Projects Effectiveness Evaluation Supported by Amazon Fund

Alto Juruá Project

March 2022

Ex-Post Effectiveness Evaluation Report on Indigenous Projects within the scope of the Amazon Fund

This report presents the results of the evaluation of the effectiveness of the Alto Juruá project, which is part of the Ex-Post Effectiveness Evaluation on Indigenous Projects within the scope of the Amazon Fund. The evaluation was carried out by a team formed by independent consultants under the coordination of the German Cooperation for Sustainable Development, through the Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH (GIZ) within the scope of the Amazon Fund technical cooperation with BNDES. All opinions expressed here in are the sole responsibility of the authors, not necessarily reflecting the position of GIZ or BNDES.

The document with the full ex-post effectiveness Evaluation of projects on the topic of Indigenous can be found on the Amazon Fund's website, in the External Assessments section.

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Summary

Acronym list

ACJ	Association of Community Workers who work with the Development of the Municipality of Jutaí
ADERR	Agricultural Defense Agency of Roraima
AF	Amazon Fund
AIS	Sustainable Indigenous Amazon (Project)
AERDSC	Association of Extractive Workers of the Cujubim Sustainable Development Reserve
AMARU	Association of Agroextractive Residents of the Uacari RDS
AMIN	Association of Indigenous Women
APIB	Articulation of Indigenous Peoples of Brazil
APS	Sustainable Productive Activities
APPs	Permanent Protection Areas
ASPODEX	Association of the Deni People of the Xeruã River
ASPROC	Association of Rural Producers of Carauari
ATAI	Territorial and Environmental Agents
BNDES	National Bank for Economic and Social Development
CAFOD	Catholic Agency for Overseas Development
CIFCRSS	Raposa Serra do Sol Indigenous Training and Culture Center
CIR	Indigenous Council of Roraima
COIAB	Coordination of Indigenous Organizations of the Brazilian Amazon
CONAB	National Supply Company
COPIJU	Council of Indigenous Peoples of Jutaí
CPI	Pro-Indigenous Commission
CTI	Center for Indigenous Work

CAR	Rural Environmental Registry
DAP	Declaration of Aptitude (of the producer) for Pronaf
DGTA/CIR	Department of Territorial and Environmental Management of the Indigenous Council of Roraima
ECLAC	Economic Commission for Latin America
FOIRN	Federation of Indigenous Organizations of Rio Negro
FUNAI	National Indigenous Foundation
GIZ	German Cooperation for Sustainable Development (Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH)
GPVIT	Territorial Protection and Surveillance Group
IGATI	Implementing Environmental Management in Indigenous Lands (TNC Project)
ILs	Indigenous Lands
INPE	National Institute for Space Research
IPAM	Amazon Environmental Research Institute
IIEB	International Institute of Education of Brazil - Brasília
ISA	Socio-environmental Institute
LEAF	Lowering Emissions by Accelerating Forest finance
LF	Logical Framework
MCTI	Ministry of Science, Technology and Innovation
MMA	Ministry of Environment
MPF	Federal Prosecution Service
NTFP	Non-Timber Forest Products
OECD	Organization for Economic Co-operation and Development
OEMAS	State Environmental Organizations
OPAN	Native Amazon Operation
PAA	Food Acquisition Program
PAS	Sustainable Amazon Plan

PEMC/PA	State Policy on Climate Change
PSA	Payment for Environmental Services
PGPM	Minimum Price Guarantee Policy
PGPM-Bio	Minimum Price Guarantee Policy for Sociobiodiversity Products
PGTA	Plans for Territorial and Environmental Management in Indigenous Lands
PNAE	National School Feeding Program
PNGATI	National Policy for Territorial and Environmental Management in Indigenous Lands
PPCDAm	Action Plan for Deforestation Prevention and Control in the Legal Amazon
PRODES	Brazilian Amazon Rainforest Monitoring Project by Satellite
PRONAF	National Program for Strengthening Family Farming
RDS	Sustainable Development Reserve
REDD+	Reduction of greenhouse gas emissions from deforestation and forest degradation (+ conservation of forest carbon stocks, sustainable forest management and increased forest carbon stocks)
RESEX	Extractive Reserve
SOMAI	Observation and Monitoring System for the Indigenous Amazon
SAFs	Agroforestry Systems
TNC	The Nature Conservancy
ToR	Terms of Reference
UCs	Conservation Units
UNFCCC	United Nations Framework Convention on Climate Change
USAID	United States Agency for International Development
WWF	World Wildlife Fund

PROJECT

Alto Juruá

Project title:	**Alto Juruá**
Entity in charge:	Ashaninka Association of the Amônia River – APIWTXA
Project duration:	April 2015 - November 2018 - 43 months
Territorial scope:	Alto Juruá (State of Acre)
Beneficiaries:	Indigenous populations that inhabit Indigenous Lands (ILs) Kampa do Rio Amônia and Kaxinawá-Ashaninka do Rio do Breu, in addition to communities in the Extractive Reserve of Alto Juruá and Ashaninka in Peru[1]
Objective:	Promote agroforestry management and production in traditional and indigenous communities; support initiatives for monitoring and controlling the territory; and strengthen local community organization.
Total project amount:	BRL 6,597,581.00
Amount of support from the Amazon Fund:	BRL 6,597,581.00

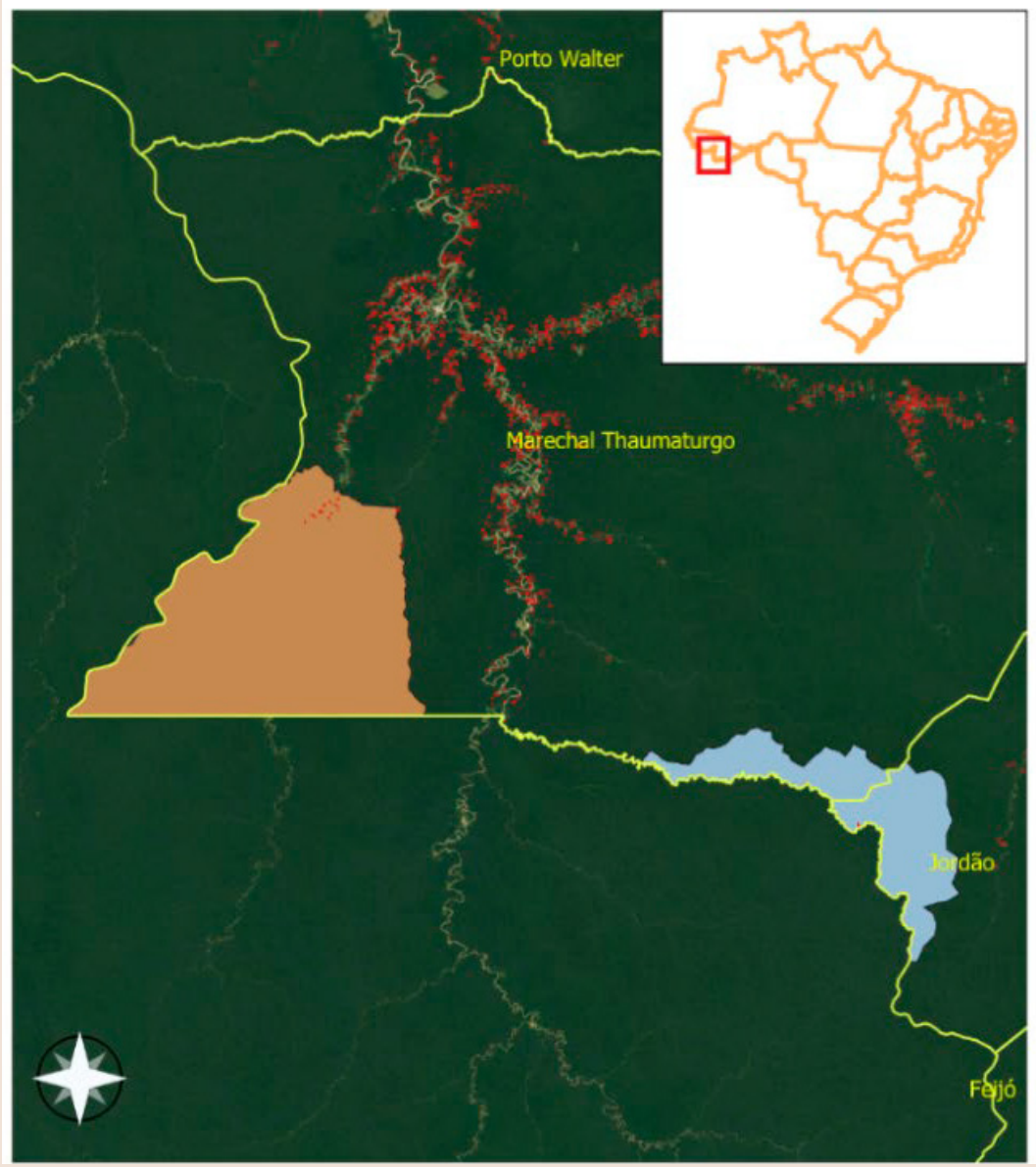
1. Source: Prepared from the adaptation of information from the Amazon Fund website (http://www.fundoamazonia.gov.br/pt/projeto/Alto-Jurua)

1. Project Summary

The *Alto Juruá* project in the state of Acre was executed by the Ashaninka do Rio Amônia Association – APIWTXA, which is a pioneering project for being coordinated and executed by an indigenous entity. The project had a budget of BRL 6,597,581.00 and met the expectations of the Ashaninka indigenous people, known for their struggles on behalf of their territory and for fighting deforestation. The Ashaninka community inhabits several areas of the Alto Juruá, ranging from the Kampa do Rio Amônia Indigenous Land to the Peruvian border in a discontinuous manner, crossing the Alto Juruá Extractive Reserve (RESEX). The Amazon Fund understood that these areas were threatened by deforestation and forest degradation and supported the Ashaninka Association's bid to coordinate the project.[2] The project is located in the state of Acre (continuing up to the border with Peru) in a wide region of Alto Juruá, as shown in the map in Figure 1.

2. Information taken from the Amazon Fund website. Available at http://www.fundoamazonia.gov.br/pt/projeto/Alto-Jurua

Figure 1: Coverage map of the *Alto Juruá* project



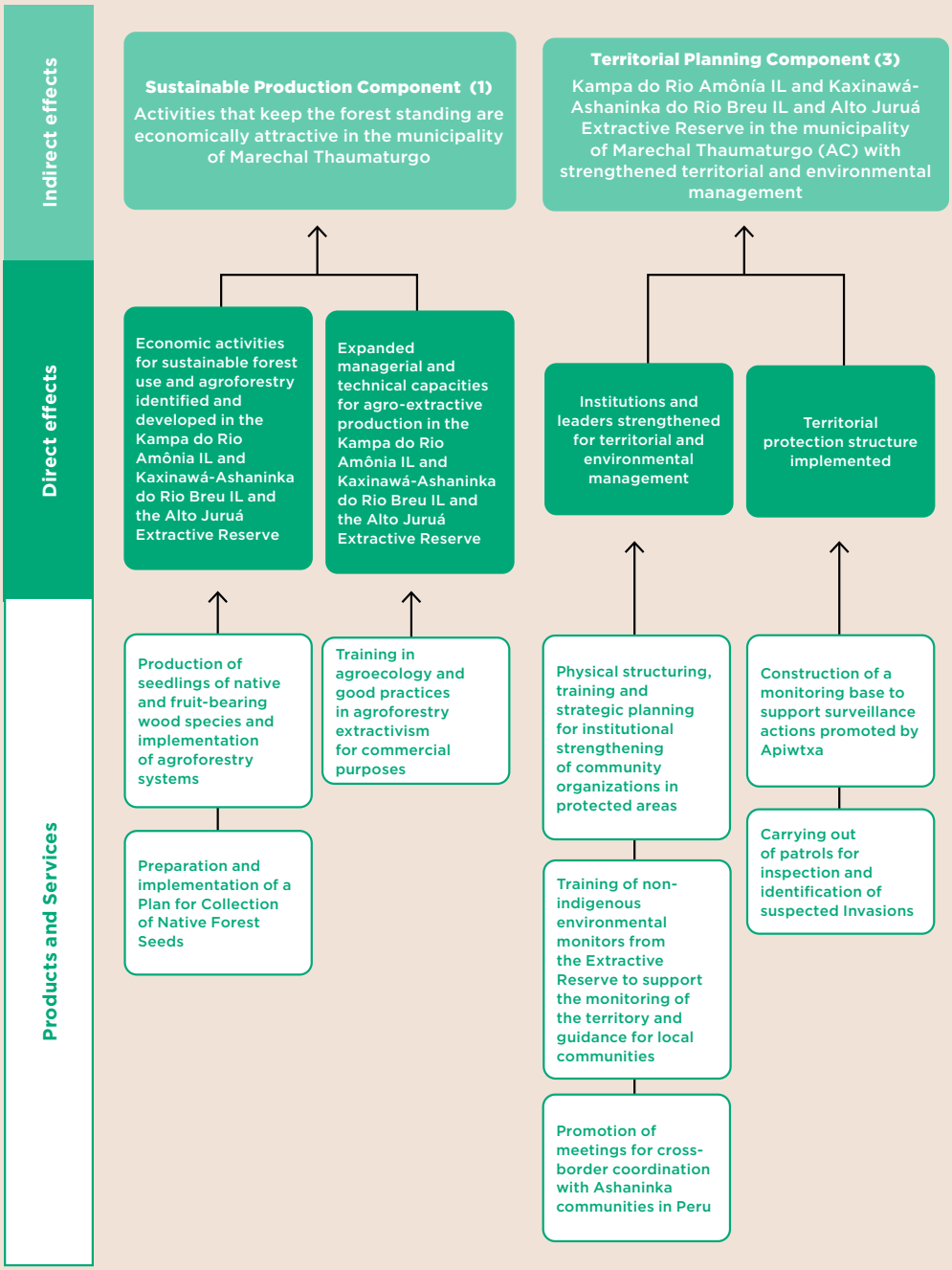
Source: BUSCA TERRA, 2021.[3]

3. BUSCA TERRA. *Análise da evolução do desmatamento em áreas de projetos de apoio a terras indígenas no Fundo Amazônia.* Brasilia: GIZ, 2021.

2. Intervention Logic

In the Logical Framework of the Amazon Fund, the *Alto Juruá* project links with components (1) Sustainable Production; and (3) Land-use Planning Component. (Figure 2)

Figure 2: Tree of Objectives of the Logical Framework of the *Alto Juruá* project



Source: Developed by authors

3. Methodology

- The criteria and methodology used in the effectiveness evaluation of the *Alto Juruá* project are the same as those already presented in the thematic evaluation report, based on the OECD criteria.
- As in the others, interviews were carried out by videoconference with the technical team of the *Alto Juruá* project that was directly involved in the implementation of the project.
- Another input used in this effectiveness evaluation was the secondary and documentary data from the *Alto Juruá* project which can be found in the information base of the Amazon Fund/BNDES.
- A limitation identified in this evaluation is that it was not possible to carry out interviews with the beneficiaries at the project site.

4. Evaluation of Results

Table 1 shows the results of the work carried out by the consultancy commissioned by GIZ on deforestation in the Ashaninka area.

Tablel 1: Result of the deforestation survey in the projects' areas of operation. (in km²)

Projects	Total area of projects	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020
Alto Juruá	1,184.8	0.00	0.29	0.47	0.07	0.00	0.08	0.00	0.15	0.07	0.00	0.07	0.38
Grand total	**107,536.1**	**40.48**	**24.29**	**10.81**	**6.44**	**17.55**	**11.28**	**8.77**	**9.86**	**10.92**	**35.65**	**129.44**	**94.38**

Source: BUSCA TERRA, 2021.[4]

4. BUSCA TERRA. *Analysis of the evolution of deforestation in areas of projects to support indigenous lands in the Amazon Fund*. Brasilia: GIZ, 2021.

The consultancy divided the deforestation average according to the execution of the projects into before[5], during[6] and after[7]. The consultancy concluded that the ILs supported by the respective projects showed less deforestation during their execution, contributing to the achievement of the Amazon Fund's general objective of reducing deforestation in the Amazon with sustainable development[8]. (Table 1)

Table 1: Deforestation in the area of operation of the *Alto Juruá* project, considering baseline, execution period and post-project. (in km²).

Projects	Baseline (2009-2013)	Project execution period (2014-2018)	Post-project (2019-2020)	Trend (baseline, during and post)
Alto Juruá	0.17	0.06	0.22	

Source: BUSCA TERRA, 2021[9]

In the case of the *Alto Juruá* project, one can clearly see not only the reduction in deforestation during the project but also, the fact that the deforestation decline during its execution was about 2/3 (64.63%) higher than the deforestation declines in the other projects, which was, on average, around one quarter (23.19%). This phenomenon is shown in Table 2.

5. Before is the baseline, from 2009 to 2013.

6. The projects were executed between 2014 and 2018.

7. The post-project period was established from 2019 to 2020.

8. The supported area presented, during the project, a deforestation of 15.3 km², while in the period immediately before the project (the baseline), it had 19.9 km² deforested, and in the period after the execution of the project, 111 km². (BUSCA TERRA. *Análise da evolução do desmatamento em áreas de projetos de apoio a terras indígenas no Fundo Amazônia*. Brasília: GIZ, 2021).

9. BUSCA TERRA, op. cit.

Table 2: Deforestation rate in relation to baseline

Projects	Baseline (km²)	Project execution period (%)	Post-Project (%)
Alto Juruá	0.166555068	-64.63	33.40
Sustainable Indigenous Amazon	3.343512385	-74.93	-36.89
Productive Networks	1.335469284	-5.62	63.33
Value Chains in Indigenous Lands in Acre	0.622696639	-38.91	126.97
Strengthening Territorial and Environmental Management of Indigenous Lands	14.44487521	-11.68	633.72
Grand total	**19.91310859**	**-23.19**	**462.00**

Source: BUSCA TERRA, 2021[10]

Therefore, it can be concluded that the *Alto Juruá* project, as well as the other projects supported by the Amazon Fund/BNDES, contributed to the general objective, i.e., to reduce deforestation in the Amazon. Regarding indirect effects on deforestation, the conclusion is that deforestation in ILs, which was already lower than in the rest of the Legal Amazon, was even lower during the execution of projects supported by the Amazon Fund/BNDES. The Busca Terra study (2021) concluded that the observed Indigenous Lands have a low rate of deforestation.[11] In addition, Busca Terra observed that the deforestation rate declined significantly during the execution of the projects in relation to baseline, 23.19% on average, but increased by 462% on average after the end of the projects, which implies that the effect of the projects on reducing deforestation was undeniable.

10. BUSCA TERRA. *Análise da evolução do desmatamento em áreas de projetos de apoio a terras indígenas no Fundo Amazônia*. Brasilia: GIZ, 2021.

11. Ibid., p. 7.

4.1. Sustainable Production Component: *Activities that keep the forest standing are economically attractive in the municipality of Marechal Thaumaturgo*

This component has two direct effects: i) Economic activities for sustainable use of the forest and agroforestry identified and developed in the Kampa do Rio Amônia and Kaxinawá-Ashaninka do Rio Breu ILs and the Alto Juruá Resex and ii) Expanded management and technical capacity for agroextractive production in the Kampa do Rio Amônia and Kaxinawá-Ashaninka do Rio Breu ILs and in the Alto Juruá Resex. Both have the same major objective of strengthening *sustainable economic activities in the municipality of Marechal Thaumaturgo*.

To this end, it was crucial to identify the potential of the region and strengthen local production chains. In the case of this project, the project outputs and services included the production of seedlings of native and fruit-bearing wood species and the implementation of agroforestry systems; preparation and implementation of a management plan and collection of native forest seeds, and training in agroecology and good practices in agroforestry extractivism for commercial purposes. The immediate (and direct) effects of the activities carried out were:

- Sustainable use of the forest via agroforestry systems;
- Increase in agricultural production for own consumption and external commercialization in a sustainable way and, consequently, increased income of local producers;
- Training, generating greater control over the collection of native forest seeds and extractivism in general.
- Awareness of the importance of agroforestry systems in the balance between forest production and food production, reducing pressure from deforestation and the use of land for agricultural production purposes.

Due to these effects, the expected indirect results were:

- Deforestation reduction;

- Greater control and knowledge of sustainable techniques, supporting the environmental preservation of the territory;
- Increase in the quality of life of the Ashaninka indigenous people.
- Ecosystem improvement from the point of view of the Ashaninka.

4.2. Land-use Planning Component: *Indigenous Lands Kampa do Rio Amônia and Kaxinawá-Ashaninka do Rio do Breu and Alto Juruá Extractive Reserve in the municipality of Marechal Thaumaturgo (AC) with strengthened territorial and environmental management*

This component (Strengthening Environmental Territorial Management of Indigenous Lands) was divided into two direct effects: Institutions and leaders strengthened for territorial and environmental management and the Territorial protection structure was implemented.

The main direct result of the *Alto Juruá* project in the area of Land-use Planning were the following activities: carrying out strategic planning, monitoring trips, surveillance/enforcement expeditions; exchanges between Ashaninka communities on both sides of the Brazil-Peru border for monitoring and control; and seminars on shared territorial and environmental management process. All these activities had the same goal, i.e., to increase the security of the Ashaninka in the Alto Juruá and surrounding areas.

Thus, the main indirect effect of the Land-use Planning component was to reduce deforestation (as already demonstrated) and the number of invasions, the latter being more difficult to measure. In any case, the reduction of deforestation and the reduction of invasions in the *Alto Juruá* area were also confirmed by the survey carried out by the Project for Satellite-based Monitoring of Deforestation in the Legal Amazon (Prodes)[12] from August 2016 to July 2017. Acre was the 3rd state in terms of reducing deforestation (-34%), after Tocantins (-55%) and Roraima (-43%).[13] According

12. Project coordinated by the National Institute for Space Research (Inpe)

13. MELO, Quesia. Acre is the 3rd state that most reduced deforestation in the Legal Amazon, according to Inpe (Acre é o 3o estado que mais reduziu desmatamento na Amazônia Legal, aponta Inpe.) G1, 19 Oct. of 2017. Available at https://acervo.socioambiental.org/acervo/noticias/acre-eo-3o-estado-que-mais-reduziu-desmatamento-na-amazonia-legal-aponta-inpe

to PRODES, the deforested area in Acre was 372 km in 2016 and 244 km in 2017[2], a 16% reduction, against 6 thousand km² in the entire Legal Amazon.

According to Terras+, a System of Territorial Consolidation Indicators for Indigenous Lands created by the Socioenvironmental Institute (ISA) to help evaluate the territorial consolidation of Indigenous Lands,[14] the Kaxinawa/Ashaninka do Rio Breu lands covered by the Alto Juruá project have an environmental integrity of 0.99/1 and a territorial integrity of 0.78, where 1 is the maximum (positive) scale.[15] This result confirms the success of Amazon Fund projects in reducing deforestation and reducing invasions.

4.3. Synthesis of Direct Effects

The direct effects are divided into two components: (1) Sustainable Production Component and (3) Land-use Planning Component.

4.3.1 Sustainable Production Component

In this component, the products/services offered were, essentially, the production of seedlings of native and fruit-bearing wood species and the implementation of agroforestry systems; design and implementation of a plan for the collection of native forest seeds; and training in agroecology and good practices in agroforestry extractivism for commercial purposes. As a result of this component, the number of seedlings produced in the nursery implemented by the project stands out. With a target of 60 thousand seedlings, 70,756 were produced in 2018, 17.92% above the stipulated target. Furthermore, 2 strategic plans were carried out at the Yorenka Ãtame Center (CYÃ) in the municipality of Marechal Thaumaturgo.[16]

Regarding the area reforested through agroforestry systems implemented by the project, an area of 97ha was reached, out of a target of 100ha, that is, 3% below the established target. Likewise, the area planned for the implementation of an enriched agroforestry system was also 100 ha,

14. Check it out on the Terra+ website, available at https://terrasmais.eco.br

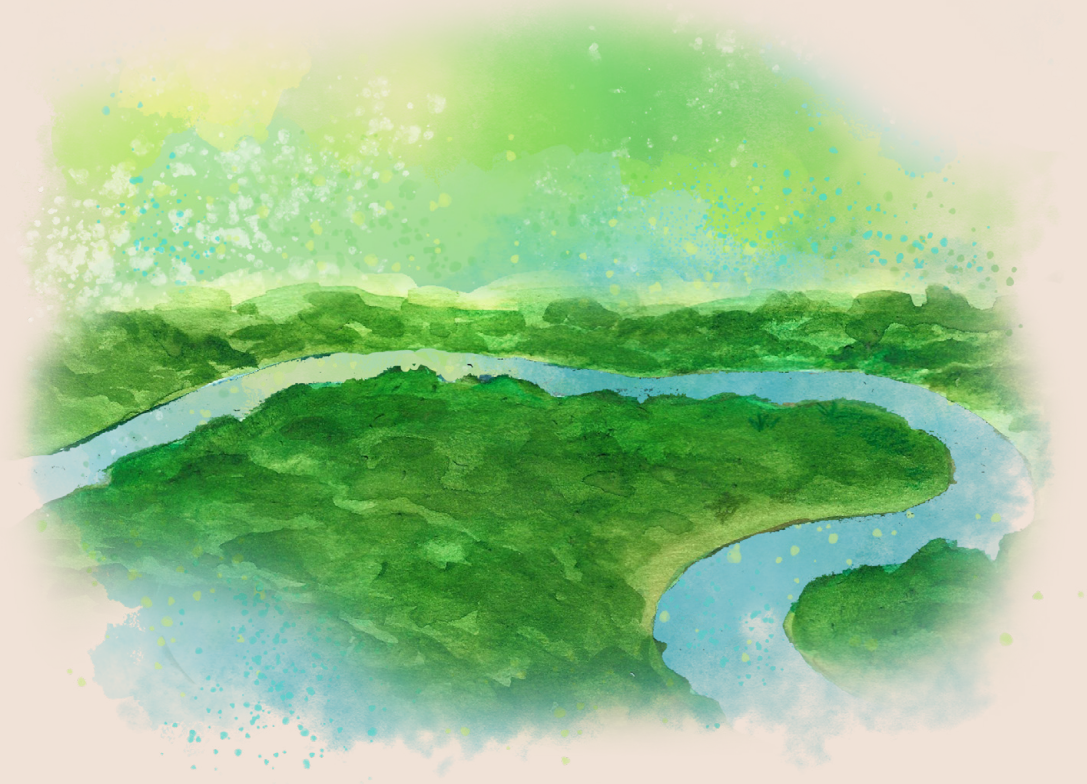
15. For more details, see https://terrasmais.eco.br/v1/?compareWidgets=2&compareTooltips

16. Efficacy indicator.

with 81.5 ha being enriched, that is, about 18.5% below the project's target.

It is worth noting that, as of the first half of 2018, activities with the SAFs had stopped. The cause was pointed out to be the non-availability of brush cutters. This was a key factor in explaining the non-achievement of targets, affecting the results of agroforestry conversion efforts, in addition to interrupting the production of new seedlings. However, analyzing the results, the project's actions were positive for the region. Other reasons given in addition to the lack of brush cutters were cartography errors and lack of access to the Indigenous Lands of Rio do Breu.[17] ***The fact is that the project planning system, regarding the expansion of the agroforestry system, needs to be improved.***[18] Thus, the area planned for the implementation of the enriched SAFs and the execution of the patrols could have been provided more efficiently.

Based on these findings, according to the evaluation criteria recommended by the OECD, the considerations presented in Table 2 are drawn.



17. Defective cartography, lack of access to the Indigenous Lands of Rio do Breu, lack of brush cutters, etc. Available at ASSOCIAÇÃO ASHANINKA DO RIO AMÔNIA – APIWTXA. *Results Evaluation Report*. Alto Juruá Project. Brasília, APIWTXA, 2019. p.10

18. In some reports, it is admitted that there were gaps in planning from non-inclusion in the budget of resources to obtain inputs, such as fuel and seeds, as well as sufficient equipment for the maintenance of the SAFs (agroforestry systems).

Table 2: CConsiderations regarding the *Alto Juruá* project, according to OECD criteria.

Criterion	Result
Relevance	It can be said that the Alto Juruá project is consistent with the objectives of the Amazon Fund and with the objectives and interests of the project's beneficiaries.[19] The change of priorities in public policies from 2014 to 2020 makes the project even more relevant and the objectives of the interventions even more adequate than at the time of project design.
Efficiency	From an economic point of view, planning, monitoring, and costing, especially in the area of logistics, could be improved. It is worth remembering that logistics are dynamic and need to be flexible to better enable the achievement of goals.
Efficacy	The intervention objectives were reached almost in their entirety, considering that the targets were not reached regarding the SAFs and the number of patrols, key activities of the project. The costs of activities and logistics were underestimated by the project coordinators. Therefore, in addition to the targets not being achieved, the cost of each activity was higher than expected. To achieve all the expected results, the coordinators would have to increase the overall amount of the project.
Impact	The project generated positive impacts. There have been real changes in the living and working conditions of the Ashaninka people and other beneficiary communities. The contribution of the Amazon Fund was essential to achieving the desired impacts. Indeed, it can be considered a positive impact, in that the project generated an increase in production and, indirectly, in the income of the beneficiaries, and encouraged the maintenance not only of the created and enriched SAFs but also of other SAFs.
Sustainability	Sustainability can be analyzed from more than one perspective: **a) From the point of view of the benefits, actions, and activities carried out,** in general, it can be said that the project has mechanisms that guarantee sustainability, such as the delivered workshops and training. The actions developed and executed within the scope of the project proved to be sustainable after its completion. **b) From the point of view of the Land-use Planning Component,** the project strengthened the Ashaninka Association's existing actions and contributed to strengthening others. The Association highlighted that, since 2020, it has developed other partnerships with other initiatives and developed new projects with new anonymous funders. These projects are aimed at institutional strengthening and territorial protection. This fact demonstrates that the actions in the Territorial Ordering Component have become sustainable over time. **c) From the point of view of the Sustainable Production Component,** the APIWTXA Association has always been active in other initiatives in the Alto Juruá area. Many of the techniques introduced by the *Alto Juruá* project (AF/BNDES) contributed to enhancing these actions, in addition to enabling the new techniques to be shared with other indigenous peoples. There was, therefore, a "multiplier" effect outside the area and the beneficiaries foreseen in the original project (AF/BNDES). It should be highlighted that several of these activities continued to be carried out by the Ashaninka Association by itself (directly) or through other initiatives. Thus, regardless of a possible renovation (*Alto Juruá* II Project), the results achieved in this project became sustainable as the actions continue to be carried out over time and their execution goes beyond the completion of the original Alto Juruá project (AF/BNDES).

19. Indigenous populations that inhabit the Indigenous Lands (ILs) Kampa do Rio Amônia and Kaxinawá-Ashaninka do Rio do Breu, in addition to communities in the Extractive Reserve of Alto Juruá and Ashaninka in Peru.

In addition to the factors indicated, it can be argued that, despite not having achieved the proposed targets, the implementation of the SAFs had the effect of strengthening the ecosystems of the Indigenous Lands and the RESEX, insofar as they strengthened the Ashaninka's way of life in their territory and discouraged deforestation.

Regarding the Management Plan and Collection of Native Forest Seeds, the actions provided were to design a plan and obtain registration from RENASEM.[20] Both occurred. As a result, it was possible to measure the area of directly managed forest, according to the designed plan, and an area of 550 hectares was reached. However, it is difficult to evaluate this result since there was no pre-established target.

From the point of view of training, the plan was to train 150 individuals, 90 in agroecology and 60 in good management practices for commercialization. In total, 211 individuals were trained, 154 in agroecology (71.1% above the established target) and 57 in good management practices for commercialization (5% below the target).

generated by the project in the 100ha enriched with AFS from an average production of 4 tons per year to 8 tons per year. Likewise, it was possible to establish a target of 50% of processed or industrialized products coming from the extractive chain supported by the project, estimated at 226 tons of fruit pulp per year. Thus, the Ashaninka were able to obtain an income of around BRL 700 thousand with their production under this project. Another added value of the project was the communication training course. With the course, it was possible to work on the concept of branding and brand management. Thus, branding achieved two distinct goals: it strengthened the projects in the Alto do Juruá region while contributing to the strengthening of the identity and values of the Ashaninka community.

20. The production of seeds and their respective commercialization are regulated activities, which required registering the management plan with Ibama and obtaining a registration certificate from the Ayõpare Cooperative in the National Registry of Seeds and Seedlings (RENASEM), linked to the Ministry of Agriculture, Livestock and Supply.

4.3.2 Land-use Planning Component

The Land-use Planning component had the following effects: "institutions and leaders strengthened for territorial and environmental management" and "structure of territorial protection implemented."

In total, the project benefited more than 2500 people (2505, surpassing the target by 76.4%. The number of indigenous people directly benefiting from the project is estimated at 1,365, above the 1,320 indigenous people initially planned, which corresponds to a 3.4% increase relative to the target. The number of non-indigenous people directly benefitting from the activities supported by the project was estimated at 1,140[21], against an initial target of 100 individuals, exceeding the target by more than 1000% (1040%). Nevertheless, the number of trained non-indigenous monitors remained below the proposed target of 60 individuals, reaching only 42 monitors, that is, a 30% drop in relation to the initially proposed target.

A key aspect of the *Alto Juruá* project were the activities to strengthen community organizations for territorial and environmental management through training and Strategic Planning, which reached three organizations, that is, 100% of the proposed goal. Nonetheless, the training course in community management, delivered in November 2016 to members of the Association of Rubber Tappers of the Extractive Reserve of Alto Juruá – ASAREAJ, was expected to reach 60 people, but only 25 individuals attended the course. The report links this low turnout to institutional issues faced by the association (ASAREAJ).[22]

The number of surveillance patrols carried out was lower than expected, with only 18 patrols carried out, for a target of 36 patrols, that is, only 50% of the target initially proposed was reached.[23] The explanation given for not meeting this target was the high cost involved in the patrols.[24] Specific mention was made to the rising cost of fuel, per diems, and food. The Association had to reallocate resources. Nonethe-

21. All the inhabitants of the Alto Juruá region.

22. ASSOCIATION ASHANINKA DO RIVER AMÔNIA – APIWTXA. *Results Evaluation Report - 2015 to 2018*. Alto Juruá Project. Project Implementation Period: 04/16/2015 to 11/30/2018.

23. Project effectiveness indicator.

24. ASSOCIATION ASHANINKA DO RIVER AMÔNIA – APIWTXA. *Explanation of Indicators 5th. Disbursement*. Brasília, APIWTXA, 2019. p. 02.

less, they claimed that it was not possible to carry out the patrols initially planned. In this aspect, there is a need to improve the planning of these activities. The allocation for such an important item for the project, i.e., the patrols, was insufficient, and, despite the project having hired an excellent technical and financial team, *due to the fact that reality is more dynamic, it was not possible to correctly estimate the costs of the patrols, because necessary items, such as fuel and logistics, in general, were not accurately taken into account.*[25]

According to interviews carried out with one of the project coordinators, monitoring and evaluation committee was established to conduct quarterly project reviews.[26] Nevertheless, in some cases, the targets were not met.

There were cases of activities where there was no baseline or initial target, which makes it difficult to determine whether the targets were achieved or not. This was the case, for example, in measuring the number of trained individuals using the knowledge acquired for the implementation of agroforestry systems and agroextractive production; of indigenous people exercising coordination positions at Apiwtxa; of trained individuals effectively using the knowledge acquired in community organization management; of trained non-indigenous environmental monitors using the acquired knowledge. Another example is the measurement of the number of trained individuals using the knowledge gained for the implementation of agroforestry systems and agroextractive production.

In addition, there are also cases of updated data not being filled out until the end of the project, making it difficult to evaluate the efficacy and effectiveness of the project. This was the case for the measurement of unprocessed production volume generated by the supported project, broken down by product; for the volume of processed or industrialized product adapted to the market from the extractive chain(s) supported by the project, broken down by product; and for revenue obtained from the sustainable use economic activity supported by the project, broken down by product.

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25. The project report also mentions that the high turnover of team members and the decrease in the number of staff affected the number of patrols carried out. Some of the planned patrols were funded by partners, but these patrols were not recorded as completed patrols. Interview with one of the coordinators of the *Alto Juruá* project.

26. Interview with one of the coordinators of the *Alto Juruá* project.

According to the interviews, better planning of activities and a better system for monitoring the stages were needed to consolidate all the planned actions and their results and allow for alterations due to changes in context[27]. An obvious example was the logistical issue that created many challenges for the project.

The factors mentioned above made it difficult to determine more precisely what the value added by the project was. The group of indicators of the *Alto Juruá* project is presented in Table 3 below.

Table 3: Indicators of the *Alto Juruá* project

Indicator	Definition	Baseline	Target	On: 23.03.16	On: 08.08.16	On: 04.07.17	On: 30.11.18
Number of indigenous people directly benefiting from the activities supported by the project	Measurement of the number of indigenous people directly benefiting from the activities supported by the project	0	1320	733	800	1152	1365
Number of non-indigenous people directly benefiting from activities supported by the project	Measurement of the number of non-indigenous people directly benefiting from activities supported by the project	0	100	274	500	1140	1140
Number of indigenous people holding coordination positions at Apiwtxa and total number of individuals holding coordination positions at this institution	Measurement of the number of indigenous people holding coordination positions at Apiwtxa and the total number of individuals holding coordination positions at this institution	0	-	11	11	11	10
Number of trained individuals actually using the knowledge acquired in community organization management	Measurement of the number of trained individuals actually using the knowledge acquired in community organization management	0	-	28	90	135	135

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27. Interview with one of the coordinators of the *Alto Juruá* project.

Indicator	Definition	Baseline	Target	On: 23.03.16	On: 08.08.16	On: 04.07.17	On: 30.11.18
No. of trained non-indigenous environmental monitors actually using the knowledge acquired	Measurement of the number of trained non-indigenous environmental monitors actually using the knowledge acquired	0	-		42	42	42
Number of community organizations strengthened for territorial and environmental management	Measurement of the number of community organizations strengthened for territorial and environmental management	0	3 (Pitch)			3	3
	Measurement of the extent of protected areas supported by the project under community protection and surveillance (hectares)	0	87,205	87,205	87,205	87,205	87,205
Number of occurrences of territorial invasion observed in protected areas supported by the Project	Measurement of the number of occurrences of territorial invasion observed in protected areas supported by the Project		-	1	1	3	3
Unprocessed production volume generated by the supported project (tons or other measurement unit), broken down by product	Measurement of the volume of unprocessed production generated by the supported project (tons or other measurement unit), broken down by product	100 ha with an average production of 4 ton/ year	100 ha with an average production of 8 ton/ year				
Volume of processed or industrialized product adapted to the market from the extractive chain(s) supported by the project (tons or other measurement unit), broken down by product	Measurement of the volume of processed or industrialized product adapted to the market from the extractive chain(s) supported by the project (tons or other measurement unit), broken down by product	0	50% of production (226 ton of fruit pulp/ year)				
Revenue obtained from the sustainable use economic activity supported by the project, broken down by product	Measurement of revenue obtained from the sustainable use economic activity supported by the project, broken down by product	0	BRL 700,000.00/ year				

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Indicator	Definition	Baseline	Target	On: 23.03.16	On: 08.08.16	On: 04.07.17	On: 30.11.18
Number of trained individuals actually using the knowledge acquired for the implementation of agroforestry systems and agroextractive production	Measurement of the number of trained individuals actually using the knowledge acquired for the implementation of agroforestry systems and agroextractive production	0	-	93	125	154	154

Source: APIWTX Monitoring Plan

5. Management and Monitoring

This section aims to point out the strengths and challenges in the context of project management and monitoring. Here, issues related to structure, human resources, workflows, implementation time, and communication for management and execution were addressed.

The *Alto Juruá* project had a team selected by the executing entities. It was made up of eight people, including the general, executive and financial coordinators, as well as secretaries dedicated to the project's administration and communication.

5.1. Strengths

In this context, the project management was shared with community leaders and internal institutions, trained by the project to monitor its execution and management. These activities were instrumental in facilitating community mobilization and engagement.

An advisory committee was also established to evaluate and monitor the initiatives. Thus, all communication with the beneficiaries referring to agreements and results was carried out through the committee.

In terms of communication and project management with the BNDES' technical team, the project highlighted that there was dialogue and understanding, allowing for changes to the schedule and costs to be made, mainly due to climate issues in the region. Making adjustments was essential to reach the objectives proposed by the project.

5.2. Challenges

Community engagement in the project was a challenge for its executing entities. Training activities and workshops were essential, particularly for mobilizing and consolidating the importance of the initiatives carried out by the project.

Despite the advances achieved with the project, there was no strategy to guarantee the sustainability of the results, which demonstrates the need for new contributions of funds and programs that can leverage actions, but without the Ashaninkas losing sight of the need to become sustainable.

Currently, one of the main impacts and challenges caused by the covid pandemic-19 is the low technological capacity to hold online meetings. This forced the executing entities to look for quick solutions to optimize communication. It is also worth noting that, in general, the pandemic caused increases in prices and shortages of materials and labor, directly affecting projections and proposals for new projects.

6. Conclusions

The *Alto Juruá* project, carried out by Associação Ashaninka do Rio Amônia – APIWTXA, contributes to achieving the general objective of the Amazon Fund, which is to reduce deforestation in the Amazon in the project region, that is, the Indigenous Lands (ILs) Kampa do Rio Amônia and Kaxinawá-Ashaninka do Rio do Breu, in addition to communities in the Alto Juruá Extractive Reserve.

The project also disseminated new techniques, through the various training courses delivered in the project region, enabling an increase in the production and productivity of indigenous communities.

It was also possible to verify an increase in the number of seedlings produced in the nursery implemented by the project, which exceeded the targets. Nevertheless, the project did not reach targets (or declared what they were) for some indicators, such as the number of graduates in the community management training course, a highly strategic course for the project.

According to the interviews carried out, there was a lack of more

comprehensive project planning.[28] Moreover, it was not possible to provide adequate logistics.[29]

The project fell short of its targets in the implementation of agroforestry systems (by almost 20%) due to planning difficulties.

The project did not reach the expected targets regarding patrols and expeditions, only 50% of the planned patrols were conducted, that is, 18 out of 36. The supported areas were not included in the Rural Environmental Registry (CAR) as planned.[30]

According to the interviews carried out, the difficulties mentioned above prevented the project from reaching all its targets. Other causes that could be pointed out are:

- budgetary difficulties;
- adverse climate situation;
- lack of flight ticktes, hotel reservations and support for community leaders.[31]

In any case, it was a relevant and high-impact project for the Alto Juruá region in the state of Acre, having achieved the major objectives of the Amazon Fund, as already mentioned.

7. Lessons Learned and Recommendations

7.1. Lessons learned

The main lesson learned from this project was in relation to the need to carry out planning that is more appropriate to reality and with some degree of flexibility to adapt the budget allocations when necessary, in case of unforeseen circumstances. As stated in the interviews: "You cannot carry out a project that is not complete".[32] It is necessary to have a global view of the project and the difficulties it may face. That is,

28. Interview conducted with one of the Coordinators of The Alto Juruá project.
29. Interview conducted with one of the Coordinators of The Alto Juruá project.
30. Interview conducted with one of the Coordinators of The Alto Juruá project.
31. Interview conducted with one of the Coordinators of The Alto Juruá project.
32. Interview conducted with one of the Coordinators of The Alto Juruá project.

it is necessary to anticipate difficulties that may arise.

Another important lesson learned is that the price of inputs (used in the project) can increase, and the project must be able to adapt to this scenario.

The delay in the purchase and delivery of equipment, such as brush cutters, affected the outcome of the implementation of agroforestry systems, an important component of the project. Therefore, the delivery of equipment in a timely manner, that is, within the expected deadline, brings positive results to the project.

Thus, activities of utmost importance, such as patrols and the implementation of agroforestry systems, were affected due to planning difficulties throughout the project's implementation.

It is concluded, therefore, that the planning phase of a project is a moment of great importance and must be carried out with a medium and long-term view, allowing some degree of change and adaptability, given the wide variety of prices in Brazil, both in price indices (IPCA) and in the inputs used.

7.2. Recommendations

	Recommendation	Executing entities	States	Amazon Fund	Federal government	Business Sector	Donors
Direct effect	Directly support indigenous organizations as project executing entities.	X	X	X	X	X	X
	Establish private partnerships for the commercialization of products from the project in Brazil.	X	X	X	X	X	X
	Establish partnerships for the export of products resulting from project activities.	X	X	X	X	X	X
	Propose greater coordination with states and municipalities to make it possible for IL products to be included in school meals and in public Food Acquisition Program.	X	X	X	X		
Indirect effect	Support the presentation of projects that allow the continuity of this and other Amazon Fund projects.		X	X	X	X	X
	Seek greater support and involvement from Funai, the federal agency responsible for indigenous policy, to articulate actions and programs with projects supported by the Amazon Fund.		X		X		
	Support new projects and partnerships that connect with current ones and integrate Sustainable Productive Activities in indigenous lands and conservation units.	X	X	X	X	X	X
General	Partnering with national institutions (Ex.: EMATER, EMBRAPA) and international ones (IICA) for technical assistance and rural extension.	X	X		X		
	Present channels of access to other sources of funds, both national and international.	X	X	X	X	X	X

8. Cancun Safeguards (REDD+)

Safeguard	Meets criterion	Observation
1. Actions complement or are consistent with the objectives of national forest programs and other relevant international conventions and agreements	YES	The agroforestry systems proposed in the Alto Juruá project, in Acre state, contribute to the preservation of forests and connect with national and state forestry programs.
Have the projects shown to be in line with the PPCDAm and state plans to prevent and control deforestation?	YES	The project contributes to the fight against deforestation and is consistent with the State Program for the Prevention and Control of Deforestation (PPCD-AC).
What other federal public policies or international agreements did the projects show alignment with? In what aspects?	YES	Climate Agreement (Paris): agroforestry systems contribute to the preservation of the environment and mitigate the effect of global warming in the benefited territories PNGATI– National Policy on Indigenous Territorial and Environmental Management: insofar as it strengthens the occupation of ILs with sustainable economic activities. Cultural programs to preserve indigenous memory: thanks to support for handicrafts. Monitora Program (ICMBio-MMA): allows monitoring the status of biodiversity in the areas benefited by the project. Brazil Bioeconomy Program: the project supported activities that strengthened the local production chains of the ILs with activities for the sustainable use of natural resources. State Climate Change Programs: see above.
Did the project contribute, or could it contribute directly or indirectly to the reduction of emissions from deforestation or forest degradation? How?	YES	The agroforestry system (SAFs) contributes to reducing CO2 emissions.
2. Transparent and effective national forest governance structures, taking into account national sovereignty and national legislation	YES	The project supported by the Amazon Fund is the result of an international coordination (donors and Brazil) that complies with national legislation and is consistent with international agreements to which Brazil is a party in the forestry area.
To what extent did the projects promote coordination between different players (public, private, third sector or local communities)? Were there shared governance instances? Which ones?	YES	The project presented examples of coordination with subnational authorities, especially at municipal level, and was able to participate in the School Feeding Program in the municipality of Marechal Thaumaturgo.
To what extent have the projects contributed to strengthening public instruments and forest and territorial management processes?	YES	The project adopted agroforestry systems, which intensifies the relationship of indigenous communities with forests and helps to preserve them.
3. Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws and noting that the UN General Assembly has adopted the UN Declaration on the Rights of Indigenous Peoples	YES	The project has activities for the preservation of indigenous culture, in the area of food (flour) and strengthening of the forest.

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Safeguard	Meets criterion	Observation
To what extent have the projects influenced the constitutional rights associated with formal land tenure and destination in their area of operation?	YES	With the economic use of the ILs in a sustainable way, the project reinforced the rights of indigenous communities over their lands.
To what extent have the projects influenced the sustainable use of natural resources in their area of operation?	YES	The economic use of forests in the agroforestry system in the ILs influences the sustainable use of natural resources
If the projects directly benefited indigenous peoples, traditional communities or family farmers: Have their sociocultural systems and traditional knowledge been considered and respected throughout the projects?	YES	An example of this was the strengthening of their cultures and plantations, although an activity specifically focused on the cultural area was not envisaged (such as indigenous handicrafts, for example).
Are there effects that interfere with the traditional way of life of these groups? What kind of effects: in the social, economic organization or the use of available spaces and resources? How do they interfere: positively, negatively or both?	YES	The perceived (positive) interference is to reinforce their traditional (economic) cultures.
4. Full and effective participation of stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of Decision 1/CP 16	YES	There was significant participation in most of the training sessions, both by indigenous people and other beneficiaries of the project.
How did the projects guarantee prior consent and the local/traditional way of choosing representatives of their beneficiaries (especially indigenous peoples and traditional communities)?	YES	The project was carried out by the institution that represents the Ashaninka indigenous peoples (APIWTXA) and by the association that represents the rubber tappers, Rubber Tappers Association of the Alto Juruá Extractive Reserve – ASAREAJ.
What participatory planning and management tools did the projects apply during planning and decision making?	YES	Strategic Planning was adopted in institutions representing the Ashaninka indigenous peoples (APIWTXA) and rubber tappers (ASAREAJ).
In the case of projects with economic purposes: Were any benefits arising from the projects accessed in a fair, transparent and equitable manner by the beneficiaries, avoiding concentration of resources?	YES	Yes. The aforementioned associations (APIWTXA and ASAREAJ) will retain the financial resources obtained from the sale of their products (from the activities carried out) in their respective areas and will control their use in the future.
To what extent did the projects provide the general public and their beneficiaries with free access and easy understanding of information related to project actions?	YES	From the beginning of the project, a strategic planning system was used to guarantee the participation and knowledge of all the actions envisaged by the projects. In relation to the beneficiary public, workshops, courses and training were delivered to present new performance techniques.
Have the projects been able to set up a good monitoring system for results and impact? Have the projects systematically monitored and disseminated the results achieved and their effects?	PARTIALLY	The project failed in terms of monitoring the activities to implement the agroforestry system and the number of patrols.

Safeguard	Meets criterion	Observation
5. Actions are consistent with the conservation of natural forests and biological diversity, ensuring that the actions referred to in paragraph 70 Decision 1/CP 16[33] are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services and to enhance other social and environmental benefits	YES	The agroforestry system guarantees the conservation of natural forests and biological diversity.
How did the projects contribute to the expansion or consolidation of protected areas?	YES	Based on the sustainable use of natural resources and the training of monitors and patrols in the areas covered by the project.
How did they contribute to the recovery of deforested or degraded areas?	YES	Through the agroforestry system (SAFs).
In the case of area restoration and reforestation activities, did the methodologies employed prioritize native species?	YES	Yes. Certainly. By planting native seedlings.
To what extent have the projects contributed to establishing recovery models with an emphasis on economic use?	NON APPLICABLE	Based on the sustainable use of natural resources and the agroforestry system, which guarantees the conservation of natural forests and biological diversity. There were also several workshops and training on implementing agroforestry and new techniques for planting and collecting seeds.
6. Actions to address the risks of reversals in REDD+ results		
What factors constitute risks to the permanence of REDD+ results? How did the projects address them?	YES	The information we have is that the financial compensation mechanism (REDD) was not used in this project, although it is considered completely compatible with the preservation of the forests that the *Alto Juruá* project, in Acre state, promotes.
7. Actions to reduce the displacement of carbon emissions to other areas		
Has there been a displacement of the emissions avoided by the actions of the projects to other areas?	YES	The very nature of agroforestry systems contributes to carbon capturing of and emission reduction.

33. Decision 1/CP 16: Reduction of emissions from deforestation; reduction of emissions from forest degradation; conservation of forest carbon stocks; sustainable forest management and increased carbon stocks.

9. Crosscutting Criteria

Crosscutting criteria		Meets criterion	Observation
Poverty reduction	To what extent have the projects effectively contributed to economic alternatives that value the standing forest and the sustainable use of natural resources?	YES	The activities of the *Alto Juruá* project were aimed at sustainable production, adding value to production chains and preserving biodiversity.
	To what extent have the projects positively influenced poverty reduction, social inclusion and improved living conditions for beneficiaries living in their area of operation?	YES	The project generated additional income for the communities and increased activities, allowing the entire community to participate in the planned actions, although it was not possible to estimate the value based on the available data.
	Have the projects been able to promote and increase production in value chains of timber and non-timber forest products based on sustainable management?	YES	Yes. Most of the targets were reached and some even exceeded. They were described in detail in the results section (Direct Effects).
Gender equity	The project aggregated some results and impacts on gender issues	YES	Indigenous women were able to participate in the training provided. The courses were also open to non-indigenous beneficiaries, as in the case of rubber tappers.
	How did the projects contribute to gender equity?	YES	Project activities empowered women and promoted gender equity as they allowed women to learn new techniques in their productive activities.

Effectiveness Evaluation Of Indigenous Projects Supported By The Amazon Fund/BNDES

Alto Juruá Project

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