring system.	Project documentation	Safeguard and gender analyses, Kompass dsta (?)	good
	What measures have been taken by the project to counteract the risks and (if applicable) occurred negative results? To what extent were these measures adequate?	The measures taken by the project to counteract the risks were adequate.	Project documentation Interviews	Projecto documentation (reports) Interviews with MAPA and GIZ staff	good

	What were the experiences of companies in communicating the value of socio-biodiversity and agroecology products in the Amazon?	Companies can communicate their experiences.	Interviews, Survey	Interviews with companies, inline survey	moderate

	To what extend were potential (not formally agreed) positive results at outcome level monitored and exploited?	Unintended positive results at outcome level were monitored and exploited in an effective way.	Project documentation Interviews	Project documentation (reports) Interviews with MAPA and GIZ staff	good

(1) The first and the second evaluation dimensions are interrelated: if the contribution of the project to the objective achievement is low (2nd evaluation dimension) this must be considered for the assessment of the first evaluation dimension also.

(2) Deescalating factors/ connectors: e.g. peace-promoting actors and institutions, structural changes, peace-promoting norms and behaviour. For more details on 'connectors' see: GIZ (2007): 'Peace and Conflict Assessment (PCA).

(3) Escalating factors/ dividers: e.g. destructive institutions, structures, norms and behavior. For more details on 'dividers' see: GIZ (2007): 'Peace and Conflict Assessment (PCA).
(4) All projects in fragile contexts, projects with FS1 or FS2 markers and all transitional aid projects have to weaken escalating factors/dividers and have to mitigate risks in the context of conflict, fragility and violence. Projects with FS1 or FS2 markers should also consider how to strengthen deescalating factors/ connectors and how to address peace needs in its project objective/sub-objective?
(5) Risks in the context of conflict, fragility and violence: e.g. contextual (e.g. political instability, violence, economic crises, migration/refugee flows, drought, etc.), institutional (e.g. weak partner capacity, fiduciary risks, corruption, staff turnover, investment risks) and personnel (murder, robbery, kidnapping, medical care, etc.). For more details see: GIZ (2014): 'Context- and conflict-sensitive results-based monitoring system (RBM). Supplement to: The 'Guidelines on designing and using a results-based monitoring system (RBM) system.', p.27 and 28.

OECD-DAC Criterion IMPACT (max. 100 points)

Assessment dimensions	**Evaluation questions**	**Evaluation indicators**	**Data collection methods** (e.g. interviews, focus group discussions, documents, project/partner monitoring system, workshop, survey, etc.)	**Data sources** (list of relevant documents, interviews with specific stakeholder categories, specific monitoring data, specific workshop(s), etc.)	**Evidence strength** (moderate, good, strong)
The intended overarching development results have occurred or are foreseen (plausible reasons). (1) Max. 40 points	To which overarching development results is the project supposed to contribute (cf. module and programme proposal with indicators/ identifiers if applicable, national strategy for implementing 2030 Agenda, SDGs)? Which of these intended results at the impact level can be observed or are plausible to be achieved in the future?	The project contributed to the programme and project objectives, to achievement of the Brazilian Strategies to combat deforestation and strenghen smallholder agriculture and sustainable use of forest resources. These intended results at the level of overarching results can be observed or are plausible to be achieved as described in the ToC/ results hypotheses	Document analysis	National and regional strategy documents: PPCDAm, PlanapoBrazilian Agenda 2030 Action Plan	moderate
	What impacts are mentioned by ATER agents when they describe their actions to family farming organizations and PCTS in relation to management and marketing? How relevant are gender issues to beneficiaries and extension workers?	ATER agents can decribe these impacts.	Survey	Project documentation (reports and publications) Interviews with marketing chamber members and representatives of the target groups	strong

	Indirect target group and 'Leave No One Behind' (LNOB): Is there evidence of results achieved at indirect target group level/specific groups of population? To what extent have Experience of good commercialization practices of replicated products of socio-biodiversity and agroecology • Use of results by the target group and / or implementing partners? • Did the implementation of CapGestão / CapGestores / CapFeiras affect other actors besides ATER? What new consulting services have been implemented? • How are the project's contents, approaches, methods or consultative concepts anchored / institutionalized in the system (partner)?targeted marginalised groups (such as women, children, young people, elderly, people with disabilities, indigenous peoples, refugees, IDPs and migrants, people living with HIV/AIDS and the poorest of the poor) been reached? How did the project contribute to expanding market access for products from socio-biodiversity and agroecology? What were the impacts in the two prioritized territories?	The results achieved are in line with the hypothesis and ToC, the target groups were reached. Marginalised groups were reached to the degree foreseen in the offer.	Document analyses Interviews	Project documentation (reports and publications) Interviews with ATER agents and representatives of the target groups	good
The project objective (outcome) of the project contributed to the occurred or foreseen overarching development results (impact).(1) Max. 30 points	To what extent is it plausible that the results of the project on outcome level (project objective) contributed or will contribute to the overarching results? (contribution-analysis approach)	It is fully plausible that the project's results contribute to the programme objective.	Document analyses Monitoring system Interviews	Programme and project documetation Prrogramme and project indicators Interviews with MAPA and GIZ staff	strong
	What are the alternative explanations/factors for the overarching development results observed? (e.g. the activities of other stakeholders, other policies)	Factors out of the project's reach (system boundary) are identified and described.	Document analyses Interviews	Documentstion on other projects and initiatives relared to the project's issues Interviews wiht partner organisations that carry out those initiatives	strong
	To what extent is the impact of the project positively or negatively influenced by framework conditions, other policy areas, strategies or interests (German ministries, bilateral and multilateral development partners)? How did the project react to this?	The way the impact of the project has been (positively or negatively) influenced by framework conditions, other policy areas, strategies or interests (German ministries, bilateral and multilateral development partners) is analysed and described. The consequences of the project led to appropriate mitigation measures.	Document analyses Interviews	Documentstion on other projects and initiatives relared to the project's issues Interviews wiht partner organisations that carry out those initiatives	strong
	What would have happened without the project? How did the stakeholders in Rondônia, Mato Grosso, Tocantines act without a Project? What were the outcomes there?	The results would not have been achieved without the project.	Interviews	Interviews with GIZ, MAPA, marketing chambers, civil society and private sector representatives, representatives of target groups	moderate

	To what extent has the project made an active and systematic contribution to widespread impact and were scaling-up mechanisms applied (2)? If not, could there have been potential? Why was the potential not exploited? To what extent has the project made an innovative contribution (or a contribution to innovation)? Which innovations have been tested in different regional contexts? How are the innovations evaluated by which partners?	The project made an active and systematic contribution to widespread impact.	Document analyses Interviews	Project documentation on adoption of best practices Interviews with GIZ staff	good
No project-related (unintended) negative results at impact level have occurred – and if any negative results occured the project responded adequately. The occurrence of additional (not formally agreed) positive results at impact level has been monitored and additional opportunities for further positive results have been seized. Max. 30 points	Which (unintended) negative or (formally not agreed) positive results at impact level can be observed? Are there negative trade-offs between the ecological, economic and social dimensions (according to the three dimensions of sustainability in the Agenda 2030)? Were positive synergies between the three dimensions exploited? Why are Amazonian products not found in the region's markets?	Positive or negative unintended results at impact level were observed and adequately responded to.	Project documentation Interviews	Project documentation (reports) Interviews with GIZ, MAPA, marketing chambers, civil society and private sector representatives, representatives of target groups	good
	To what extent were risks of (unintended) results at the impact level assessed in the monitoring system? Were risks already known during the planning phase?	Risks regarding unintended negative results at the impact level were correctly assessed in the monitoring system.	Project documentation	Safeguard and gender analyses, Kompass dsta (?)	good
	What measures have been taken by the project to avoid and counteract the risks/negative results/trade-offs (3)?	The measures taken by the project to avoid and counteract the risks/negative results/trade-offs are approriate.	Project documentation Interviews	Projecto documentation (reports) Interviews with MAPA and GIZ staff	good
	To what extent have the framework conditions played a role in regard to the negative results? How did the project react to this?	Only applicable if there were negative results. These could not be identified in the course of the inception phase	Project documentation Interviews	Projecto documentation (reports) Interviews with MAPA and GIZ staff	good
	To what extent were potential (not formally agreed) positive results and potential synergies between the ecological, economic and social dimensions monitored and exploited? What else should be done? What are the products with the greatest potential in national and international markets?	Potential unintended positive results and potential synergies between the ecological, economic and social dimensions were monitored and exploited by the project.	Project documentation Interviews	Projecto documentation (reports) Interviews with MAPA and GIZ staff	good

(1) The first and the second evaluation dimensions are interrelated: if the contribution of the project outcome to the impact is low or not plausible (2nd evaluation dimension) this must be considered for the assessment of the first evaluation dimension also.

(2) Broad impact (in German 'Breitenwirksamkeit') is defined by 4 dimensions: relevance, quality, quantity, sustainability. Scaling-up approaches can be categorized as vertical, horizontal, functional or combined. See GIZ (2014) 'Corporate strategy evaluation on scaling up and broad impact: The path: scaling up, the goal: broad impact' (https://www.giz.de/de/downloads/giz2015-en-scaling-up.pdf)

(3) Risks, negative results and trade-offs are separate aspects and are all to be considered.

OECD-DAC Criterion EFFICIENCY (max. 100 points)

Assessment dimensions	Evaluation questions	Evaluation indicators (pilot phase for indicators - only available in German so far)	Data collection methods (e.g. interviews, focus group discussions, documents, project/partner monitoring system, workshop, survey, etc.)	Data sources (list of relevant documents, interviews with specific stakeholder categories, specific monitoring data, specific workshop(s), etc.)	Evidence strength (moderate, good, strong)
The project's use of resources is appropriate with regard to the outputs achieved. [Production efficiency: Resources/Outputs] Max. 70 points	To what extent are there deviations between the identified costs and the projected costs? What are the reasons for the identified deviation(s)?	The project controls its resources according to the planned cost plan (cost lines). Deviations from the cost plan are only made if the reasons can be understood.	GIZ applies the 'follow-the-money approach' as the standard method of efficiency measurement in CPEs. In this method, all costs allocated to the project are retrospectively assigned to the corresponding outputs. This should reveal how existing resources can be better allocated for achieving results. Thus, based on the maximum principle, it studies how far the same funds can be used to achieve even greater results. Bases for the analysis are the financial statements from 19 August 2020, the annual progress report of 15 September 2020, the list of local contracts, and several interviews with the GIZ project team.	The GIZ Central Evaluation Unit developed an Efficiency Tool in 2017 as a framework for assessing cost-effectiveness. The analysis of this evaluation dimension is based on named tool and the cost-output data. The tool was updated to protect sensible data. While the first step involves systematic mapping of the costs and commitment, the second step requires an analysis of costs for each output by using the assessment of involved or external stakeholders as well as the evaluator's assessment.	strong
	Focus: To what extent could the outputs have been maximised with the same amount of resources and under the same framework conditions and with the same or better quality (maximum principle)? (methodological minimum standard: Follow-the-money approach)	The project reflects on whether the agreed effects can be achieved with the available resources.			good
		The project controls its resources according to the planned costs for the agreed services (outputs). Deviations from the costs are only made if the reasons can be understood. The overall costs of the project are in reasonable proportion to the costs of the outputs. The services provided by ZAS reporting have a comprehensible added value for the achievement of the project's outputs.			good
		The overall costs of the project are in reasonable proportion to the costs of the outputs.			good
		The services provided by ZAS reporting have a comprehensible added value for the achievement of the project's outputs.			good
	Focus: To what extent could outputs have been maximised by reallocating resources between the outputs? (methodological minimum standard: Follow-the-money approach)	The project controls its resources in order to achieve other outputs faster / better when outputs have been achieved or these cannot be achieved.	The distribution of the sum of the output costs is in reasonable proportion to the outputs, as the three outputs/components had almost the same financial weight.	Cost commitment report, staffing schedules, interview with project team	good
	Were the output/resource ratio and alternatives carefully considered during the design and implementation process – and if so, how? (methodological minimum standard: Follow-the-money approach)	The instrument concept proposed in the module proposal could be implemented well in terms of the estimated costs in relation to the intended outputs of the project.			good
		The partner constellation suggested in the module proposal and the associated levels of intervention could be implemented well in terms of the estimated costs in relation to the intended outputs of the project.			good
		The thematic tailoring for the project proposed in the module proposal could be implemented well in terms of the estimated costs in relation to the targeted outputs of the project.			good
		The risks described in the module proposal are easy to understand with regard to the estimated costs in relation to the intended outputs of the project.			good

		The scope of the project (e.g. regions) described in the module proposal could be fully realized in terms of the estimated costs in relation to the targeted outputs of the project.			good
		The approach of the project described in the module proposal with regard to the outputs to be provided corresponds to the state-of-the-art under the given framework conditions.			good
The project's use of resources is appropriate with regard to achieving the projects objective (outcome). [Allocation efficiency: Resources/Outcome] Max. 30 points	To what extent could the outcome (project objective) have been maximised with the same amount of resources and the same or better quality (maximum principle)?	The project is based on internal or external benchmarks in order to achieve its effects cost-effectively.	The approach of the project described in the module proposal with regard to the outputs corresponds to the given framework conditions. The partner constellation suggested in the module proposal and the associated levels of intervention could be implemented well in terms of the estimated costs in relation to the targeted outputs of the project. The project strategy from the module proposal could be implemented well in terms of the estimated costs in relation to the targeted outputs of the project. The scope of the project was fully realised in terms of the estimated costs in relation to the targeted outputs of the project. As planned, the four selected states were not entirely covered by project activities, only the capitals and the two selected priority aeras were reached. The risks described in the project proposal are easy to understand in terms of the estimated costs in relation to the intended outputs of the project.	Seconded with interwiew data, document analisys and validation instruments.	good
	Were the outcome-resources ratio and alternatives carefully considered during the conception and implementation process – and if so, how? Were any scaling-up options considered?	The project controls its resources between the outputs, so that the maximum effects in terms of the module objective are achieved. (Final evaluation) Or: The project controls and plans its resources between the outputs so that the	The distribution of the sum of the output costs is in reasonable proportion to the outputs, as the three outputs/components had almost the same financial weight.	Cost commitment report, staffing schedules, interview with project team	good

		maximum effects in terms of the module objective are achieved. (Interim evaluation)			
		The instrument concept proposed in the module proposal could be implemented well in terms of the estimated costs in relation to the intended module goal of the project.	The project made the appropriate adjustments in times of the Covid-19 pandemic to mitigate the risks and sustain the results. Meetings, consultations and workshops were held using video conference tools. The project documents were distributed via virtual channels. Local contracts were amended to adjust delivery to the lockdown. Finally, this evaluation was done remotely.	Cost commitment report, staffing schedules, interview with project team	good
		The partner constellation proposed in the module proposal and the associated levels of intervention could be implemented well in terms of the estimated costs in relation to the intended module goal of the project.	The project made the appropriate adjustments in times of the Covid-19 pandemic to mitigate the risks and sustain the results. Meetings, consultations and workshops were held using video conference tools. The project documents were distributed via virtual channels. Local contracts were amended to adjust delivery to the lockdown. Finally, this evaluation was done remotely.	Cost commitment report, staffing schedules, interview with project team	good
		The thematic layout for the project proposed in the module proposal could be implemented well in terms of the estimated costs in relation to the intended module objective of the project.	The project made the appropriate adjustments in times of the Covid-19 pandemic to mitigate the risks and sustain the results. Meetings, consultations and workshops were held using video conference tools. The project documents were distributed via virtual channels. Local contracts were amended to adjust	Cost commitment report, staffing schedules, interview with project team	good

			delivery to the lockdown. Finally, this evaluation was done remotely.		
		The risks described in the module proposal are easy to understand with regard to the estimated costs in relation to the intended module objective of the project.	The project made the appropriate adjustments in times of the Covid-19 pandemic to mitigate the risks and sustain the results. Meetings, consultations and workshops were held using video conference tools. The project documents were distributed via virtual channels. Local contracts were amended to adjust delivery to the lockdown. Finally, this evaluation was done remotely.	Cost commitment report, staffing schedules, interview with project team	good
		The scope of the project (e.g. regions) described in the module proposal could be fully realized in terms of the estimated costs in relation to the planned module goal of the project.	The project made the appropriate adjustments in times of the Covid-19 pandemic to mitigate the risks and sustain the results. Meetings, consultations and workshops were held using video conference tools. The project documents were distributed via virtual channels. Local contracts were amended to adjust delivery to the lockdown. Finally, this evaluation was done remotely.	Cost commitment report, staffing schedules, interview with project team	good

		The approach of the project described in the module proposal with regard to the module objective to be achieved corresponds to the state-of-the-art under the given framework conditions.	The project made the appropriate adjustments in times of the Covid-19 pandemic to mitigate the risks and sustain the results. Meetings, consultations and workshops were held using video conference tools. The project documents were distributed via virtual channels. Local contracts were amended to adjust delivery to the lockdown. Finally, this evaluation was done remotely.	Cost commitment report, staffing schedules, interview with project team	good
	To what extent were more results achieved through cooperation / synergies and/or leverage of more resources, with the help of other ministries, bilateral and multilateral donors and organisations (e.g. co-financing) and/or other GIZ projects? If so, was the relationship between costs and results appropriate or did it even improve efficiency?	The project takes the necessary steps to fully realize synergies with interventions by other donors at the impact level.	The project has taken the necessary steps to fully realise synergies, coordination and complementarity within German development cooperation. Thanks to the combined financing, the overall costs have not increased disproportionately in relation to the total costs. Synergies with interventions by other donors at the impact level were reduced by retrieval of donors to the Amazon Fund.	Seconded with interwiew data, document analisys and validation instruments.	good
		Loss of profitability due to insufficient coordination and complementarity with interventions by other donors are sufficiently avoided.		Cost commitment report, staffing schedules, interview with project team	good
		The project is taking the necessary steps to fully realize synergies within German development cooperation.		Cost commitment report, staffing schedules, interview with project team	good
		Loss of profitability due to insufficient coordination and complementarity within German development cooperation is sufficiently avoided.		Cost commitment report, staffing schedules, interview with project team	good
		The combined financing has led to a significant expansion of the effects or this is to be expected.		Cost commitment report, staffing schedules, interview with project team	good
		Thanks to the combined financing, the overarching costs have not risen disproportionately in relation to the total costs.		Cost commitment report, staffing schedules, interview with project team	good
		The partner contributions are in reasonable proportion to the costs of the project's outputs.		Cost commitment report, staffing schedules, interview with project team	good

OECD-DAC Criterion SUSTAINABILITY (max. 100 points)					
Assessment dimensions	**Evaluation questions**	**Evaluation indicators**	**Data collection methods** (e.g. interviews, focus group discussions, documents, project/partner monitoring system, workshop, survey, etc.)	**Data sources** (list of relevant documents, interviews with specific stakeholder categories, specific monitoring data, specific workshop(s), etc.)	**Evidence strength** (moderate, good, strong)
Prerequisite for ensuring the long-term success of the project: Results are anchored in (partner) structures. Max. 50 points	What has the project done to ensure that the results can be sustained in the medium to long term by the partners themselves?	The project took appropriate measures to ensure that the results can be sustained in the medium to long term by the partners themselves.	Document analysis Interviews	Project documentation Interviews with partner organisations at federal and state level	good
	In what way are advisory contents, approaches, methods or concepts of the project anchored/institutionalised in the (partner) system?	The advisory contents, approaches, methods or concepts of the project are fully and sustainably anchored/institutionalised in the (partner) systems.	Document analysis Interviews	Project documentation Interviews with partner organisations at federal and state level	good
	To what extent are the results continuously used and/or further developed by the target group and/or implementing partners? What are the prospects for inclusion / expansion of socio-biodiversity products and agroecology in PNAE and PAA in the future?	It is plausible that the results will be continuously used and/or further developed by the target group and/or implementing partners.	Document analysis Interviews	Project documentation Interviews with participants of the CAP-Gestão Programme and representatives of the target groups	moderate
	To what extent are resources and capacities at the individual, organisational or societal/political level in the partner country available (long-term) to ensure the continuation of the results achieved?	Resources and capacities at the individual, organisational or societal/political level in the partner country are fully available (longer-term) to ensure the continuation of the results achieved.	Document analysis Interviews	Interviews with MAPA, marketing chamber members, participants of the CAP-Gestão Programme and representatives of universities	moderate
	If no follow-on measure exists: What is the project's exit strategy? How are lessons learnt for partners and GIZ prepared and documented? What perspective do the Marketing Chambers have in the different States?	The project's exit strategy is valid and realistic. Lessons learnt are prepared and documented in a way that the target group benefits after project expiry. Elements of the project will be continued in another project.	Document analysis Interviews	Interviews with MAPA, marketing chamber members, participants of the CAP-Gestão Programme and representatives of universities	moderate
	To what extent was the project able to ensure that escalating factors/dividers (1) in the context of conflict, fragility and violence have not been strengthened (indirectly) by the project in the long-term? To what extent was the project able to strengthen deescalating factors/connectors (2) in a sustainable way (3)?	The project successfully ensured that escalating factors/dividers in the context of conflict, fragility and violence have not been strengthened (indirectly) by the project in the long-term. The project supported strengthening deescalating factors/connectors in a sustainable way.	Document analysis Interviews	Interviews with MAPA, marketing chamber members, participants of the CAP-Gestão Programme and representatives of universities	moderate
Forecast of durability: Results of the project are permanent, stable and long-term resilient. Max. 50 points	To what extent are the results of the project durable, stable and resilient in the long-term under the given conditions? What results and innovations are maintained during the pandemic? What needs to be adjusted after the pandemic?	It is plausible that the results (outcome and impact) of the project are durable, stable and resilient in the long-term.	Document analysis Interviews	Project documentation Interviews with partner organisations at federal and state level	good
	What results and innovations are maintained during the pandemic? What needs to be adjusted after the pandemic? What can be learned from the project for a post-pandemic public policy? How could the Amazon population's participation in the economic use	It is plausible that the results (outcome and impact) of the project are durable, stable and resilient in the long-term.	Survey, Interviews	Publication reviews, social media polls, online survey	good

	of resources increase? What trends can be identified during and after the pandemic?				
	What risks and potentials are emerging for the durability of the results and how likely are these factors to occur? What has the project done to reduce these risks? What can be learned from the project for a post-pandemic public policy?	The risks and potentials emerging for the durability of the results (outcome and impact) are known and anlysed. The project took adequate mitigation measures.	Document analysis Interviews	Project documentation Interviews with partner organisations at federal and state level	good

(1) Escalating factors/ dividers: e.g. destructive institutions, structures, norms and behavior. For more details on 'dividers' see: GIZ (2007): 'Peace and Conflict Assessment (PCA).

(2) Deescalating factors/ connectors: e.g. peace-promoting actors and institutions, structural changes, peace-promoting norms and behavior. For more details on 'connectors' see: GIZ (2007): 'Peace and Conflict Assessment (PCA).

(3) All projects in fragile contexts, projects with FS1 or FS2 markers and all transitional aid projects have to weaken escalating factors/dividers and have to mitigate risks in the context of conflict, fragility and violence. Projects with FS1 or FS2 markers should also consider how to strengthen deescalating factors/ connectors and how to address peace needs in its project objective/sub-objective?

Additional Evaluation Questions

Assessment dimensions	**Evaluation questions**	**Evaluation indicators**	**Data collection methods** (e.g. interviews, focus group discussions, documents, project/partner monitoring system, workshop, survey, etc.)	**Data sources** (list of relevant documents, interviews with specific stakeholder categories, specific monitoring data, specific workshop(s), etc.)	**Evidence strength** (moderate, good, strong)
Impact and sustainability (durability) of predecessor project(s)	Which of the intended impact of the predecessor project(s) can (still/now) be observed?	The intended impact of the predecessor project(s) can still be observed in the context of marketing strategies for forest products by local communities	Document analyses Interviews	Interviews with GIZ coordination and staff members from the predecessor project, MAPA staff members who took part in the implementation	good
	Which of the achieved results (output, outcome) from predecessor project(s) can (still) be observed?	Several achieved results (output, outcome) from predecessor project(s) can be identified and described	Document analyses Interviews Monitoring system	Interviews with GIZ coordination and staff members from the predecessor project, MAPA staff members who took part in the implementation Further evolution of the predecessors project indicator	good
	To what extent are these results of the predecessor project(s) durable, stable and resilient in the long-term under the given conditions?	It is plausible that the results (outcome and impact) of the project are durable, stable and resilient in the long-term.	Interviews	Interviews with GIZ coordination and staff members from the predecessor project, MAPA staff members who took part in the implementation	good

	In what way were results anchored/institutionalised in the (partner) system?	The advisory results of the project(s) are fully and sustainably anchored/institutionalised in the (partner) systems.	Interviews	Interviews with GIZ coordination and staff members from the predecessor project, MAPA staff members who took part in the implementation	moderate
	How much does the current project build on the predecessor project(s)? Which aspects (including results) were used or integrated in the current project (phase)?	The current project absorbed lessons learnt and build on the results of the predecessor as its results and activities were defined.	Document analyses	Project documentation (predecessor's and current project proposal)	good
	How was dealt with changes in the project context (including transition phases between projects/phases)? Which important strategic decisions were made? What were the consequences?	The strategic decisions dealing with the changes in the project and the transition between projects are retrospectively considered as being the right ones.	Interviews	Interviews with GIZ coordination and staff members from the predecessor project, MAPA staff members who took part in the implementation	good
	Which factors of success and failure can be identified for the predecessor project(s)?	The main factors of success and failure for the predecessor project(s) are identified.	Document analyses Interviews	Interviews with GIZ coordination and staff members from the predecessor project, MAPA staff members who took part in the implementation	good

(1) Please add additional questions of interests raised by the project including partner or target group during the inception phase that could not be included into the OECD/DAC criteria.

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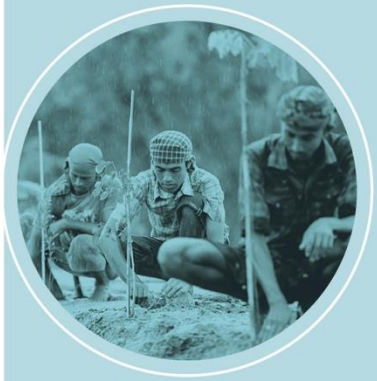

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