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## **FINAL REPORT**

# **“Priming Financial and Land Use Planning Instruments to Reduce Emissions from Deforestation”**

PIMS: 5768

Atlas Project ID/Award ID number: 00100778

Atlas Output ID/Project ID number: 00103568

GCF ID number: FP-019

### **Interim Evaluation**

Ecuador: Amazon, Sierra and Ecuadorian Coast

Implementing Partner: Ministry of Environment (MAE)

Accredited Entity: United Nations Development Programme (UNDP)

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February 2020

## Acknowledgements

*The evaluation team wishes to express its gratitude and acknowledgement to all the key stakeholders and partners of the Project who have been interviewed. Their contributions were highly valued, and the facts and opinions they provided played a fundamental role in conducting this evaluation. Special recognition to the Manager, Technical Team of PROAmazonía and UNDP-Ecuador, for the information provided and the effective articulation with the various actors involved, both public and private, who contributed to the achievement of the evaluation objectives of PROAmazonía.*

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## Acronyms and Abbreviations

APR	Annual Project Report
ATPA	Agenda for Productive Transformation of the Amazon
BPA	Good Agricultural Practices Certification
CAF	Development Bank of Latin America
CC	Climate Change
CFN	National financial Corporation
CONFENIAE	Confederation of Indigenous Nationalities of the Ecuadorian Amazon
CSO	Civil Society Organization
CTEA	Special Amazonian Territorial Circumscription
ESPOL	Higher Polytechnic School of the Coast
FAO	Food and Agriculture Organization of the United Nations
FREL	Forest Reference Emission Level
GAD	Decentralized autonomous governments
GCF	Green Climate Fund
GEF	Global Environmental Facility
GHG	Greenhouse gas emissions
GIZ	German International Cooperation
LULUCF	Land use, land use change and forestry
M&E	Monitoring and Evaluation
MAE	Ministry of Environment
MAG	Ministry of Agriculture and Livestock
MCE	Ministry of Foreign Trade
MIPRO	Ministry of Production
MTR	Mid-Term Review
MUL	Project Progress Reports
NFMS	National Forest Monitoring Systems
NGO	Non-Governmental Organization
NIM-supported	National Implementation Modality with UNDP support
NTFPs	Non-timber Forest Products
PDOT	Land use plans
PB	Project Board
PIF	Project Identification Form
PIMF	Integral Farm Management Plans
POA	Annual Operative Plan
PPR	Project Progress Reports
PROAmazonía	Amazon Comprehensive Conservation Program of Forests and Sustainable Production
PRODOC	Project Document
PMU	Project Management Unit
REDD+ AP	REDD+ Action Plan

REDD+ Programme	Programme on Reducing Emissions from Deforestation and Forest Degradation
RSPO	Roundtable for Sustainable Palm Oil
SAF	Forestry Administration System
SBP	Socio Bosque Program
SDG	Sustainable Development Goals
SDSN	Sustainable Development Solutions Network
SENPLADES	National Planning Secretariat
SESP	Social and Environmental Screening Procedure
SFM	Sustainable Forest Management
SIN	National Information System
SIG	Geographic Information Systems
SIS	Safeguards Information System
SLM	Sustainable Land Management
SOPs	UNDP Standard Operating Procedures
SRI	Internal Rents Service
ToR	Terms of Reference
UNFCCC	United Nations Framework Convention on Climate Change
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UTPL	Private Technical University of Loja

## 1. Executive Summary

This document presents the main findings, conclusions and recommendations of the Interim Evaluation of the Project "Priming Financial and Land Use Planning Instruments to Reduce Emissions from Deforestation", within the Amazon Comprehensive Conservation Program of Forests and Sustainable Production (PROAmazonía). It is important to mention that the evaluation team is also carrying out the Interim Evaluation of the GEF Project "Sustainable Development of the Ecuadorian Amazon: integrated management of multiple use landscapes and high value conservation forests". Both Projects are complementary and together comprise the full PROAmazonía program.

This Interim Evaluation aims to analyze and assess the progress towards the achievement of the project objectives and results, to determine the first signs of success and/or weaknesses of the project, to identify any changes necessary to achieve the expected results, and to review the strategy of the project and its risks to sustainability.

The evaluation addressed a period of two and a half years of project execution (May 2017 - December 2019), in which the Ministry of Environment (MAE) implemented the Project, together with the interested parties. The Project has executed 31% of its budget as of December 31, 2019 (US\$ 12,939,253/ US \$ 41,172,739), and 50% of the total Project duration has elapsed.

The Interim Evaluation methodology consisted of 4 phases: (1) Document review and preparatory work; (2) Field work; (3) Information analysis; and (4) Preparation of final reports.

As part of the methodology the following evaluation categories were analyzed:

1. Project Strategy.
2. Relevance, Effectiveness and Efficiency.
3. Progress Towards Results.
4. Project Implementation and Adaptive Management.
5. Sustainability.
6. Country Ownership.
7. Gender Equity.
8. Innovativeness in results areas.
9. Unexpected results, both positive and negative.
10. Replication and Scalability.

## Project Information Table

Table 1: Project Information Table

<b>Project Title</b>	"Priming Financial and Land Use Planning Instruments to Reduce Emissions from Deforestation".		
<b>UNDP Project ID (PIMS #)</b>	PIMS 5768	<b>Funding Proposal Approval Date</b>	27/09/2016
<b>ATLAS Business Unit, Award # Project ID</b>	00103568	<b>Project Document (ProDoc) Signature Date (date project began)</b>	<b>Estimated</b>
			01/06/2017
			<b>Real</b>
			22/05/2017
<b>Country</b>	Ecuador	<b>Date project manager hired</b>	<b>Estimated</b>
			1/12/2017
			<b>Real</b>
			11/12/2017
<b>Region</b>	Latin America and the Caribbean	<b>Inception Workshop date</b>	8/09/2017
<b>Focal Area</b>	Mitigation	<b>Midterm Review completion date</b>	February 2020
<b>GCF Focal Area Strategic Objective</b>	Forests and land use	<b>Planned closing date</b>	31/05/2022
<b>Trust Fund</b>	GCF		
<b>Executing Agency</b>	United Nations Development Programme		
<b>Implementing Partner</b>	Ministry of Environment (MAE)		
<b>Project Financing</b>			
	GCF Grant	US\$ 41,172,739 (excluding fees)	
	UNDP TRAC resources	US\$ 0	
	<b>(1) Total Budget administered by UNDP</b>	<b>US\$ 41,172,739</b>	
<b>Parallel Co-Financing</b>			
	Ministry of Environment	US\$ 31,755,550	
	Ministry of Agriculture	US\$ 8,490,000	
	FAO	US\$ 820,900	
	Cash co-financing to be administered by UNDP	US\$ 683,074 (UN-REDD TS) US\$ 1,086,384 (UNDP CO)	
	<b>(2) Total co-financing</b>	<b>US\$ 42,835,908</b>	
	<b>(3) Grand-Total Project Financing (1) +(2)</b>	<b>US\$ 84,008,647</b>	

## Project Description

The objective of the Project is to contribute to establishing a low emission sustainable development pathway through strengthening governance and developing a set of public policies, and financial and economic instruments for the sustainable land to address the main causes and agents of deforestation and forest degradation in Ecuador. The Project purpose is to implement the priority measures and policies identified in the REDD+ Action Plan (REDD+ AP) of Ecuador, which aims to reduce emissions from land use, land use change and forestry (LULUCF) that represent 30% of the national Greenhouse Gas (GHG) emissions.

The Project is being implemented to help achieve the following objectives of the Government of Ecuador: 1) Reducing gross emissions from deforestation by at least 20% until 2025, based on the 2000-2008 Forest Emission Reference Levels (FREL); 2) Reforestation of 210,000 hectares of cleared land; and 3) Maintenance of climate regulation (carbon) and other services such as water regulation and associated biodiversity.

The program focuses on reducing deforestation and forest degradation through conservation and sustainable management with a landscape approach, which is aligned with the main objectives of interest of the Green Climate Fund (GCF) and the Global Environment Facility (GEF). At the local and regional level, priority work is being carried out with the provincial and cantonal Decentralized Autonomous Governments (GAD), which includes forest control, sustainable agricultural production and capacity building, as well as mainstreaming the gender approach in all these activities. At the national level, the program contributes to the implementation of the REDD+ Action Plan, to the National Climate Change Strategy, specifically in the LULUCF sector, and to the development of land management plans. In order to target the geographic area of intervention, an analysis was carried out based on the main causes of deforestation in the Amazon, which determined the prioritized areas of PROAmazonía for both, the GEF and the GCF projects.

**Table 2: Project Intervention zones associated according to the planning areas used by the Technical Secretariat Plan Ecuador**

<b>Zone</b>	<b>Province</b>	<b>Canton</b>
Zone 1	Sucumbíos	Agrio Lake, Cascales, Putumayo
Zone 2	Orellana y Napo	Loreto, Carlos Julio Arosemena Tola
Zone 3	Pastaza	Pastaza, Santa Clara
Zone 6	Morona Santiago	Huamboya, Palora, Tiwintza
Zone 7	Zamora Chinchipe, Loja, El Oro	El Pangui, Paquisha

*Source: Project Document GCF and prioritized areas of PROAmazonía.*

The Project consists of 4 components (results according to the Project Document-PRODOC-):

- 1) Investment in enabling policies to reduce the drivers of deforestation and its associated emissions. Work is being done to support the coordination of initiatives to integrate climate change and REDD+ in national public policy and in the main land use planning instruments implemented by local governments and communities, as well as indigenous peoples and nationalities.
- 2) Implementation of financial and economic incentives towards the transition to sustainable production systems in non-forest areas. Work is being done to optimize existing financial, economic and market mechanisms, credit lines and tax incentives for the implementation of agricultural production practices that allow the reduction of deforestation, and, on the other hand, through the strengthening of Purchase of deforestation-free products, along with their certification and traceability.
- 3) Financial and non-financial mechanisms for restoration, conservation and connectivity.
- 4) Implementation of enabling instruments to reduce the drivers of deforestation and its associated emissions, related to the Warsaw Framework for REDD+ of the United Nations Framework Convention on Climate Change (UNFCCC), such as the National Forest Monitoring System (NFMS), the Forest Emission Reference Level (FREL), the Operationality of the REDD+ Action Plan and the Safeguards Information System (SIS), as well as the implementation of the financial architecture of the REDD+ Action Plan in order to receive and channel Results-based Payments.

### **Project Progress Summary**

The following table presents the evaluation of the progress of each of the project results. The classification scale is included in Annex 6.4.

Table 3: Interim Evaluation Ratings & Achievement Summary Table

Measure	Interim Evaluation Rating	Achievement Description
<b>Project Strategy</b>	Achievement Rating: <b>6</b> (Highly Satisfactory)	<ul style="list-style-type: none"> <li>The Project is completely aligned with the national policies and laws, with the strategic priorities of donors, and with the specific needs of the intervention area.</li> <li>GCF priorities regarding the transition to a sustainable low-emission development, addressing one of the main sources of greenhouse gas emissions in Ecuador (deforestation and forest degradation).</li> <li>PROAmazonía is the first program that follows 100% of the guidelines of the UNDRR REDD+ Warsaw Agreement.</li> <li>The project is managing to coordinate another GEF fund and integrate 2 ministries, which is widely recognized on an international level.</li> </ul>
<b>Progress Towards Results</b>	Average Achievement Rating: <b>4/6</b> (Moderately Satisfactory)	<ul style="list-style-type: none"> <li>With the exception of Component 2, which needs special attention from the Project Board and the Project Management Unit, it can be concluded from all the evidence obtained and analyzed during the Interim Evaluation mission that most of the results are on their way to be achieved, provided that the recommendations resulting from this evaluation are applied.</li> </ul>
	<b>OUTCOME (component) 1</b> Achievement Rating: <b>6</b> (Highly Satisfactory)	<ul style="list-style-type: none"> <li>The processes and products obtained to date and those that are in full execution indicate that the support in the articulation of intersectoral and governmental policies, in the mainstreaming of climate change and REDD+ in national public policies, and in the main instruments of territorial planning at the level of the Provincial and Cantonal GADs in addition to the communities, towns and nationalities will be accomplished.</li> </ul>
	<b>OUTCOME (component) 2</b> Achievement Rating: <b>2</b> (Unsatisfactory)	<ul style="list-style-type: none"> <li>The expected result focuses on support for the transition to sustainable productive systems and free from deforestation, which requires the implementation of the space monitoring system focused on farms and their forest plots. Such system must generate and present periodic information and forest reports of farms promptly, since it is key information to achieve the project objectives.</li> </ul>
	<b>OUTCOME (component) 3</b> Achievement Rating: <b>4</b> (Moderately Satisfactory)	<ul style="list-style-type: none"> <li>The achievement toward the objective of increasing the sustainability of areas under forest management and increasing the production and commercial use of NTFP has greater progress with respect to forest conservation (Socio Bosque), Biodiversity Conservation, and management of water resources and ecosystems. It is necessary to start the restoration work, as well as further progress in activities related to addressing the safeguards in the regulatory framework and the operations of the Safeguards Information System (SIS).</li> </ul>

	<p><b>OUTCOME (component) 4</b> Achievement Rating: <b>4</b> (Moderately Satisfactory)</p>	<ul style="list-style-type: none"> <li>Progress towards the goals through the proposed activities is a priority for the Under Secretariat of Climate Change within the framework of the country's commitments to the UNFCCC and REDD+. Despite the delays at the beginning of the activities, there are many activities under implementation, which products will contribute towards the achievement of the goals.</li> </ul>
<p><b>Project Implementation &amp; Adaptive Management</b></p>	<p>Achievement Rating: <b>5/6</b> (Satisfactory)</p>	<ul style="list-style-type: none"> <li>The Project has -from its design- a big challenge that consists of integrating the organizational work cultures of two Ministries (the Ministry of Environment and the Ministry of Agriculture and Livestock), who oversee the Project Management Unit.</li> <li>Despite having a <i>Manual of Process, Governance and Program Implementation</i> the adaptive processes have not been straightforward, since they have been subject to changes in authorities, altering work dynamics.</li> <li>At the strategic work level both the Project Board and the Project Management Unit must conduct their meetings in a more strategic way, since the minutes of the meetings show that there is a greater weight in the administrative work. The Project Board concentrates its attention in the strategic guidelines of the project and its impact, and the Project Management Unit in the strategies for implementation and coordination, results and impacts.</li> <li>At the design level of the organizational structure of PROAmazonía, it is recommended to be based on a more decentralized model.</li> <li>Regarding the M&amp;E Systems, there is a strengthened system that has a clear monitoring methodology. The contracting procedures for a software have already been carried out to facilitate the systematization and analysis of information; however, the dissemination of information has room for improvement.</li> <li>The role of the UNDP Country Office focuses more on administrative rather than technical matters due to the number of processes to be developed during the year. A level of technical advice is identified from the regional level and technical advice from the country office, especially regarding strategic planning, revision of terms of reference, strengthening of the monitoring system and contribution to reports and information delivered to the donor.</li> </ul>

<b>Sustainability</b>	Achievement Rating: <b>3/4</b> (Moderately Likely)	<ul style="list-style-type: none"> <li>• Project sustainability until the Interim Evaluation is intermediate, since the Republic of Ecuador is in a difficult economic situation implementing a fiscal adjustment plan to reduce the public deficit.</li> <li>• Political and social risks are identified, since each political authority has its own vision, objectives and priorities, which may affect the continuity of the Program results and its beneficiaries (in terms of changing strategies, lack of political will, redistribution of human and financial resources).</li> <li>• At the Ministerial level, there is a lack of total empowerment of the Program, which represents a high risk to ensure that the vision and results of the Program are maintained in the short, medium and long term.</li> <li>• Consequently, more work is needed to enable the Ministries to raise Project's ownership and the Inter-ministerial roundtables to continue beyond the life of the Program to ensure sustainability</li> </ul>
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## Indicators

Based on good practices, this Interim Evaluation is the opportunity to make a thorough assessment to propose changes to the project's set of indicators. The PROAmazonía team is proposing in this case to rephrase some of them; however, the final goals for all the indicators remain the same. The proposed changes in 11 indicators are mostly in form and not substance. A table with specific comments is in Annex 6.12 where different colors show the changes proposed. In addition, under Project Products 4.1 eight new indicators and under Project Products 4.2 4 new indicators are being proposed. The indicators set in the results framework require that the GCF officially replies to the request. Other indicators that are included into the M&E System as a technical need to measure specific processes do not require official approval, on the contrary it would show a good practice from the management level.

## Concise summary of conclusions

### Project Strategy

- The Project, in reference to its conceptual design, is consistent with the objectives of the GCF. It is a catalytic Project aligned with the strategy of the Government of Ecuador and the international commitments of the country (*Nationally Determined Contributions* (NDC), the Sustainable Development Goals, other). From its design, it has the challenge of establishing inter-ministerial work at the governance and the technical level of the program, supported by a Project Management Unit that implements the technical and fiduciary processes efficiently.
- The role of UNDP has been fundamental under the NIM-supported implementation modality, by providing support in project execution at the request of the Implementing Partner, which is the Ministry of Environment. The NIM execution modality could have been particularly affected by the continuous changes in the political leadership of the Government, affecting the fluidity in the execution of the Program. The support in project implementation from the UNDP, for example, in procurement processes, contributes to a better financial management and execution of the Project, especially considering that the GCF budget for this project is well above the average of other Projects managed by the UNDP-Ecuador Country Office.
- Empowerment of the objectives and vision of the Program by the Ministries and local governments is needed to replicate the results of the program. For this, a greater articulation between the activities of the program and the work that the Ministries carry out is required to ensure the key actors involved coordinate more

closely to improve the economic, environmental and social sustainability of the country.

- There are a set of indicators that need a more complete description and their measurement dimension, including those related: the transition to sustainable production systems; landscape degradation; restoration; sustainable forest management, and; high conservation value, since these are new topics for both Ministries and for the GADs. Suggested adjustments to the indicators are shown as part of the Annex 6.10 “GCF Proposed indicators Framework”. This finding is also due to the lack of a definition of these issues within the indicators’ framework.
- As there have been several studies, like the comprehensive diagnosis (DIO), associations organizational assessments, data from evaluation studies related to coffee supply, and market opportunities for sustainable and deforestation-free coffee and cocoa were, as well as a data collection consultancy process of palm oil farms. Besides, a consulting process to define criteria for sustainable and deforestation-free production is currently under process. All these inputs should contribute to define baseline data for component 2.

### **Relevance**

- The Project is directly aligned with national policies and laws, with the strategic priorities of donors and with the specific needs of the intervention area. Of interest is the non-duplication and complementarity of Project activities with other related projects that are executed by the MAE, especially those related to climate change adaptation measures.
- In short, one of the strengths and challenges of this Program is the integration between the Ministry of Environment and the Ministry of Agriculture. The decision to combine both Ministries in the management of the Program represents a unique opportunity for the country to address the issues of conservation and sustainable production in a strategic and coordinated manner between both sectors.

### **Efficiency and Effectiveness**

- Project management effectiveness has been increasing steadily since the start of the project, which is very positive, considering the time required to establish the Program Management Unit and the time required for the definition and implementation of the governance mechanisms. According to all the means of verification reviewed for the Interim Evaluation and the official reports to the

donor, the rate of total program progress is around 40% with a budget execution of approximately 31%. Regarding the 2019 budget execution, a total of 96% financial progress has been achieved, including execution and commitments until December 31, 2019 (this percentage does not reflect the last disbursement made from the FAO under the interagency agreement).

- It is evident that processes for the elaboration and approval of activities do not align with what was agreed and described in the “Manual of Processes, Governance and Implementation” of the Program. Although the Ministries have a wide portfolio of international cooperation projects where political risks are unavoidable, changes in authorities have been the determining factor slowing down processes, affecting the efficiency of the management role of the Project Management Unit of PROAmazonía.
- Most of the targets set under Component 2, are on a very slow track to being achieved, on the one hand because there are processes that depend on external entities/stakeholders, and on the other hand, the Ministry’s authorities have not given a high priority to promote the coordination and implementation of existing tax incentives and new green credit lines which will allow for the transition to sustainable production systems.

### **Progress Toward Results**

- In general, the Project has shown important progress towards obtaining results in all components, except for component 2. The advances do not always depend on the technical capabilities of the Project team, but also on the commitment and ownership of the implementing partners. In component 2, the scope of the results also falls on entities external to the implementing partners of the Project, and it has been shown that the implementing partners support the component through the issuance of guidelines aligned with the national agricultural policy. The lack of articulation and planning is especially identified in Component 2 on the activities to be carried out at the territorial level in which the Ministries must make a greater effort to position PROAmazonía as an initiative led by the Ministries, and not only as a project of UNDP.

### **Project Implementation and Adaptive Management**

- The Project experienced an initial delay of approximately 7 to 10 months in its implementation. This delay was generated in part by the slow process to recruit and hire the vast PROAmazonía team, which is now part of the organizational structure, and currently includes 76 people, ranging from technicians, administrators and support staff at the central and provincial levels. This process

has generated delays in disbursement requests to the GCF of about 6 months, which would lead to the requirement of an extension of the Project. As of January 2020 UNDP, will present the way forward in the implementation of the SOPs, which in a way should contribute to a more efficient project performance.

- PROAmazonía must exhaust all instances (including the use of UNDP SOPs) to equal the current variation between physical progress (time) vs. the budget executed, an indicator that must be controlled very aligned to the annual programming, disaggregated in quarterly and monthly basis to assess whether the gap is closed. In the middle of the following year, it would be advisable to analyze the possible need for extension and to proceed to the formal application process to the donors.
- A largely centralized and therefore minimally deconcentrated organizational structure has been designed. Although PROAmazonía teams have been established in the provinces, they focus on the technical issues of the component to which they belong. As such, they do not always coordinate with the provincial technical staff from the other components, which causes the activities of the project to not be implemented, nor monitored with an integral approach.
- The evaluation team observed an intermediate level of progress in relation to the financial management of the Project. According to the latest progress report, in the month 30/60 (50% implementation), the Project has executed US\$ 12,939,253/ US \$ 42,835,908, i.e. 31% of its budget up to the time of the Interim Evaluation. In 2019, management performance achieved the best progress since the beginning of the Project.
- As part of the development a strong Monitoring and Evaluation (M&E) system must map all the key actors of the Project in order to define the communication channels that make effective the dissemination and use of information at all levels of the Project, which has not been the case with PROAmazonía.
- The comparative advantage of the United Nations Development Program (UNDP) is significant due to its experience in the administration and implementation of GEF and GCF Projects, in addition to being very well positioned in Ecuador for its technical assistance<sup>1</sup>. This ensures effective project implementation and application of adaptive management measures.

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<sup>1</sup>In the specific case of PROAmazonía, the National and Regional UNDP team has supported the Government and the Program to position the country in international events organized within the System, for example, events where the results of the Program were presented during the Climate Week in New York, the Good Growth Partnership event in Lima led by the Green Commodities Program and implemented in coordination with institutions such as Conservation International, World Wildlife Fund, the International Finance Corporation, among others. UNDP-Ecuador also provided key technical assistance to achieve a first

- The Project submits semi-annual reports to UNDP-Ecuador and annual progress reports to the Green Climate Fund, as well as annual Management reports to the Project Board for their approval. The ongoing dissemination of information is a fundamental aspect, not only to achieve ownership of the Project and integration of the different actors, but also to maintain transparency in the implementation processes.
- Communication is not fluid and there is not continuous dissemination across all levels. There has been no evidence of timely delivery of semi-annual or annual progress reports to all the key actors involved in the program, which would help to improve the promotion of activities and a proper ownership of the program, among other aspects.
- To date, PROAmazonía has a communication strategy that has not been fully implemented and should be strengthened and supported by the Ministries to improve project implementation.
- Coordination with national counterparts to advance the implementation of the activities of both Projects is not completely efficient. This is largely because the ministries authority directly linked to the Projects governance structure depends on the Project Manual's guidelines, in addition to the approval that corresponds to them, which in many cases has taken a much longer time than approved in the Process Manual.
- Since there is no permanent structure, the roles and responsibilities that integrate the work of the Project Management Unit as part of the MAE and the MAG are not clearly defined beyond what is established in the Administration Manual, which is also not respected. The implementation of SOPs is the opportunity to review and clarify roles at the central and provincial levels.
- It has been identified that currently the administrative issues concentrate much of the work, when the substantive and strategic issues should have more weight, in the relationship between the Project Management Unit and the Ministries.
- The coordination efficiency of provincial teams is not optimal, resulting in a lack of empowerment and a sub-optimal approach to different activities, which are often not well integrated.

### **Sustainability**

- The level of sustainability is determined to be intermediate, largely since Ecuador is in a difficult economic situation as it attempts to implement a fiscal adjustment

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commitment to work together with Lavazza, as well as to strengthen safeguards capabilities linked to the GCF guidelines.

plan to reduce public deficit. Given this situation, it is important to ensure and strengthen public-private partnerships and/or international cooperation. Likewise, political and social risks have been identified as each political authority has its own vision, objectives and priorities, which can affect the continuity of program results and its beneficiaries (in terms of changing strategies, lack of political will, and redistribution of human and financial resources). At the Ministerial level, a total ownership of the program has not been identified, representing a high risk for the results and vision of the program to be sustained in the short, medium and long term. However, after identifying the delay in the execution of the Program and the limited achievement of several results, especially in Component 2, the Ministry of Agriculture and Livestock elevated the National Directorate of the GEF Project to a higher hierarchical level of Deputy Secretary for the issuance of guidelines to the Project Management Unit based on national policy. This demonstrates the commitment of MAE to the PROAmazonía program. More work is needed to enable both Ministries to take ownership of the work of the program and to ensure that the Inter-ministerial roundtables continue beyond the life of the Program.

### **Country Ownership**

- At the Project Management Unit level, there is a high degree of commitment and ownership of the Project. The Ministerial staff level lacks enough ownership, attributable to lack of opportune information on the progress of agreed activities. Ownership starts by understanding the Project Goals and the way in which every staff adds value to the activity cycle from his/her role. From the field work it has been evidenced that many staff do know the project objectives in a clear manner. In addition to issues mentioned in the previous paragraph, this situation is largely attributed to high staff turnover and the limited dissemination of information in a timely manner. At the Provincial and Cantonal GADs levels, the need to make a greater impact is identified. In this sense, the improvement of communication efforts will help the different key actors to contribute to a greater appropriation of the Program and consequently improve the sustainability of the interventions. A proactive partnership between PROAmazonía and the Interinstitutional Committee on Climate Change (ICC) and the REDD+ Worktable, which are intersectoral spaces led by the Ministry of Environment and created under the Ministerial Agreement to allow PROAmazonía to provide support, facilitation and technical advice.
- The fact that the Project has the Ministry of Environment (MAE) as the implementing partner and the Ministry of Agriculture and Livestock (MAG) as the

responsible party (in the context of the NIM-supported National Implementation Modality of the UNDP), and also that the project is part of the broader PROAmazonía program, allows the program to have a national profile not only as an exclusive effort of international cooperation. However, at the provincial level, PROAmazonía is still identified as if it were a UNDP Project only.

- In this regard, the UNDP should not replace national entities in projects executed at a national level. The implementing partner has full programmatic control and, therefore, entire responsibility and ownership of project activities.
- It is pertinent to clarify that the role of the UNDP in the support of National Implementation Modality occurs at the request of the Government/Implementing Partner, that the UNDP, in this case through a Project Management Unit, provides administrative and technical services to carry out related activities identified in the Project Document (PRODOC) and / or the annual work plan (POA), in strict compliance with its procedures, regulations and policies.
- In cases where a Project Management Unit has been established to carry out tasks that cannot be handled by the existing mechanisms of the implementing partner, the UNDP is responsible for the provision of services, including their quality and timeliness, requiring effective mechanisms to facilitate efficiency in management.

#### **Innovation in results areas**

- The PROAmazonía program is considered a pioneering and innovative initiative aligned with the REDD+ AP strategies. It is important to consider that the GCF is a relatively new fund and is financing the first land use, land use change and forestry project.

#### **Unexpected results, both positive and negative**

- The Project team has demonstrated great skills to adapt to a changing landscape - especially during a constant designation of new authorities - in order to give continuity to the work plans, minimizing the effects of the changes. In this sense, a clear example is reflected at the provincial and cantonal level, where in the framework of the development of the Development and Territorial Planning Plans (PDOT), the change of local authorities generated the need to develop strategies to approach new authorities, in order to guarantee the continuity of the Project activities. This was achieved through approaches to the GADs and the District Offices of the MAG and MAE, to achieve a more local intervention. Similarly, the change of authorities has affected the normality of the processes at the central level, where the PROAmazonía team, supported by the UNDP, was forced to

devote more time and efforts to administrative issues, in order to comply with the schedule.

- As a result of the analysis of the Management Committee minutes in 2019, it can be identified that greater emphasis was placed on administrative issues, such as adjustments and approvals of acquisition plans and the approval of changes in the POA. Therefore, it is important to recommend this instance to be used for strategic decisions. Likewise, it is necessary that the authorities attend personally, while avoiding sending delegations or representatives, since they are the ones who make the decisions. In order to achieve the participation of the corresponding authorities, it is recommended that the Project Management Unit present the agenda of the meetings in advance (at least 2 weeks), since it was mentioned that it is currently presented two days in advance.

### **Gender Equity**

- From the preparatory phase of the REDD+ AP, Ecuador considered it important to incorporate the gender approach in the Project. A relevant action was the implementation of a Gender Diagnosis, which resulted in the construction of the Gender Action Plan articulated to the REDD+ AP that included the guidelines for the implementation of REDD+ actions with the gender approach. From the GCF, this has been the main entry for mainstreaming gender work. However, this has involved certain challenges for PROAmazonía's activities, considering the diversity of the cultural, social and economic realities within the Amazon. Thus, it has been important to develop specific actions and give creative responses to the needs and interests of women in the intervention areas.
- In this sense, the Environmental and Social Impact Assessment (ESIA), which is currently being developed for PROAmazonía and the Results-Based Payments initiative, includes a Gender Action Plan with budgets and specific actions for this work as a key product.
- In the Program results framework, one of the main lines towards economic empowerment is the construction of financial and economic incentives with women equal participation in REDD+ benefits: tax incentives, credit lines, public and private acquisitions and financial architecture, which focus on the work and promoting equal opportunity for women's involvement in the economy and the sustainability of life (this work is done in C4).

## **Recommendation Summary Table**

### **Technical Recommendations**

Table 4: Recommendation Summary Table

<p><b>Component 1 &amp; Component 2</b>  <b>Finding 1:</b> At the time of the Interim Evaluation there is no data on the farms that are being intervened, although the existence of a National Forest Monitoring System is identified, it does not respond to the comprehensive information interlinear requirements by farm that monitors the non-expansion of the agricultural frontier.</p>	
<p><b>Recommendation 1</b></p>	<p><b>Responsible Entity</b></p>
<p>Implement the strategy of spatial monitoring of Forests in Farms that ensure access to interactive information (component 1 &amp; 2).</p>	<p>Coordination of components 1 and 2  M&amp;E Specialist  Project manager  UNDP Office in coordination with the PROAmazonía team</p>
<p><b>Component 2</b>  <b>Finding 2:</b> Through different activities, attempts have been made to agree and approve an official definition of Sustainable Production and deforestation-free, but this objective so far has not been achieved. There is currently an ongoing consultancy to be completed in April 2020 and should provide the necessary inputs that support the analysis, which should allow the definition to be considered for final approval by the Authorities.</p>	
<p><b>Recommendation 2</b></p>	<p><b>Responsible Entity</b></p>
<p>It is imperative to have an official definition of Sustainable Production and deforestation-free for the commodities that PROAmazonía works with (coffee, cocoa, palm oil, and livestock) approved by the Ministerial authorities.</p>	<p>Management Committee (MAE and MAG ministries)  Project Board  Ministers</p>
<p><b>Component 2</b>  <b>Finding 3:</b> To date, the Republic of Ecuador does not have an official traceability norm that facilitates access to markets that require having and complying with these regulations.  With respect to the livestock sector, there is an official national traceability policy promulgated and executed by the Ministry of Agriculture and Livestock through AGROCALIDAD established in Resolution No. 033 of March 25, 2015.</p>	
<p><b>Recommendation 3</b></p>	<p><b>Responsible Entity</b></p>
<p>Prepare the regulations on traceability associated to commodities supported by PROAmazonía.  For the livestock issue, it is necessary to implement traceability in the Amazon in commodities prioritized by PROAmazonía within the framework of current regulations. Additionally, it is necessary to strengthen the livestock traceability policy by hiring a legal expert to analyze the existing policy and regulations.</p>	<p>Coordination of Component 2  Management  Management Committee  UNDP in coordination with the PROAmazonía team  Ministerial Authority</p>
<p><b>Component 2</b>  <b>Finding 4:</b> The central and regional office teams of MAG and ATPA see that through the Field Schools they could update and improve their knowledge, and in practice it will enable them to be more efficient and effective. Their current Technical Assistance approach has room for improvement.</p>	
<p><b>Recommendation 4</b></p>	<p><b>Responsible Entity</b></p>
<p>Through the methodology of Farmers Field Schools working with collection centers and associations, MAG has an opportunity to update its approach to Technical Assistance at the national level to become more efficient and effective.</p>	<p>Coordination Component 2  Provincial Teams  Hired Companies  Contracted Institutions  (CATIE, IICA, others)  PROAmazonía</p>

	UNDP MAG authorities MAG departments (central and provincial)
<b>Component 3</b>	
<b>Finding 5:</b> Water Funds have excellent results associated with river basin conservation and have the potential to contribute to other initiatives.	
<b>Recommendation 5</b>	<b>Responsible Entity</b>
The Water Funds, as part of the financial sustainability strategy, should replicate the practice carried out by FORAGUA to extend the scope to environmental services and not only consider water resources.	Coordination of component 3
<b>Component 4</b>	
<b>Finding 6:</b> At the time of the Interim Evaluation there is no systematic information on the inclusion of the gender approach as a general approach in the PROAmazonía activities.	
<b>Recommendation 6</b>	<b>Responsible Entity</b>
Integrate in the M&E System the information related to gender, aligned to the interventions, would allow a systematic evidence-based evaluation of the participation of men and women, to achieve a systematic and concurrent monitoring of the results. Generate mechanisms that deepen the roles for inclusion and achieve incidence of women in activities carried out within the framework of PROAmazonía. It is important to disseminate the findings of the studies and analysis that have been carried out with UN Women and mainstream gender in the technical areas of MAG.	Coordination of component 4 Management
<b>Component 4</b>	
<b>Finding 7:</b> During the Interim Evaluation field visits, it was observed that the strengthening activities do not have a criterion or requirement from the service providers within the training activities to formally deliver the training instruments. It is also evident that there are only quantitative indicators, and, in some cases, knowledge is measured at the start and end of training, but there are no qualitative or effect indicators that can be measured systemically.	
<b>Recommendation 7</b>	<b>Responsible Entity</b>
Review and update the Capacity Building strategy, where the delivery of all training materials to the partners and beneficiaries of the Project is formally included and in the same way it is possible to define qualitative and effective indicators that are part of the M&E System of PROAmazonía.	Coordination of component 4
<b>Component 4</b>	
<b>Finding 8:</b> Through the interviews and meetings in, it has been possible to identify areas where there is not only space but the need to improve and have a communication / socialization strategy for PROAmazonía, which makes visible the objectives and results of the Program and that help in the appropriation and sustainability of program achievements. Similarly, during the interview with the Under Secretariat of Climate Change, the need and urgency to design and implement this strategy was expressed	
<b>Recommendation 8</b>	<b>Responsible Entity</b>

Develop and implement a communication strategy prepared by the PROAmazonía team together with the MAE and MAG.	Communication Specialist of PROAmazonía MAE and MAG Communication Teams Project manager Project Board
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## Cross-cutting operational and management recommendations

<b>Finding 9:</b> Field technical teams do not always work in an articulated manner and with coordination among components.	
<b>Recommendation 9</b>	<b>Responsible Entity</b>
Review and adjust the structure of the provincial teams and include the position of Technical Coordination for each region (North, Center and South).	Project manager Coordinators UNDP in coordination with PROAmazonía team
<b>Finding 10:</b> Some PROAmazonía actions could lose sustainability over time if they are not anchored with financial access that goes beyond the life of the Project.	
<b>Recommendation 10</b>	<b>Responsible Entity</b>
The Project Management Unit must define a critical work plan to develop the Financial Sustainability Strategy (towards the 5th disbursement).	Manager Component Coordinators
<b>Finding 11:</b> The current execution of activities and processes is governed by a manual that is not being fully complied with in terms of management processes and decision-making timeframes. In addition, the actions of the Ministries are more associated to administrative issues than strategic issues. There is a lot of delay in the execution of contracts, which also generates delays in financial execution.	
<b>Recommendation 11</b>	<b>Responsible Entity</b>
UNDP SOPs implementation replacing the operational processes section of the Program Process Manual. This will also give agility to the implementation and will allow to take better advantage of the technical capabilities of the Project Management Unit and strengthen the strategic role of the Ministries as Implementing Partners. Therefore, it is recommended that national entities empower the PMU to strengthen operational efficiency.	PROAmazonía UNDP PMU Ministerial Teams
<b>Finding 12:</b> The project has a high number of transactions that were not contemplated in the design of the project due to the existence of multiple contracts, as well as adjustments to these contracts (amendments). The national and regional UNDP teams have shown a lot of potential to provide technical assistance and currently do not have a specific budget for the rest of the project.	
<b>Recommendation 12</b>	<b>Responsible Entity</b>
Review the level of transactions that the Program has carried out now and develop projections until the closing of the Project to update the assigned CPD. Also analyze the technical assistance budget that can be provided by the UNDP-Ecuador and Regional office according to the needs identified by the Project.	Country Office UNDP Regional Office
<b>Finding 13:</b> Multiple reports are presented to the Ministries, UNDP and donors, but there is no strategy that can reach the broader audience and key actors.	
<b>Recommendation 13</b>	<b>Responsible Entity</b>

The PROAmazonía M&E System must review and adjust its information dissemination processes.	M&E Specialist Manager
<b>Finding 14:</b> The entire evaluation process involves a set of adjustments that must be agreed, planned and assessed in their compliance to have the evidence that the recommendations that were applied.	
<b>Recommendation 14</b>	<b>Responsible Entity</b>
Establish a strategy that allows the socialization and agreement on key actions required to implement all the recommendations presented in this evaluation with both Ministries.	Component Coordinators M &E Specialist UNDP Manager Authorities and Ministerial Teams

## 2. Introduction

### Purpose of the Interim Evaluation and objectives

This document presents the final report of the Interim Evaluation of the Project “Priming Financial and Land Use Planning Instruments to Reduce Emissions from Deforestation” within the Amazon Comprehensive Program of Forest Conservation and Sustainable Production (PROAmazonía), financed by the Green Climate Fund (GCF) and the Government of Ecuador.

The purpose of the Interim Evaluation is to evaluate the progress towards achieving the objectives and results of the intervention, as specified in the Project Document (PRODOC), and to evaluate the first signs of success or weaknesses of the Project with the objective of identifying changes and necessary actions that best contribute to the achievement of the expected results. The Interim Evaluation also reviewed the Project strategy and its risks to sustainability.

The specific objectives of the Interim Evaluation are to measure the coherence of the Project management with the objectives of the Green Climate Fund (GCF), as well as the current conditions of the Project compared to the indicators and objectives defined in the planning phase. Similarly, review the initial results of the Project with respect to the gender and intercultural approach, the quality of implementation and financial management, the current social and economic context of the Project, the challenges or damaging factors to achieve the management objective, the goals of established indicators, monitoring and evaluation systems, and lessons learned, in addition to good practices.

The results of this evaluation can contribute to some modifications in the implementation of the intervention, the update of the assumptions adopted, and the revision and

recommendations for the Program indicators, in order to adjust to the current context in which it is executed. This is to effectively support the coordination and the technical team of the Program to contribute to the achievement of the planned results. At the same time, the proposed evaluation will follow an approach that emphasizes the participation of various key actors related to the Program and with each Project.

It is important to mention that the evaluation team is also carrying out the Interim Evaluation of the GEF Project *“Sustainable Development of the Ecuadorian Amazon: integrated management of multiple use landscapes and high value conservation forests”*. Both Projects are complementary and conform the Amazon Comprehensive Program for Forest Conservation and Sustainable Production (PROAmazonía).

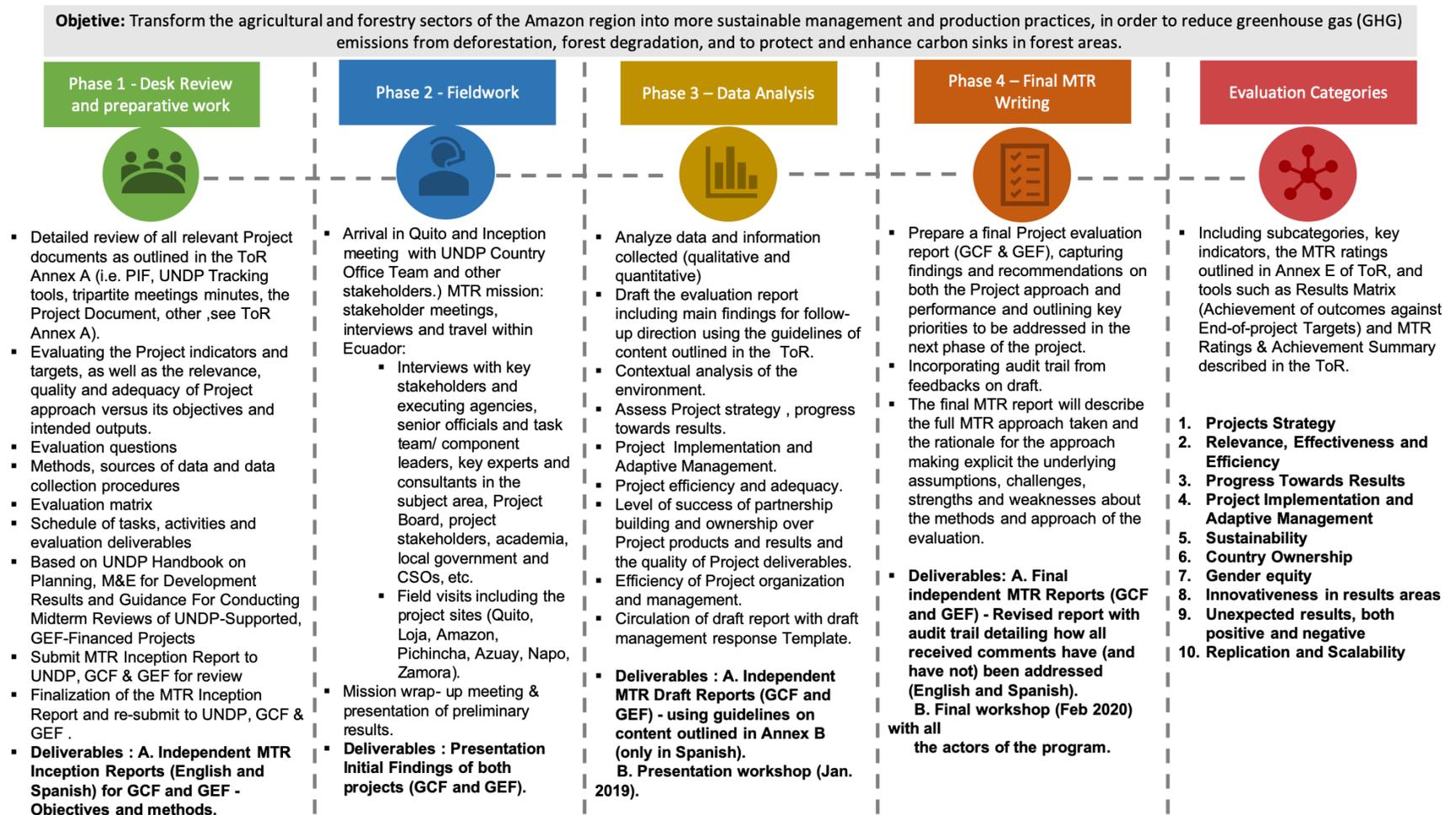
### **Scope & Methodology**

Given that the Green Climate Fund (GCF) did not provide specific guidelines at the time of developing the terms of reference for this evaluation, it has been requested from the donor that the methodology complies with the Guidance for Conducting Midterm Reviews of GEF- Financed Projects and the Handbook on Planning, Monitoring and Evaluating for Development Results of the United Nations Development Programme (UNDP).

In addition, and in particular, the proposed methodology for the evaluation of the gender approach in the project was based on the “Main guide on gender mainstreaming in UNDP programs and projects 2019” (Guía principal sobre la incorporación del género en programas y proyectos del PNUD 2019), thus the mainstreaming aspects were applied in the evaluation, which logic of analysis is in line with the following cycle - Planning, Design, Implementation, Monitoring and Evaluation - and sequentially orders the effects of the intervention, from a social point of view, showing changes in the relationships of men and women and their incidence regarding gender equality and equity. Similarly, the questions developed for the evaluation follow the mainstreaming approach, allowing the gender approach to enhance its transformative and empowering character, and increasing the analysis and depth of the intervention and its results.

The following figure presents a diagram of the evaluation flow of the PROAmazonía Program, which includes the phases of the Interim Evaluation of this Project.

Figure 1: Interim Evaluation Review diagram of the PROAmazonía Program



Source: Own elaboration, prepared based on

The consultant and his team followed a collaborative and participatory approach that established close work with the Project team, government counterparts, the UNDP country office, regional technical advisors and other key stakeholders.

To evaluate the results, the evaluator reviewed the indicators of the Project results framework and compared them with the effective progress up to the time of the Interim Evaluation. Table 10 presents the tool used to measure progress, based on a traffic light system on the level of progress achieved and the variations between the plan and the real advanced, according to the evidence obtained, the variation analysis was performed.

In addition to analyzing the progress towards the scope of the results, the consulting team:

- Compared and analyzed the status of the indicators within the annual project performance report and its baseline with the value reached until the Interim Evaluation, comparing with the target set for that period.
- Identified persistent barriers to achieving the Project objectives.
- Identified ways in which the Project can take advantage of aspects that have been successful in expanding these benefits.

The consultancy deepened the analysis of the monitoring and evaluation aspects of the Project, especially those announced in the PRODOC regarding:

- Project progress monitoring based on the results management platform.
- Update of the risk register in ATLAS.
- Annual Project Reports (APR 2017 and 2018) and implementation reports (including project reports to the UNDP and PROAmazonía partners).
- Reports delivered to the UNDP and the Project Board (Management performance reports 2019 and 2020).

Given that the quantitative and qualitative analysis of monitoring and evaluation aspects is essential for this consultancy, the review of baseline information as a key element of completeness of the results framework was emphasized.

Figure 2 presents the methodology implemented based on a set of mixed methods.

Figure 2: Methodology



Source: Based on ToR information

### **Desk Review and preparatory work**

The evaluation team reviewed a series of relevant Project documents, detailed in annex 6.7. This methodological stage also included the analysis and in-meeting discussions with the technical counterpart, the development and validation of data collection instruments for the different methods that were used, the selection of sites for visits and the actors to be interviewed.

The evaluation focused on the evaluation criteria and questions included in Annex 6.2. Each element determined the method of gathering and analyzing the information and was adapted and applied according to the people to be interviewed and their relationship with the Project.

### **Fieldwork**

This stage was the most extensive in terms of the amount of activities required. The fieldwork was based on the use of different methods of data collection: key informational interviews, in-depth interviews and field visits. Interviews were conducted with stakeholders that have direct responsibility or associations to the Project. All the parties described in the terms of reference of the consultancy were interviewed. Annex 6.6 includes the list of people who were interviewed.

The duration of the in-depth interviews / focus groups was between 1 to 1.5 hours. The evaluation team used the interview questionnaire (annex 6.3) developed and validated to discuss the different issues under consideration and to collect data. This form was also completed by Management, the PROAmazonía Coordinators, as well as by the Program Officer who monitors to the Program.

Additionally, the Interim Evaluation consulting team carried out field visits and applied the questionnaire mentioned above systematically in the Sierra and Amazonia regions, and the Project intervention sites, defined by the PROAmazonía management team, who prepared a comprehensive agenda to collect evidence of the field work, which is included

in annex 6.5. In this sense, the work focused on the following areas: agricultural plots of local producers, including family farms; reforestation or conservation areas; construction and repowering of collection centers and forest control centers; Technical Teams of Provincial and Cantonal GADs; offices of local associations / organizations, among others.

One of the main limitations during the evaluation was during the field visits, as the PROAmazonía provincial technical staff had limited information on the processes that were taking place or where about to start (e.g., lack of terms of reference and specific work-plans). On the other hand, one additional week at the central PROAmazonía office would have been much more useful as well. In any case the support received during the evaluation process by the PROAMazonia team and especially by the M&E Officer as well as the PNUD team, was beyond the regular commitment.

Finally, prior to the presentation of this report, a workshop was held to present the results to the actors in the field and to receive their feedback.

### **Analysis and Report Writing**

This stage included the analysis of all the secondary documentation, the systematization of the interviews, the data and the preparation of the initial reports, draft and final reports, which included the comments of the counterpart team.

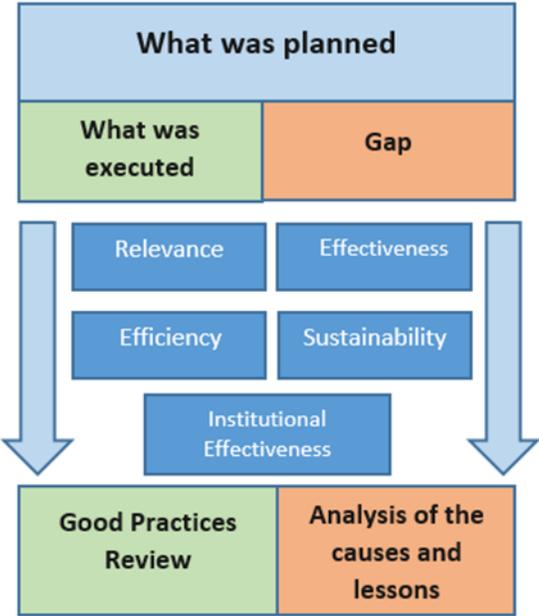
The information obtained through the interviews and the field visits was summarized and organized according to the different evaluation criteria of the Terms of Reference.

The following points were considered for the data analysis:

- Comparison of the baseline values of the indicators of each of the project results and the values observed until the Interim Evaluation of the Project.
- List of activities and products of the Project, the effective times of elaboration of these activities were analyzed according to the planned vs actual deadlines, the estimated budget, the committed and the executed amounts.
- Comparison of the alignment between the planning of the different activities and the effective execution of each activity.
- Quantitative and qualitative analysis of the different activities.
- Identification of some bottlenecks that may be an early warning.
- Identification of lessons learned.
- Identification and systematization of good practices.

These comparisons were based on the conceptual framework presented in Figure 3, in order to analyze the information collected by fully describing and addressing key aspects of the evaluation.

Figure 3: Conceptual framework for information analysis



Source: Own elaboration based on the requirements of the terms of reference.

**POA Activities**

As part of the additional value of the consultancy, the evaluation team analyzed the cycle of activities and their critical path (planned versus effective) in order to have evidence to compare the time, scope, budget and quality of activities aimed to achieve the goals of the Project results framework. Figure 4 presents the analysis model that was used for this purpose.

Figure 4: Analysis model



### Structure of the Interim Evaluation report

The document is divided into 6 sections: the executive summary, the introduction, the project description and background context, the findings, the conclusions and recommendations, and the annexes. Each section has subsections that are listed in the table of contents.

## 3. Project Description and Background Context

### Development context

The Project has considered in all its phases its alignment to REDD+, which is a positive policy incentive approach, built over a decade ago, by the States Parties of the United Nations Framework Convention on Climate Change (UNFCCC), to mitigate climate change and curb deforestation and forest degradation, promote activities that reduce the causes of deforestation and promote the conservation, sustainable forest management and recovery of forests and their carbon sinks.

The REDD+ approach recognizes that deforestation and forest degradation are intrinsically related to the development model adopted, so that the transformation of the productive matrix and the change of the energy matrix, together with reforestation and biodiversity conservation, are central elements for the implementation of REDD+. Thus, to achieve this effect, rule the principles of articulation and concurrence govern; joint

responsibility; transparency; full and effective participation; equity; institutional efficiency; and financial efficiency.

It also pursues the objectives of:

- Reducing gross emissions of at least 20% by 2025, based on the 2000-2008 Forest Level Emissions Level, considering REDD+ policies, measures and actions aimed at reducing deforestation.
- By 2025, the policies, measures and actions of this plan will contribute to reducing the net deforestation rate.

In that context, Ecuador began working with REDD+ in 2009 under the leadership of the Ministry of Environment (MAE), launching the REDD+ Action Plan (REDD+ AP) - Forests for Good Living (2016 - 2025). In November 2016 this project was built with a participatory methodology that involved national, provincial, cantonal and local actors (NGOs, women's associations, producers and community representatives), and is considered, as a set of strategic lines that promote actions to mitigate the climate change, which is articulated with the other three pillars of the UNFCCC for REDD+, which are:

- The establishment of a National Forest Reference Emission Level and / or a National Forest Reference Level;
- A robust and transparent National Forest Monitoring System
- An Information System on the approach and respect for safeguards.

In that sense, the specific objectives of the REDD+ AP are:

1. Support in the articulation of intersectoral and governmental policies, and mainstream climate change and REDD+ in national public policies and in the main instruments of territorial planning at the level of decentralized autonomous governments (GAD) and of communities, peoples and nationalities.
2. Support the transition to sustainable productive systems free from deforestation.
3. Improve sustainable forest management (SFM), as well as the use of non-timber forest products (NTFP), within the framework of bio-enterprises prioritized by the Ministry of Environment.
4. Contribute to the sustainability of initiatives that seek to conserve and regenerate forest cover within the framework of the goals established in the National Development Plan and other relevant national policies and programs, including those related to forest restoration.

For that purpose, the REDD+ AP, presents four strategic components and five operational components, with the measures and actions that have been prioritized by the country, as well as broader development objectives that allow addressing the causes of deforestation, forest degradation, and overcome barriers to sustainable forest management, conservation, and the increase of carbon sinks. The operational components allow the REDD+ AP to be implemented by enabling the management of its measures and actions among the different entities and with the different actors, considering social and environmental criteria for a transparent implementation. The measures and actions of the components of the REDD+ AP will be implemented considering the prioritization of the zones, the gradual implementation, a multi-level and multi-stakeholder participation approach, and the incorporation of the gender approach.

The four strategic and five operational components of the REDD+ PA are summarized in the following table:

Table 5: Table of strategic and operational components

STRATEGIC COMPONENTS	MEASURES AND ACTIONS BY COMPONENT	DEVELOPMENT OBJECTIVES TO FACE THE CAUSES OF DEFORESTATION	OPERATING COMPONENTS	OBJECTIVES
<p><b>Strategic component 1: Institutional policies and management</b></p>	<p>They reinforce the actions of the other components: 1. Political-institutional articulation for the implementation of measures and actions. 2. Territorial planning and zoning of the agricultural and forestry frontier. 3. Land legalization. 4. Forest control and regulatory reforms.</p>	<p><b>Objectives:</b> 1. Support in the articulation of intersectoral and governmental policies. 2. Transversalize climate change and REDD+ in national public policies and in the main instruments of territorial planning at the level of GADs and communities, villages and nationalities.</p>	<p><b>Operational component 1: Management of REDD+ measures and actions</b></p>	<p><u>Institutionally Two levels: institutional (MAE) and interinstitutional, along with a coordination with other sectors to execute REDD+ measures and actions.</u></p>
				<p><u>Management processes</u> (According to the Convention): Three levels: national, subnational and other non-state initiatives that are articulated with the components of the REDD+ AP.</p>

<p><b>Strategic component 2: Transition to sustainable productive systems</b> (Recognizes the expansion of the agricultural frontier as the main cause of deforestation in the country)</p>	<p>1. Agricultural productive reconversion. 2. Productivity improvement and promotion of the adoption of good agricultural, forestry and aquaculture practices. 3. Traceability and certification for agricultural, forestry and aquaculture products free from deforestation. 4. Responsible purchasing and market assurance and integration into value chains</p>	<p>Support the transition to sustainable and deforestation-free productive systems,</p>	<p><b>Operational component 2: Monitoring and reference level</b></p>	<p>National Forest Monitoring System (Generate and present periodic information and reports of forest carbon associated with the implementation of REDD+ activities in the context of Results-based Payments.</p>
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<p><b>Strategic component 3: Sustainable forest management</b></p>	<p>1. Improvement of forest management practices. 2. Promotion of traceability, <u>certification and responsible public and private purchases.</u></p>	<p>Increase the sustainability of the areas under forest management and increase the initiatives of exploitation of NTFP, within the framework of forest governance, bio-knowledge and the enhancement of biodiversity.</p>	<p><b>Operational component 3: Social and environmental safeguards for REDD+</b></p>	<p>It details the applicable safeguards for REDD+ (measures to avoid or minimize the possible risks associated with the implementation of REDD+ and, at the same time, enhance social and environmental benefits).</p> <p>Focus (inclusive process highlighting the role of indigenous peoples and local communities, as well as that of women and priority care groups)</p>
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<p><b>Strategic component 4: Conservation and restoration</b></p>	<p>Conservation and restoration are: 1. Biodiversity conservation, maintenance of water resources and ecosystems. 2. Restoration and reforestation.</p>	<p>Increase carbon sinks through the maintenance of surfaces under conservation and increase surfaces under reforestation, within the framework of the goals established in the National Development Plan (2013 - 2017) and national conservation and restoration programs.</p>	<p><b>Operational component 4: Capacity development and knowledge management</b></p>	<p>Ensure that the key actors for REDD+ measures and actions have the necessary capabilities (associated to the rescue, maintenance and protection of collective knowledge, and their ancestral sciences, technologies and knowledge, in a framework of respect for cultural conditions). Have scientific information to develop regulations that respond to the reality and needs of the country in forestry and climate change issues.</p>
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			<p><b>In operative component 5: actors' involvement and communication</b></p>	<p>Promote integral participation between sectors and key actors for the proper functioning of REDD+ at national and local level. Influence those factors that contribute to deforestation and regeneration processes; support and facilitate capacity building processes and inform about REDD+ and position it.</p>
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Under these guidelines, Ecuador seeks to develop a high-quality REDD+ Strategy, with social and environmental benefits, which considers:

- Mitigate climate change and contribute to deforestation reduction
- Promote safeguards, measures and actions that enhance the social and environmental benefits additional to the reduction of GHG emissions derived from the implementation of REDD+.
- Achieve co-benefits (additional benefits), prioritized by MAE:
  1. Biodiversity conservation.
  2. Water regulation and soil retention.
  3. Improvement of natural resource governance systems.
  4. Maintenance of ancestral culture / identity.

In this regard, to meet the objectives of the REDD+ Action Plan, it is very important to consider safeguards, which constitute a set of measures to avoid or minimize social and environmental risks and, at the same time, enhance co-benefits of REDD+ implementation, in order to enforce the rights. These have been interpreted by Ecuador, where the seven Cancun Safeguards are applied as a parameter to report their approach and respect in the implementation of REDD+ activities. The detail is presented in the following table:

**Table 6: Safeguards Summary Table**

<b>7 SOCIAL AND ENVIRONMENTAL SAFEGUARDS</b>	<b>DESCRIPTION</b>	<b>APPROACH - REDD+ PREPARATION PHASE</b>	<b>RESULTS</b>
1. SAFEGUARD A:	The complementarity or compatibility of the actions with the objectives of national forest programs and with international conventions and agreements on the subject.	Legal, political and institutional framework analysis.	Regulatory framework.
2. SAFEGUARD B:	Transparency and effectiveness of national forest governance structures, considering national legislation and sovereignty.	REDD+ design and implementation. Operational Framework - Strengthening of natural heritage governance structures.	National Forest Monitoring System.
3. SAFEGUARD C:	Respect for the knowledge and rights of indigenous peoples and members of local communities,	The Action Plan is part of the guarantee and recognition of the rights of local actors, with	National Consultation Guide for the Implementation of REDD+ Actions.

	considering relevant international obligations and national circumstances and legislation, and bearing in mind that the United Nations General Assembly has approved the Declaration of the United Nations on the Rights of Indigenous Peoples.	emphasis on communities, peoples and nationalities.	
4. SAFEGUARD D:	The full and effective participation of interested parties, that of indigenous peoples and local communities, in the actions mentioned in paragraphs 70/72 of decision 1 / Chapter 1.	For the involvement and participation of actors, 3 types of spaces were developed: REDD+ worktables, which include capacity-building mechanisms on issues related to climate change, REDD+ forests	
5. SAFEGUARD E:	The compatibility of the measures with the conservation of natural forests and biological diversity, ensuring the specific actions in paragraph 70 of decision 1 / Chapter 16, are not used for the conservation of natural forests, but instead serve , to encourage the protection and conservation of these forests and the services derived from these ecosystems and to enhance other social and environmental benefits	Encourage the conservation of natural forests, biodiversity and eco systemic services. Robust constitutional, normative and political framework. It covers the recognition of nature as a subject of rights.	<ul style="list-style-type: none"> <li>▪ First National Forest Inventory</li> <li>▪ Implementation of the Socio Bosque Program</li> <li>▪ Mapping of social and environmental co-benefits, the result of REDD+ implementation: <ul style="list-style-type: none"> <li>➤ Biodiversity conservation</li> <li>➤ Water Regulation and soil retention</li> <li>➤ Maintenance of ancestral culture</li> </ul> </li> </ul>
6. SAFEGUARD F:	The adoption of measures to address the risks of reversal.	Studies were conducted about deforestation in the country, calculations of deforestation rate, causes and disasters.	
7. SAFEGUARD G:	The adoption of measures to reduce the displacement of emissions.		

On the other hand, according to the PRODOC, the first Biennial Update Report of Ecuador was presented in September 2016 to the UNFCCC, where it was indicated that 30% of GHG gas emissions come from land use, changes in land use, and forestry. **The reduction**

**of emissions in this sector essentially contributes to the mitigation of climate change, which in turn generates social and environmental co-benefits.** It should be noted that, in 2014, the land area covered by native forests in Ecuador was 12.7 million hectares (54% of the national territory), where 74% are in the Amazon region. It was identified that between 1990 and 2014 about 2.6 million ha of natural forests were lost, and the main agricultural crops that have replaced these forest areas between 2008 and 2014 are coffee, cocoa, pastures and oil palm<sup>2</sup>.

### **Problems that the project sought to address, threats and barriers targeted**

The Project seeks to address the direct and indirect causes of the problem of deforestation in its geographical area of intervention in Ecuador, contributing to national efforts to reduce GHG emissions and complying with Ecuador's commitments under the UNFCCC. Likewise, the Project works to ensure its own sustainable development by promoting forest conservation and restoration and supporting the transition to more sustainable agricultural practices.

### **Project Description and Strategy**

The objective of the Project, which has an expected duration of five years (2017-2022), is to contribute to a low emissions sustainable development pathway through the development and strengthening of governance and a set of public policies and financial and economic instruments for sustainable land use to address the main causes and agents of deforestation and forest degradation in Ecuador.

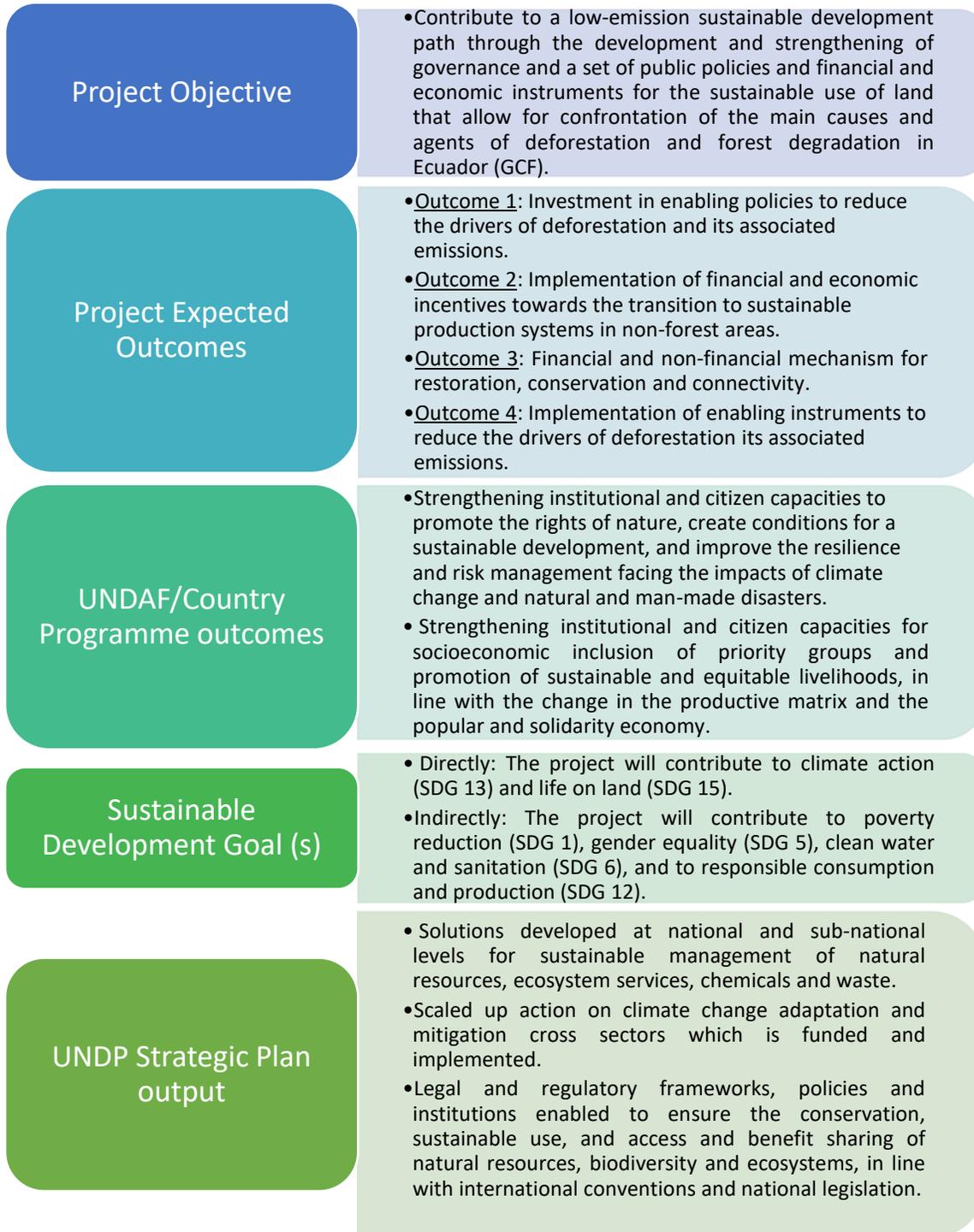
The expected results of the Project are consistent with the United Nations Development Assistance Framework (UNDAF) in its outcomes 4 and 5, the UNDP Country Strategic Plan in its products 1.3; 1.4; and 2.5; and with the Environment and Sustainability Programme, as well as with the Country Program Action Plan.

Figure 5 presents the expected outcomes of the Project.

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<sup>2</sup> Source: PRODOC

Figure 5: Project expected outcomes



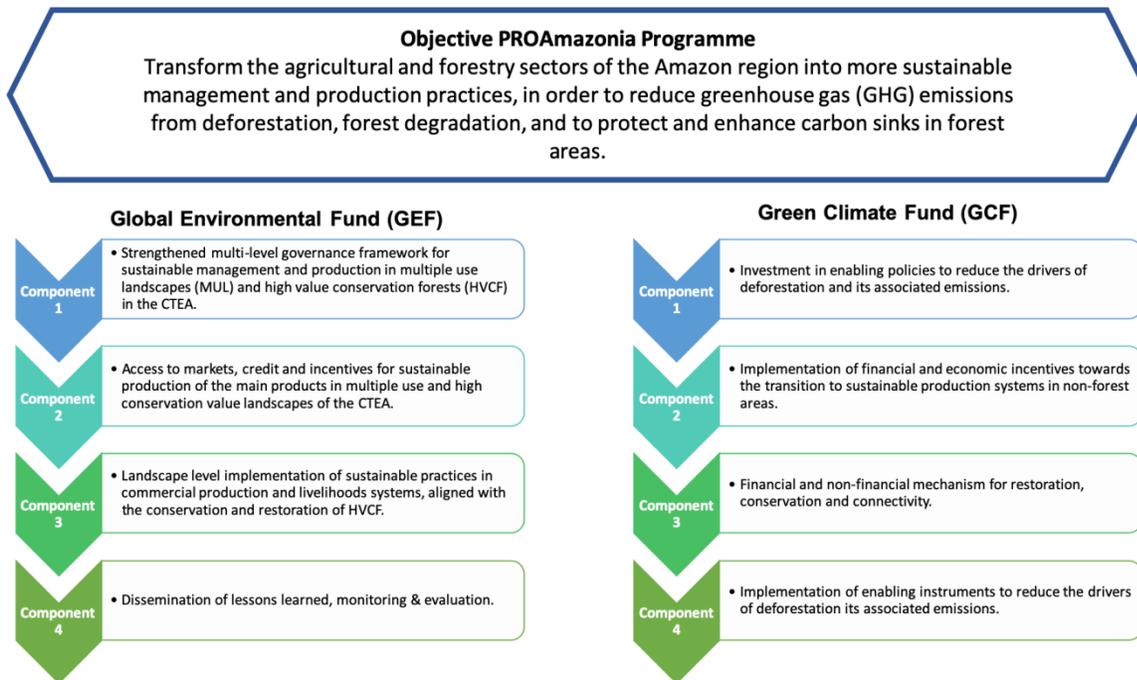
## PROAmazonía Program

This project together with the GEF funded project *Sustainable Development of the Ecuadorian Amazon: integrated management of multiple use landscapes and high value conservation forests* (PIMS #5606), constitutes the PROAmazonía Program, an initiative implemented by the Ministry of Environment (MAE), the Ministry of Agriculture and Livestock (MAG) and the United Nations Development Programme (UNDP), funded by the Green Climate Fund (GCF) and the Global Fund for the Environment (GEF).

The objective of the PROAmazonía Program is to transform the agricultural and forestry sectors of the Amazon region into more sustainable management and production practices, in order to reduce greenhouse gas (GHG) emissions from deforestation, forest degradation, and to protect and enhance carbon sinks in forest areas.

The results of the Program, through both projects, include:

Figure 6: Illustration of PROAmazonía Program components



Source: Based on ToR information

The PROAmazonía Program is a collaborative initiative designed to be executed in 5 years, with a financial allocation of US\$ 12,462,550 and US\$ 41,172,739 from the GEF and the GCF, respectively. Additionally, it has an in-kind contribution from the Government of Ecuador through the budgets of each Ministry, with detail presented in each PRODOC.

## **Project Implementation Arrangements**

The Project is being implemented under the National Implementation Modality (NIM) with the support of the United Nations Development Program under the "Standard Basic Assistance Agreement" between UNDP and the Government of Ecuador, and the Country Program. The Project Implementing Partner is the Ministry of Environment and is funded by the Green Climate Fund.

### **Project Board (PB)<sup>3</sup>**

The Steering Committee consists of the highest authority of the MAE, MAG, and the UNDP, or its high-level delegate; and is chaired by the MAE. It was established at the beginning of the Program and meets semiannually in an ordinary or extraordinary way when one of its members requires it, to review the progress in the execution of the Program and to adopt strategic decisions necessary for its implementation.

The main requirements of the Project Board are the following:

- a) Approve the Annual Operating Plan and Budget
- b) Adopt in its first ordinary meeting a Manual of Processes, Governance and Program Implementation.
- c) Facilitate inter-institutional coordination at the highest level.
- d) Follow up on the execution of the Program to ensure alignment with national and local planning processes and policies.
- e) Select the Manager and Coordinators of the Program Implementation Unit, through a transparent selection process.
- f) Review and approve donor report reports.
- g) Review and approve the Interim Evaluation Report and Final Evaluation Reports and follow up on the management responses to the evaluation findings.

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<sup>3</sup> Manual de Procesos de 2018, chap. 2.2.1, page. 10

## Project timing and milestones

Table 7: Project timing and milestones

	Plan	Actual
<b>Project document signature (PRODOC)</b>	01/06/2017	22/05/2017
<b>Project Manager Hiring</b>	15/09/2017	1/12/2017
<b>Inception Workshop</b>	August 2017	08/09/2017
<b>Inception Workshop Report and baseline assessments</b>	Within two weeks after the Inception Workshop	October 2017
<b>FAA Effectiveness Date</b>		19/05/2017
<b>Standard UNDP monitoring and reporting requirements as described in the UNDP POPP (Program Policies and Procedures and Operations)</b>	Quarterly, Annually	Quarterly, Annually
<b>Monitoring of indicators in the project results framework</b>	Annually	Annually
<b>Annual Project Report (APR)</b>	Annually	Annually
<b>NIM audit according to UNDP audit policies</b>	Annually	Annual
<b>Project Board meetings and annual planning workshops</b>	Annually	Annually
<b>Supervision missions</b>	Annually	Annually
<b>GCF learning missions/site visits</b>	To be determined	
<b>Interim Evaluation</b>	Med 2020	October 2019-February 2020
<b>Final Evaluation</b>	31/12/2022	
<b>Project closure</b>	31/05/2022	

## Main stakeholders

Table 8: Main stakeholders of the project

Partners	Responsibilities
<b>Ministry of the Environment (MAE)</b>	Implementing Partner of the project, and through the Undersecretary of Climate Change (SCC) coordinating with the Undersecretary of Natural Heritage (SPN). Chair of the Project Board. Convenes stakeholders to engage them in project planning and implementation processes. Co-leads project implementation in coordination with other entities involved.
<b>Ministry of Agriculture, Livestock (MAG)</b>	Responsible Party of the project. MAG leads the Amazonian Productive Transformation Agenda (ATPA_MAGAP). Member of the Project Board. Project Co-financier. Together with MAE convenes stakeholders to engage them in project planning and implementation processes (e.g. thematic and specialized meetings, planning, consultation and validation workshops).
<b>Technical Secretariat Plan Ecuador (Senplades)</b>	The project coordinates with the SENPLADES Zonal Under-secretariats in activities related to the elaboration and updating of PDOTs, creation of an online tool to articulate the different PDOTs and life plans, and the capacity building processes related to these themes. PDOTs follow SENPLADES regulations and guidelines. Participates in the Technical Committees as relevant depending on the agenda and key matters to discuss.
<b>Ministry of Foreign Trade (MCE)</b>	Invited to participate in the Regional Platforms for Sustainable Supply Chains of coffee, cocoa, oil palm and livestock. Participates in the elaboration of platform action plans and in identifying and promoting partnerships with buyers of sustainable products (Outcome 2). Participates in the Technical Committees as relevant depending on the agenda and key matters to discuss.
<b>Decentralized Autonomous Governments (GAD): provincial, communal and parish</b>	Participates in the elaboration of PDOTs, including REDD+ provisions, and in the articulation of the different levels of PDOTs. Beneficiaries of the training programs on PDOT, REDD+ and sustainable production, as well as the strengthening of their extension services to promote the adoption of best practices within their territories. Participates in the Technical Committees as relevant depending on the agenda and key matters to discuss.
<b>BanEcuador and CFN</b>	Receives training in sustainable finance; participate in the revision of credit lines to mainstream environmental sustainability criteria for productive agriculture. Dissemination of information on new credit lines for sustainable production and technical assistance to producers to access financing. Participates in the Technical Committees as relevant depending on the agenda and key matters to discuss.
<b>SENAGUA</b>	Endorses the activities related to conservation and protection of water resources. Participate in the definition of prioritized areas of intervention within the Project target areas. Through the Water Regulation and Control Agency (Agencia de Regulación y Control del Agua -ARCA), SENAGUA monitors the quality and quantity of water within the intervention areas. Finally, develops the collection mechanisms and distribution of the Water Tariff. Will participate in the Technical Committees as relevant depending on the agenda and key matters to discuss.
<b>Water Funds (FONAG, FORAGUA y FONAPA)</b>	Responsible Parties of the project, in charge of implementing the output 3.2. Monitors the quality and quantity of water, reforestation, ecosystems

	restoration, sustainable management of forests, and land-use planning through Technical Secretariats which coordinate this work with the Parish GADs and other members of the Water Funds, in agreement with SENAGUA and with the participation of the technical Secretariat of the agency of regulation and control of water. Participates in the Technical Committees as relevant depending on the agenda and key matters to discuss.
<b>Food and Agriculture Organization (FAO)</b>	Provides technical assistance to the implementation of the REDD+ national systems, such as National Forest Monitoring System, Safeguards Information System, Forest Reference Emissions Level, development of the second Biannual Update Report.
<b>Internal Revenue Service (SRI)</b>	Provides the necessary backstopping for the adjustments of existing tax incentives or creation of new taxes incentives, as well as in application of all the existing ones. Participates in the Technical Committees as relevant depending on the agenda and key matters to discuss.
<b>Ministry of Production (MIPRO)</b>	As MIPRO has the competences on production activities, it supports MAE and MAG to foster the commercialization of deforestation free products. Participates in the Technical Committees as relevant depending on the agenda and key matters to discuss.
<b>Private Sector</b>	Gradual participation of the main national and international buyers of agricultural products such as palm oil, coffee, and cocoa, as well as cattle, milk and cheese.
<b>REDD+ Work Group (Mesa REDD+)</b>	Receive Project support to serve as a platform to monitor and monitor the implementation of the REDD+ AP and provide feedback to the MAE on ways to improve the effectiveness of the support.
<b>Indigenous communities</b>	Responsible for implementing actions in their territories, for example, in their Life Plans articulated with their Land Use Plans.

Source: PRODOC

## 4. Findings

### 4.1 Project Strategy

#### Project Design

According to the interviewees and, based on the documentary review, the Project is completely aligned with the relevant sectoral strategies, as well as with the legal and sectoral policy framework. Specifically, the Project is consistent with:

- GCF's priorities regarding the transition to sustainable low-emission development addressing one of the main sources of greenhouse gas emissions in Ecuador (deforestation and forest degradation)

- National REDD+ Action Plan 2016-2025<sup>4</sup> to contribute to national efforts to reduce deforestation and forest degradation through conservation, sustainable forest management, and optimization of other land uses to reduce pressure on forests, which includes a gender focus.
- The project is fully aligned with Ecuador’s NDC, National Communication to the UNFCCC, REDD+ Action Plan and a suite of domestic policies and strategies
- National Development Plan “Plan for Good Living” (“Plan para el Buen Vivir” 2013-2017)
- The Sustainable Development Goals (SDGs):
  - SDG 13 (Climate Action)
  - SDG 15 (Terrestrial Life)
  - SDG 1 (Poverty Reduction)
  - SDG 8 (Decent Work and Economic Growth)
  - SDG 12 (Responsible Consumption and Production)
- Amazon Productive Transformation Agenda (ATPA)
- Country program document for Ecuador (2015-2018)<sup>5</sup>
- The United Nations Development Assistance Framework (UNDAF) 2015-2018<sup>6</sup>

The interviewees stated that the Project responds correctly to national priorities in terms of adaptation and mitigation of climate change, efforts to reduce GHG emissions, the risks due to it and the socioeconomic and environmental vulnerability of rural populations to these effects. At the same time, the opinions of the consulted actors coincide when affirming the existence of a good degree of national appropriation of the Project, since being executed and led by the MAE with the collaboration of the MAG, the intervention is considered a national effort that also involves to other institutions and organizations associated to adaptation and mitigation to climate change, GHG reduction, forest protection, restoration and conservation and sustainable production. The Project has allowed us to respond to national priorities, but it has also placed Ecuador on the right track for the fulfillment of global environmental commitments.

In addition to the relevance of the Project regarding national strategies, the interviewed actors provided information on aspects of its design. Although some considered that this had an adequate approach to include the actors that would be affected by the Project

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<sup>4</sup> [http://reddecuador.com/wp-content/uploads/2017/08/MAE\\_2016\\_11\\_21\\_ART\\_LIBRO\\_REDD\\_17\\_nov%202016.pdf](http://reddecuador.com/wp-content/uploads/2017/08/MAE_2016_11_21_ART_LIBRO_REDD_17_nov%202016.pdf)

<sup>5</sup> [http://www.latinamerica.undp.org/content/dam/rblac/docs/Country%20Programme%20Documents/UNDP-RBLAC-ECU\\_CPD%202015%202018.pdf](http://www.latinamerica.undp.org/content/dam/rblac/docs/Country%20Programme%20Documents/UNDP-RBLAC-ECU_CPD%202015%202018.pdf)

<sup>6</sup> <http://www.un.org.ec/wp-content/uploads/2015/02/MARCO-DE-COOPERACION-NACIONES-UNIDAS-p6.pdf>

and its results, others stated that it has a partial approach, since in many cases important actors, such as producer organizations were not taken into consideration. The need to give greater emphasis to the actions and articulation of provincial and cantonal GADs was raised, since they are considered as key partners for their participation in each province and the mandate they have.

### Results Framework/Logframe

The results framework of the Project was adjusted for some indicators between the project inception and this Interim Evaluation, and Annex 6.10 includes the proposed indicators that need to be reviewed for approval by the GCF. After the Initial Workshop, the original results framework included in the PRODOC - a document that is considered the conceptual element - incorporated some considerations related to the actual implementation:

- Result or Component 1: Activity 1.1, which has the objective of updating 18 instruments of Development and Management Plans (PDOT) and 5 Life Plans, was planned to be executed in year 3 of the Project implementation. However, given that the official update of the PDOT and the Life Plans had to be carried out by the end of 2019 according to the local planning guidelines, the funds allocated to this activity in year 3 had to be redistributed in year 1 and 2 in order to meet the government deadline to update the PDOTs. The development of PDOTs is being carried out with the support of three consortia, constituted by a consulting firm, a university and an NGO, which work in two provinces each, providing the technical support that GADs need for the inclusion of the criteria of climate change, conservation, sustainable production and gender in the new PDOTs that will govern the territorial planning of these GADs.

Activity 1.2, in terms of training, does not have a qualitative measurement of the expected result, since only the number of people who will receive the training is mentioned, but there is no information on the effect of any training or how it will be measure.

Support in the Preparation of the Methodological Guides was built with the Head of the Planning competence (Technical Secretariat Plan Ecuador) and formalized through Official Registry (October 2019), therefore, the Guidelines acquire a mandatory compliance requirement at the national level. Within the framework of the sustainability of the Program, the third PDOT formulation process in the country is an important achievement. With this exercise, it has been possible to

influence the incorporation of these approaches at the national level, not only of the Amazon Territorial Circumscription (incidence at the national level).

- Result or Component 2: One of the objectives of activity 2.5 is the certification of the Round Table on Sustainable Palm Oil (RSPO). However, since the development of the PRODOC, several buyers the market, such as the EU and the European Commission, have begun to impose restrictions on the importation of palm oil, therefore, it was determined that Ecuador should further explore what scheme Certification scheme will be the most beneficial for its producers, taking into account its expected impact in terms of reducing deforestation and in more competitive marketing of sustainable production.

In order to comply with the indicators foreseen in the Project, a proposal was developed for the targets of activities 2.2 and 2.3, which includes activities and the planned dates for their implementation. It is important to mention that an updated baseline is not yet available from the Amazon Productive Transformation Agenda (ATPA) for activities 2.2, 2.3 and 2.4, nor a baseline generation analysis. On the other hand, the Project in coordination with the Undersecretary of Livestock Production of the MAG (current National Directorate of MAG Project for PROAmazonía) has generated a strategy of Field Schools precisely to change the focus of technical assistance to beneficiaries, which are agricultural producers. This new methodology seeks to provide comprehensive advice that is more effective in the process of transition to sustainable agricultural systems.

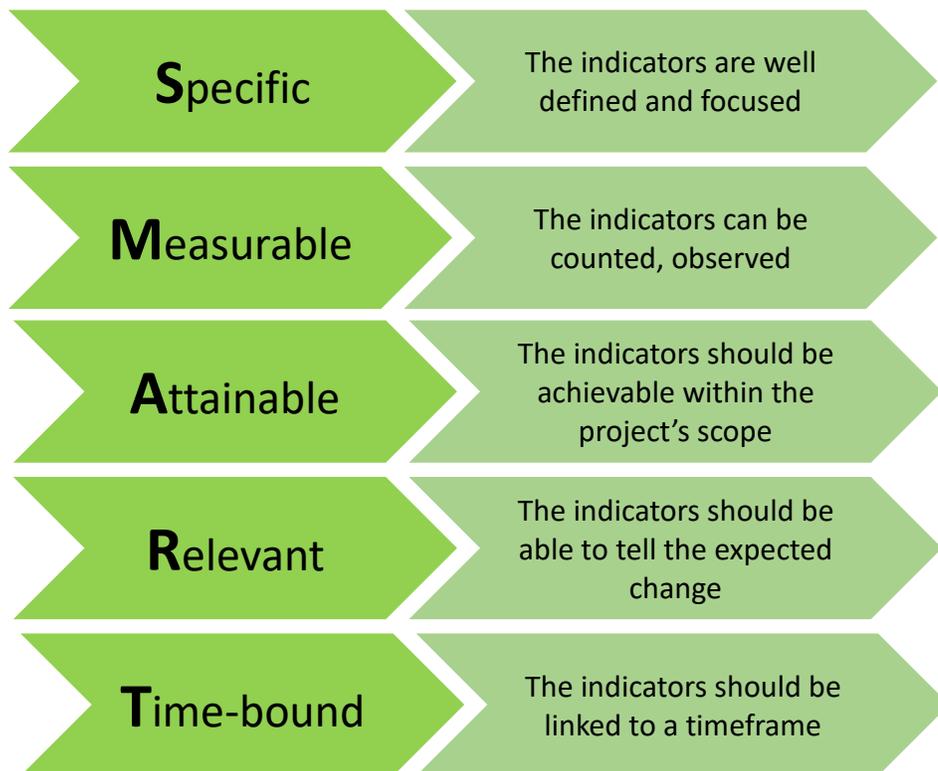
One aspect that is important to highlight in relation to the logical/results framework is the fact that several respondents raised the lack of clarity of the reference indicators, such as the transition to sustainable production systems, landscape degradation, restoration with few resources, sustainable forest management, and high conservation value, as these are new topics for both ministries and for GADs, in addition to the partnerships.

- Result or Component 3: with respect to component 3, there is much more clarity in the indicators and in the expected results, which has allowed a comparative analysis of water funds, identifying findings, which could be evaluated for later incorporation as Project guidelines, which contribute to its sustainability, as described in table 5.

Socio Bosque's findings have been positive. However, it has not been possible to move forward with restoration issues due to various reasons associated to the lack of capacity of the selected communities to directly manage the funds.

- Result or Component 4: although there is clarity in the indicators and expected results, these are insufficient, given that they do not reflect all the activities that are implemented by the Technical Team, who are responsible for the transversal operational aspects included in the Operational Components of the REDD+ Action Plan, such as the gender approach. It is suggested the incorporation of new indicators that are related to the activities of each product of Component 4, especially for Product 4.1, thus the work that has been done and the achievements made can be documented (see Annex 6.10 Adjusted Matrix of Indicators).

It can be asserted that at the conceptual level, the GCF Project has a well-defined overall goal and component objectives followed by a set of indicators. The set of indicators follow the SMART approach.



Every project defines a set of indicators linked to a results chain, which is the general guide on how to attain the components' objectives and the higher goal. The Project Implementation Unit has the overall responsibility to define the day to day administrative

and technical guidelines for the implementation. The PROAmazonía processes shall contribute to achieve milestones leading to the expected targets set in the Project Results framework. The set of indicators defined for the project are accurate and clear enough to avoid misinterpretation, and, as mentioned above, some editions has been made to improve the accuracy of the indicators. At the interim stage, most of the indicators are on the way of being achieved, thus it is an evidence that the project objective shall be attained, especially if there are no radical externalities that might affect the course of the program.

## **Gender**

In the same way, the interviewees reported that, at the beginning of the Project there was no information on gender and interculturality, because this aspect would be considered in a transversal way during the entire implementation of the Project. This lack of initial information occurred because the MAE itself did not have a strategy to work in a coordinated manner between its areas.

During this Interim Evaluation, some results related to this issue have been obtained, such as the development of a gender approach strategy for 2019 and 2020. A training has also been provided to Project staff and gender workshops have been conducted in the Provinces for GADs staff. For example, within the framework of the PDOTs, a baseline will also be constructed that, in the final evaluation of the Project, allows compare the effects of the intervention on the subject to be seen.

Finally, as gender is such a relevant issue, an agreement was signed with UN Women in order to obtain its strategic contribution in the implementation of the gender approach. In addition, there is currently a gender specialist in the program and one from the UNDP who works with the Program team and who in turn articulate and coordinate with UN Women.

Additionally, as part of the Environmental and Social Impact Study for PROAmazonía, one of the planned products is a Gender Action Plan with budgets and specific actions for this work. This Plan will replace the existing and temporary 2019 and 2020 gender approach strategy.

## **Dedicated section on CO2 emission Reductions'**

According to the UNFCCC Warsaw Framework for REDD+, the exact amount of emission reductions that Ecuador will achieve by implementing its REDD+ AP nationwide during the life of the GCF project (2017-2022) will be known once the second and third BURs with the respective REDD+ Technical Annexes are presented to the UNFCCC in 2020 and 2023 respectively. These results will be compared with the second FREL period 2001-2014, which was submitted for Technical Review by UNFCCC experts in 2019. The information from the second FREL and the second and third BUR will be published in the Lima REDD+ Information Hub and on the UNFCCC REDD+ Web Platform, in accordance with decision 9 / CP.19 of the UNFCCC. It is important to note that the Warsaw framework for REDD+ does not require or provide a methodology for attributing emission reductions to a measure, a specific action or to a donor. In addition, the attribution of national emission reductions to an individual measure, project or a single source of financing may be flawed due to the displacement risk associated with any subnational implementation of REDD+. Ecuador avoids this risk through the implementation of REDD+ at the national scale, rather than through isolated subnational projects.

Nonetheless, given the GCF requirement that funded projects report on the emission reductions achieved, the Government of Ecuador, the PMU and the UNDP have developed a specific methodology to estimate the reductions in ex-ante emissions (this was updated from the FP and shared with GCF in 2017). According to these estimates, the expected reduction of emissions generated by the GCF project compared to the Forest Reference Emission Level Deforestation 2000-2008 (FREL 1) is 2,671,989 tCO<sub>2</sub>eq / year. It is important to note that this ex-ante estimate assumed that PROAmazonía would contribute roughly 31% of the total emission reduction achieved on a national scale. The emission reductions reported by PROAmazonía in the 2017 and 2018 APRs were estimated at a national level using the same methodology used to calculate FREL-1, therefore these are not specifically attributable to the implementation of the Project which is supporting the implementation of the National REDD+ Action Plan alongside many other domestic and international sources of finance. At a national level for the years 2017 and 2018, Ecuador has reduced its GHG emissions from deforestation by 9.3 MtCO<sub>2</sub> tons of CO<sub>2</sub> eq/year. This value could change with the FREL-2 technical review.

FREL-1 was presented to UNFCCC experts in 2015 and underwent a successful technical review process. This methodology includes the spatially explicit representation of the six IPCC land cover classes at the national level through use of satellite imagery and the calculation of deforestation based on post-classification detection using land cover maps from 2017 and 2018 through confusion matrices. In addition, the methodology attributes

the emission factor by forest type for the detected change using field information from the National Forest Inventory.

Ecuador has now presented the second FREL-2 to the UNFCCC<sup>7</sup> on January 6, 2020. This is an important achievement supported by the GCF project following two years of effort. Estimates of previous emission reductions, as well as reported emissions, should now be reviewed using the data and updated methods presented in the FREL, as it presents substantial changes in the technical considerations and in the methods used. Although the emission factors of the second FREL are the same as the first FREL submitted in December 2014 and the activity data is a spatially explicit representation of deforestation using satellite images, the second FREL only represents changes due to deforestation from 2001 to 2008 and from 2009 to 2014 within a forest mask using 2000 as the base year. In addition, the changes in forest cover detected from deforestation from 2015 to 2018 are reported as REDD+/DEFORESTATION activity only in relation to changes occurring within said mask. Another substantial change is that with the new methodology, deforestation can be directly detected using the Random Forest algorithm classification samples of deforestation points between two time periods to show the reduction of emissions, including for the time periods of: 2001-2008; 2009-2014; 2015-2016 and 2017-2018.

This new FREL-2 methodology must go through a review and technical process by UNFCCC specialists to verify the consistency, transparency and coherence of the procedures and assumptions made by Ecuador in developing its second FREL report through work sessions with Ministry of Environment specialists, which will begin in March 2020.

Once the UNFCCC experts have reviewed and approved Ecuador's FREL-2 report, the methodology will be used as the basis to calculate future and previous CO<sub>2</sub>-eq emissions reductions. This will allow Ecuador to maintain consistent information on REDD+ results and enable better monitoring and reporting on the impact of public policies implemented to reduce deforestation and other initiatives executed with external financing, such as PROAmazonía. This greater transparency based on the reports of the UNFCCC will guarantee all current and future international financing sources, whether ex-ante investments or Results Based Payments (such as KfW and GCF), that data presented by Ecuador are up-to-date, transparent and respect key concerns relating to environmental integrity.

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<sup>7</sup> See the UNFCCC REDD+ website to access the proposed new FREL that will be reviewed in 2020: <https://redd.unfccc.int/submissions.html?country=ecu>

## 4.2 Relevance

As mentioned in section 4.1, the Project is completely aligned with national strategies and priorities for climate change adaptation and mitigation, as well as the legal and sectoral policy framework. Similarly, the Project meets the objectives of the funding agencies, as well as the UNDP and country commitments.

Although the objectives and results of the Project are relevant to the national situation and at the local level, during the interviews it was suggested that some indicators are not 100% realistic, among them, those related to access to green credit lines and tax incentives.

The project aims to address a challenge for the development of Ecuador, contributing to international efforts to reduce greenhouse gas (GHG) emissions, while ensuring its own sustainable development, promoting forest conservation and restoration, and supporting transition towards more sustainable agricultural practices. The project has been working on it by focusing on the causes, both direct and indirect, of deforestation through actions in i) Policies, regulations and institutions ii) Fiscal and monetary incentives iii) Agricultural and forestry practices iv) Demand for agricultural and forestry products. The intervention strategy is clearly and well defined. The products to the different results can prove that the Theory of Change is valid as well as relevant, therefore the PROAmazonía team must ensure that each activity is implemented with the minimum required quality that it is integral and that it is strategic. The M&E System has a key function to measure the different areas and levels of the indicators and provide feedback to the Ministerial teams and PROAmazonía both at the central level and at the provincial level to adjust in a timely manner. In addition to this, the Steering Committee must exercise its strategic role to evaluate and rate the performance of each of the components. All these components are necessary to build and verify that the Theory of Change of the project is valid.

Although the objectives and results of the Project are relevant to the national situation and at the local level, during the interviews it was suggested that some indicators are not 100% realistic, among them, those related to access to green credit lines and incentives tributaries since they do not depend directly on the implementing actors of the project.

On the other hand, it has been identified that the estimated times for the implementation of some activities are not realistic, because several activities involve complex processes of transformation and paradigm change that include the modification of traditional forms of production, conservation and planning. The complexity of these actions could imply that they must be implemented beyond the life of the Project. This, in addition to the lack

of financial execution, could mean that it is necessary to extend the term of the Project to meet all the proposed results. Another challenge mentioned during the interviews was that the timing of the management of the GADs was not taken into account, therefore, it has been clarified that the result goals aligned to the PDOTs will only be reached in May 2020, given that they are the official established times. In this sense, this analysis must be evaluated prior to the closing date of the Project with the respective authorization process of the Project Board and Secretariat of the GCF.

### **4.3 Effectiveness and Efficiency**

#### **Governance mechanism**

During the interviews, it was suggested that the Project's governance mechanisms do not work efficiently. Among the main reasons, it was mentioned that the review of all technical aspects in detail by the technical teams of the Ministries is slow, causing the implementation of the activities to take more time than planned. This is due in part to the high number of consultancies implemented and the fact that the Project Management Unit and the components have failed to guarantee the quality of all expected products, which has required a greater investment of the time by MAG technicians for the Review process and to issue opportune comments

Likewise, governance mechanisms are very complex, since they include many processes (elaboration of terms of reference, approval of partial products, approval of publications) that require the approval of all the parties involved. However, there are other operational processes that could be managed more effectively and as agreed in the Process, Governance and Program Implementation Manual. On the other hand, a lack of commitment or association by the Project partners is identified, in addition to the personnel changes within the National Directorate of the PROAmazonía program which has caused many delays in the project implementation.

The establishment of a Program Management Unit with 76 people including technical and administrative staff has required more time than is normally taken for that purpose, again for all the previous approval processes associated with the Ministries. In total the process took June 2017 to the first quarter of 2018 to complete, which is reflected in the low budget execution percentage for 2017 and 2018.

In relation to the financial analysis for the years 2017 to 2019, the gap between the programmed, executed and committed budgets is closing, although with 50% of the life of the Project elapsed, only 31% of the total budget has been executed, equivalent to US\$ 12,939,253 (the fiscal year of 2019 ends on December 31, 2019) for the entire Project.

This indicates that for the remaining life of the project, around 69% of the budget must be planned and executed. In case project efficiency is not improved in the critical path of the processes to significantly accelerate the project rhythm execution, it should be noted that the life of the Project would be insufficient to execute the entire budget within the established time (i.e. by end of May 2022).

The Project has reoriented many of the activities that were initially planned to be implemented via consulting services (procurement processes), to now manage these but through financing agreements/agreements (use of UNDP programmatic tools). This execution mechanism improved the financial performance of the program, which will allow the expected products to be achieved within the established time and budgets and with the quantity and quality expected (INIAP, UN Women, UTLP, among others). With these positive results, the authorities recommended reducing the number of consultancies, which is reflected in the 2020 POA.

### **Effectiveness**

The technical teams and focal points of MAE and MAG recognize the contribution and technical level of the PROAmazonía team. The team periodically established meetings in 2018, but due to change of authorities, some of these good practices were discontinued. On the other hand, a communication gap is identified and the lack of a well-defined channel within the implementing teams at the central and provincial level, which makes better coordination and integration of activities difficult. Similarly, not having a strategy for disseminating information, communicating or promoting activities and achievements to external audiences weakens the effectiveness of the actions carried out by the Program.

About the PROAmazonía team, the decision-making authority is in Quito. This means that staff the provincial level have not been delegated to make implementation decisions, which creates challenges to carry out more efficient and effective management on a day to day basis. On the contrary, a more decentralized level of work would contribute to a greater and better presence with the actors of the provincial level.

### **Problems and risks of implementation**

One of the ways in which the Project has managed to address the problems and risks in the implementation is through the involvement of the main actors of the Project at a technical and political level through territorial articulation spaces. These articulation spaces are key to developing the strategies of the organizations and in turn avoiding conflicts and should help to avoid duplication of efforts in local development. On the

other hand, the interviewees mentioned that at the level of the governance structure of the program, the problems in the management committee are addressed, however, there is often difficulty in convening the Project Board, which is the body that has the competence to take decisions.

### **Component 1**

Considering the changes of local authorities and the times planned in the Project, component 1 currently has regular progress in terms of progress towards the expected products and results. Work plans were generated with the institutions to be able to advance in the implementation of the activities.

#### **Product 1.1: PDOTs and Life Plans updated and implemented with climate change criteria and actions**

This product has clear indicators and has the baseline value defined. Although the mid-term goals have not been achieved, the corresponding processes are being implemented to advance and achieve the expected results. It is necessary to clarify that in order to determine the medium-term goals, the management cycle of the GAD authorities to which the development of the PDOTs is subject has not been considered. That is one of the reasons why the goal defined for this indicator has not been reached.

Currently, the support of two Consortiums in the development of the PDOTs has been achieved, and the third North Consortium has been signed on December 20, 2019, thus on January 15, 2020, it began its support for the 10 GADs of the North Amazon in the update of their PDOT and Land Use and Management Plans as well as to the GADs of the cantonal level, once Product 1 (Work Plan) was approved. Regarding the schedule of this process for the three Consortiums, the update of all PDOTs ends in May 2020 (date regulated by the Organic Law of Land Use Planning and Land Management - LOOTUGS). Subsequent to this milestone, work with the Consortiums is planned until October 2020, focused on the development of ordinance and Project proposals related to the Program's approaches and within the framework of the goals of the other Program Components. In addition, throughout the PDOT and Land Use planning and Land Management update process, emphasis is placed on leaving the capacities in the GADs, for which the Consortiums hire a permanent technician for the joint work with the GAD team (institutionalizing the approaches at the intermediate level of government).

#### **Product 1.2: Local capacity building for supervision of land-use planning and zoning**

This product has its baseline values defined. The Territorial Planning Training Program has been carried out with a focus on climate change, conservation and sustainable

production, with the participation of officials from the MAE, MAG and Decentralized Autonomous Governments of the Amazon. Despite not having achieved the medium-term goal, it is necessary to comment that this activity and similar ones do not have a qualitative measurement in the expected product, since only the number of people who will receive the training is mentioned. While input profiles and output profiles are generated when capacity building processes are carried out, and in turn it is expected that the measurement of effectiveness will be implemented with respect to the planning results in each GAD by trained officials, there is no clear indicator of training measurement and its effect.

### **Product 1.3: Strengthening forest control**

This product has clear indicators and has its baseline values. The progress of this activity is positive. In November 2019, the certificate of wood of origin was officially presented by the MAE. This initiative has the purpose of improving the country's forest control system, which is based on promoting and strengthening forest traceability (knowing the origin and final destination of the wood), and other complementary actions: such as the restructuring of the administration system forestry (SAF), repowering / improvement of current forest control posts, and training in forest control, especially dendrology and forest anatomy. As in activity 1.2, this activity also does not have a qualitative measurement regarding the training of officials at forest control points, an aspect that must be considered in order to have a better measurement of the training effect.

On the other hand, SAF has also been supported and strengthened by hiring 4 forestry consultants. The SAF is the basis of the traceability system that is a goal. The 4 forestry consultants will support the goal of 140,000 hectares of sustainable forest management that are under component 3.

### **Product 1.4. Formal Inter- Institutional Coordination Structures within the framework of PDOTs, Life Plans and land-use zoning**

This product has clear indicators and has its baseline values defined. The progress of this activity is satisfactory, and efforts are being made to meet the expected result. Based on a legal framework for territorial planning in the Amazon, 6 provincial Action Plan proposals have been developed with the aim of strengthening provincial platforms. Additionally, technical assistance has been provided for the implementation of the Local Information System (SIL) prototype in the Provincial GAD of Morona Santiago and for the formation of the network of information managers at the provincial and cantonal levels, allowing the exchange and interoperability of the Information for planning. The systematization and dissemination of this information is key to improve planning. In case

of giving positive results, this system could be replicated scaled at national level, since in the framework of this process technical instruments have been developed, such as the Operations Manual, which can be implemented by any GAD in the country.

## **Component 2**

One of the requirements presented by the GCF Project Board was an Operational Grant Manual with a detailed explanation of the farm (family) selection process for the ATPA Project, the selection criteria, the terms and conditions of the grants, the approval process and the function of the Ministry of Environment, the Ministry of Agriculture, the ATPA Project and the Project Management Unit proposed by the GCF. In response to this requirement, ATPA prepared the Governance Process Manual and implementation of the detailed Program that establishes the procedure and conditions for the transfer of kits, grants or other incentives to local producers to promote the conversion of extensive agricultural production into the Ecuadorian Amazon to more sustainable production systems.

Through a joint work between PROAmazonía and ATPA, a format for the diagnosis and monitoring of farms has been defined with the necessary requirements on organic certification standards and Good Agricultural Practices (BPA) that was reviewed by AGROCALIDAD, requiring less time for its filling. Additionally, ATPA has been supported with the development of an application that allows collecting and managing information on farms on tablets and on a computer platform for the use of MAG.

### **Product 2.1 Provision of incentives for the sustainable production transition period**

One of the objectives of the ATPA operations manual is the development of a mechanism for information and management of the tenure and use of rural land, to enable comprehensive management plans for farms (PMIF). Therefore, the development of an information and management mechanism for tenure and land use is required, including a geo-referenced database on the intervention areas of the ATPA Project, which is essential to have the relevant information as far as to the implementation of the activity. Given the complexity of the component and the existing risks in the progress and scope of the expected results and objectives, the PROAmazonía team has prepared a proposal for acceleration and improvement of the quality in execution of the component in June 2019, being an improvement process in Technical Assistance and in accompaniment. This strategy includes the following actions:

1. The creation of REDD+ field schools
2. Field information systems to measure deforestation

It is expected that through the implementation of the strategies, progress will be attained to achieve the objectives and results established for the component. Likewise, the creation of field schools is essential to enable progress in the component, which is still in the hiring process. It is estimated that a contract may be signed in January and the work plan will begin the following month.

Field School activities can be a key element for the sustainability of interventions, at least from the point of view of monitoring the continuity of activities in the intervened provinces. It is an opportunity for MAG to update its Technical Assistance approach to make it more efficient and effective and to replicate it nationally.

**Product 2.2 Promote the coordination and implementation of existing tax incentives that will allow for the transition to sustainable production systems**

The Program has been carrying out management actions that will determine the goals, as detailed:

- The study to estimate the tax expenditure that will be carried out in the sectors prioritized by the Ministries of Environment and Agriculture and Livestock, which is the basis for the implementation of tax incentives will allow the transition to sustainable productive systems, as well as the line base (year 2018) that is required to determine the goals of the literals b and c.
- Regarding the critical route established for the implementation of tax incentives, there is a work plan authorized by the Ministries of Environment, Agriculture and Livestock and in coordination with the Internal Revenue Service (POA 2020), which ensures the execution of these activities during the year.

To date, several processes that contribute to this product have been implemented. Until the Interim Evaluation, there are no baseline values for the indicators nor the expected final target, which are important inputs to measure and compare the results. Among the processes that have been implemented or are currently being implemented, a working group has been established with the Ministry of Environment, focal points of the Climate Change Mitigation Directorate, and the SRI; which includes the preparation of a Tax Impact Study, which affects or favors the objectives of conservation and sustainable production of PROAmazonía. Additionally, it is also planned to work in the palm oil credit line with the Program specialist of this item. Both the cocoa and palm oil lines have financing approved by the CAF, which ensures not only the development of the financial product but also the operationalization of the credit lines.

It is relevant to emphasize that there is a letter of intent to study and define the tax scheme, in addition to the importance that most of the activities proposed in the lines of sustainable finance will be developed by the technical team of the program. There is a critical route for their development and a logical framework with other government institutions. CEFA has 11 months to implement these, ending in 2020.

### **Product 2.3 Support the redesign of public credit lines to reorient them to sustainable production practices**

The Program has been carrying out management actions that will determine the goals, as detailed:

- In the indicator a), a proposal to readjust four lines of credit corresponding to the coffee and cocoa items (implementation and maintenance) is being executed with the technical team of the Coffee and Cocoa-MAG Project. The criteria to be incorporated are sustainable production, gender, interculturality and deforestation free. There is currently a roadmap in execution.

Up to the moment of the Interim Evaluation there is no baseline of the indicators and no expected final goal, which is essential to measure the progress of the activity and its results. Regarding the efforts made for this activity, a study of “Credit free of deforestation” was carried out in May 2017, of which there is no evidence as to its implementation. It is essential that extensive work is done in this activity, since there is a fairly high risk that it cannot be completed until the end of the Project. In order to establish the financing and credit mechanism, the services of a Sustainable Finance Specialist of the program are being hired, with the objective of defining the strategy and scheme of all the green credit lines. This process is being carried out in coordination with the Andean Development Corporation-CAF as a multilateral financing entity of BanEcuador that already has a financing line, it is planned to prepare a proposal for the readjustment of the credit lines of cocoa and palm, as well as in the formulation of sector guides, System of Analysis of Environmental and Social Risks-SARAS through a training process in SARAS and MRV: definition of reporting mechanisms, evaluation of the green credit portfolio. Consequently, the achievement of the goal corresponding to the Medium Term of this indicator is quite late.

### **Product 2.4 Responsible public and private procurement for deforestation-free production**

This activity does not have a baseline value of its indicators. Although efforts are being made in its implementation, the fact that there is no baseline limits the possibility of measuring the expected results. The program established the goals, since these were not

established in the PRODOC. To date, the progress achieved is based on the strategy of strengthening the establishment of bases for the market through the CCSN methodology. There are 26 letters of intent with different national actors for the purchase of sustainable products. A milestone in the Project was the signing of a letter of intent with the Lavazza company in Italy to promote the deforestation-free coffee standard in Ecuador.

### **Product 2.5 Certification and traceability of deforestation-free products**

This activity has made good progress in terms of expected results and objectives, in addition to having baseline values, clear indicators and goals. Among the efforts made, there is the Premium & Sustainable Event, which took place in November 2019 where the MAE and the MAG agreed on the need to work on concrete actions for the construction of Ecuador's position in deforestation-free production. On the other hand, it is necessary to define a critical route with time, responsibility and milestones to ensure this objective. The activity of repowering collection centers has taken longer than originally established as the study is still being carried out by ESPOL. The results of the same must go through a rigorous and strategic analysis to define the investments. The implementation will be carried out by CEFA and it is planned to start in the second quarter of 2020. This is a critical activity to integrate the production and marketing chains for the commodities. At present the MAG is working on the traceability guidelines, which has delayed some traceability activities even though the ToRs were agreed, approved and the hiring process was finalized. Currently, the PROAmazonía team carries out a pilot in coordination with APROCEL and APEOSAE and whose results will be presented in the first half of 2020.

### **Component 3**

This component has considerable progress in terms of most of its indicators and expected results. However, during the interviews it was mentioned that some indicators were not clear enough and that in turn they are not applicable to the current context, thus they were adjusted to be able to gather the information from PROAmazonía. It is necessary to observe that the poor clarity of the indicators was since in the PRODOC some goals contained different values to the FAA document signed between the UNDP and the GCF and were already updated. The goal that was not considered unrealistic was of the commitment to achieve 140,000 ha of forest under sustainable management (SMF), since the MAE has an institutional goal of 100,000 ha of SFM by 2025.

### **Product 3.1 Strengthen conservation, restoration and forest management processes through the National Socio Bosque Programme**

There is a difference in the objective defined in PRODOC since it does not match the FAA document signed between the UNDP and the GCF. It is important to note that the 5 agreements and 5 addenda are continued for a total of 159,557.63 ha are managed under

the Socio Bosque Program, with 10 indigenous Amazonian community beneficiaries. Among the activities with Socio Bosque, the contracts renewal of 6 technicians in the provinces that have strengthened institutional capacity is recognized as a relevant support by PROAmazonía. Similarly, there is continuity of the restoration agreement for 2,422 ha with the Commonwealth of the Dry Forest, and an additional 7,000 ha were identified to be restored with 4 GADs in prioritized areas, which would complement the goal. The signing of agreements with the communities is still pending since a mechanism for the administration of the funds for its implementation has not been defined.

In the area of sustainable forest management, the technical analysis was initiated with the team of the Ministry of the Environment, the work plan being defined and agreed and validated with the National Forest Directorate. In the implementation of the actions of the critical route, the support of the team of specialists of PROAmazonía stands out. Additionally, the hiring of an expert for the generation of forestry practices for sustainable forest management has begun.

**Product 3.2 Strengthen mechanisms for integrated water resource management (IWRM) in the basins located within prioritized areas**

This product has relatively clear indicators and has its baseline values. The progress of the activities that contribute to the product is good and efforts are being made to meet the expected result. In the case of FONAG, at the beginning there were difficulties with the indicators, given that PROAmazonía was very concentrated in forests and not in moors and basins, so it had to be modified and adapted to the work of the water fund. In the following table, a comparative analysis of the 3 water funds is presented.

Table 9: Comparative analysis of water funds

	FONAG	FONAPA	FORAGUA	OBSERVATIONS
<b>INSTITUTIONAL PROFILE</b>	<ul style="list-style-type: none"> <li>▪ Water Protection Fund (FONAG).</li> <li>▪ Created in the year 2000 as a Trust constituted by: EPMAPS, TNC, Public Hydroelectric Company and 2 Private companies.</li> <li>▪ It has the mission of conserving and restoring the water sources that supply Quito.</li> <li>▪ Establishes conservation agreement with private and community owners interested in conserving the area of more sensitive water sources and promoting sustainable production Ecuador.</li> <li>▪ It manages about 200 hectares of its own land, bought by EMAPAS or ONAG itself.</li> <li>▪ Restores degraded badlands and historically over pastoralism.</li> <li>▪ The PROAmazonía supports you in your activities, but you are assured of the sustainability of your activities.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Water Fund for the Conservation of the Paute River (FONAPA).</li> <li>▪ Created in 2008 as a Trust, constituted by: public and private entities.</li> <li>▪ It has the mission of carrying out the coordinated support for the integral conservation of the water resources of the basin.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Regional Water Fund (FORAGUA).</li> <li>▪ Created 10 years ago as a Trust, constituted by: public and private entities (solidarity management model between municipalities).</li> <li>▪ Its purpose is to conserve, protect, recover the environmental services and biodiversity of fragile and degradable ecosystems, and with the mission of integrating municipalities in the creation of ordinances to establish conservation areas, environmental rates, incentives and sanctions.</li> </ul>	<ul style="list-style-type: none"> <li>▪ The 3 Funds are constituted by a trust fund, which should allow them to guarantee their sustainability, by having the guarantee of performance with the trust fund.</li> <li>▪ The constituents of FONAGUA are public and private entities that manage a large fund. In contrast, FONAPA and FORAGUA are constituted by mostly small municipalities, so the search for other income is required.</li> <li>▪ The purpose of FORAGUA, being aimed at environmental and not only water services, allows it a greater opportunity to attract financial resources to support its sustainability with a REDD+ approach.</li> </ul>
<b>FINANCIAL STABILITY AND INSTITUTIONAL</b>	<p>Because it is a commercial entity constituted as a trust fund, whose constituents are private and public entities that contribute a strong patrimony to the Fund, to make land purchases, and restoration and afforestation activities, its sustainability is assured.</p>	<p>As a commercial entity constituted as a trust fund, whose constituents are small municipalities, with little significant contributions, in the future they may not achieve sustainability without the support of PROAmazonía</p>	<p>Because it is a commercial entity constituted as a Trust Fund, whose constituents are municipalities that have significant contributions that balance the small ones and being focused on obtaining other financing with the guarantee of the fiduciary, their sustainability is guaranteed so far.</p>	<ul style="list-style-type: none"> <li>▪ FONAG: It has made the purchase of degraded areas and has them under a protection and restoration process (wetlands and sand of Antisana) of active coverage for 2 years.</li> <li>▪ For FONAPA and FORAGUA, the process to agree on areas of protection and restoration is being carried out via environmental legal ordinances for the payment of incentives, within the framework of the inter-institutional cooperation agreements with the MAE, which represents a slow process:</li> </ul>

				At present, FORAGUA, only has 2 subscribed ordinances and 9 in process.
<b>INSTITUTIONAL STRENGTHENING</b>	Mobility has been acquired with an international body plate that facilitates its coordination work. Sensors have been acquired for monitoring the recovery of the swamps.	Mobility has been provided to facilitate the work of the Fund with the Cutín Microenterprise and other activities. Photographic machines have been purchased for environmental promoters and their work has been strengthened with training. Exhibitions have been held in Cuenca, Azogues.	Mobility has been provided to facilitate the work of the Fund.	The 3 Funds have acquired mobilities with an international body plate that facilitates their work and their displacement to meet the objectives of the Project.
<b>Protection and restoration actions (passive and active) of the vegetation cover of water sources and biodiversity in reserve areas</b>	FONAG: Has made the purchase of degraded areas and has them under a process of protection and restoration (wetlands and sand of Antisana) of active coverage for 2 years.	The process to agree on areas of protection and restoration is being carried out via environmental <b><u>legal ordinances for the payment of incentives</u></b> , within the framework of inter-institutional cooperation agreements with the MAE, which has represented a slow process.	<ul style="list-style-type: none"> <li>▪ Activities carried out within the framework of the ordinances (issued 2 ordinances and 9 in process).</li> <li>▪ Process of direct negotiations with owners and individuals (one by one), under compensation models. Group negotiations failed.</li> <li>▪ FORAGUA, <b><u>only has 2 subscribed ordinances and 9 in process.</u></b></li> </ul>	<ul style="list-style-type: none"> <li>• FONAG, through the purchase of degraded areas, is assured of the sustainability of the restoration of the areas that require an estimated time of 10 years, and with the support of PROAMAZONÍA it has been monitoring with sensor equipment and trained personnel.</li> <li>• For FONAPA and FORAGUA, it represents a slow process, issuing ordinances and agreements with the owners based on incentives, but it is a necessary process, since it grants the sustainability of the protection and restoration actions required in the Document of the Project and the Cooperation Agreement with the MAE.</li> </ul>

<p><b>Reduce climate risk (supply and quality of drinking water)</b></p>	<p>It has scientists and equipment in its plant that control climate risk and water quality. Likewise, the sensors obtained with the support of PROAmazonía, allow them a continuous follow-up that contributes to these purposes, so that the control of climate risk, water supply and quality is assured.</p>	<p>The study carried out by the University allows reducing climate risk and the quality of drinking water but has not yet been properly socialized.</p>	<p>The Climate Change and Risks study is not yet complete with software that was developed by 2 experts (Colombian and German), so they do not yet have a mechanism or system that is already operating to monitor climate risk and water quality.</p>	<ul style="list-style-type: none"> <li>▪ FONAG has a system that is operated by scientists with sensor equipment that is permanently controlling climate risk and water quality, so it is assured the control of climate risk, water supply and quality.</li> <li>▪ FONAPA AND FORAGUA, do not yet have a mechanism or system that is already operating to monitor climate risk and water quality.</li> </ul>
<p><b>Plant cover monitoring viewer, forest fires, carbon accumulation</b></p>	<p>It complies with the monitoring through the moorlands who carry out the monitoring and quality control.</p>	<p>It complies with the follow-up and monitoring of protection, restoration, afforestation and risk activities, through the environmental promoters of the Cutín Microenterprise, who have been trained and who have updated photographic equipment with the support of PROAmazonía. However, they require a greater number of promoters and a better standardization in their reports, systematization and information system.</p>	<p>In addition to guarding parks, it complements the monitoring and makes it more effective with the “Global Forest Watch System”, a platform that allows the monitoring of the areas and detects the change of land use and fires, and that also allows you to notify the municipality to the corresponding notice and possible penalty to the owner.</p>	<ul style="list-style-type: none"> <li>▪ The 3 Funds have a monitoring mechanism that was shown as suitable for the activities they carry out and compliance with the objectives of the Project.</li> <li>▪ It has been identified that in the case of FONAPA, the study carried out by the University, which allows the identification of soil change and precise information for control and monitoring, is not planned for socialization, for mass use.</li> </ul>

<b>Save moors / Rangers / Environmental promoters</b>	<p>There are 18 moorlands in the strategic protected areas trained for the monitoring, follow-up and control of the intervened areas.</p>	<p>The CUTIN environmental services microenterprise has 18 environmental promoters, trained in monitoring, monitoring and control, as well as restoration and reforestation activities.</p>	<p>It has trained parks, which are also trained not only in the framework of PROAmazonía, but also abroad.</p>	<p>The 3 Funds have moorland guard teams or environmental promoters or park rangers, which carry out all control and monitoring activities. Except for FONAPA, which has an environmental promoter, in the other 2 funds, women have not been incorporated into their teams, due to weather, demanding work conditions and cultural issues.</p>
<b>Conservation Agreements</b>	<p>One of the agreements that it has with the community of Oyacachi for the change of activity from cattle ranching to community tourism, which has reached a good development to date, the community demands more information about the expenses that are made with the PROAMAZONÍA, which also identify the counterpart they contribute to the Project.</p>	<p>It has 91 agreements in force with PROAmazonía, within the framework of which they are carrying out actions, but it has not yet reported its results to date, due to lack of format to report the hectares destined for restoration and conservation.</p>	<p>There have had difficulties at first in signing the agreements, having tried to negotiate them collectively, now it is negotiated directly, and technicians are trained in negotiating.</p>	<p>The 3 funds are executing the largest number of conservation agreements with different modalities, a better promotion of these is expected, which will give sustainability to the interventions.</p>
<b>Environmental Education Programs (Training)</b>	<ul style="list-style-type: none"> <li>▪ Successfully execute an innovative environmental education program for girls and boys in Oyacachi and other communities in the area.</li> <li>▪ Also, within the framework of PROAmazonía, training is carried out for the male and female guides of the Oyacachi tourism enterprise and in food handling and handling, mainly. One of the issues observed is the lack of better programming and promotion for the continuity and follow-up of training in guides.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Training in photographic camera management for monitoring and cataloging of photographs.</li> <li>▪ Technical training on flora and fauna cataloging.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Training in negotiation with property owners, to produce the change.</li> <li>▪ Training in ARAS.</li> </ul>	<p>The 3 Funds carry out environmental education activities and sustainable production and management workshops, aimed at the watershed communities.</p>

## **Component 4**

The progress of this component has been quite good, and progress has been made with most of the expected results and objectives. This is partly because the proposed activities are a priority for the Under Secretariat of Climate Change, within the framework of the country's commitments to the UNFCCC and REDD+. Despite the delays at the beginning of the implementation of the activities, the progress of the indicators is in line with what was planned.

### **Product 4.1 Support to the implementation of the Warsaw Framework for REDD+ and other operational processes**

This product is broken down into several sub-activities for progress towards results:

- Operate and automate the SIS.
- Train MAG, Water Funds, GAD and other entities participating in the implementation of the Project on the Cancun Safeguards and the SIS defined by Ecuador to report on how the safeguards are addressed (legal and regulatory frameworks) and how they are addressed. enforces (application of these frames).
- Capacity building for actors on how to formulate and present information to REDD+ information systems.
- Prepare and deliver new summaries of information on safeguards, prior to requesting REDD+ Results-based Payments.
- Develop and deliver a new iteration of FREL, to integrate it with the other eligible REDD+ activities.
- Prepare and deliver REDD+ technical annexes, in parallel with the development of the next BUR.
- Integration of traceability systems with the NFMS.
- Articulation of the management information system for REDD+ actions and measures with the NFMS, GHG Inventory System and the SIS.
- Articulation of the National Forest Monitoring System with other monitoring systems to ensure that the data is reliable and coordinated.
- Support inter-institutional and multi-level coordination platforms such as the Inter-Institutional Committee on Climate Change (ICCC) and the National REDD+ Management Committee in charge of supervising the implementation of the GCF and GEF Projects in the Ecuadorian Amazon, and potentially the FIP, REM and other support related to REDD+.
- Strengthen the dialogue and dissemination of activities related to REDD+ through platforms such as the REDD+ worktable and others.

- Design and implement the communication and capacity building strategy described in operational components # 4 and # 5 of the REDD+ AP.
- Strengthen the technological infrastructure to support the consolidation of sustainable production systems and their monitoring.

In 2019, as a product of a consultancy, the conceptual technical and functional design of the systems associated to REDD+ was made, including the REDD+ Measures and Actions Management System, which includes the macro-level functional requirements and the definition of exchange mechanisms of information with other systems associated to REDD+ and national systems. Similarly, an update of the REDD+ Measures and Actions Management processes is in the approval stage. Some additional activities that have been carried out include the evaluation of the contribution and impact on the reduction of the deforestation of SBP, ATPA and the Water Funds. A methodology is currently being developed to measure the impact of current and future REDD+ actions that are expected to be completed by March 2020.

#### **Product 4.2: Operationalization of the financial architecture of the REDD+ AP**

This product is broken down into several sub activities for progress towards results:

- Support the establishment of financial mechanisms to channel REDD+ resources through the new National Environmental Fund.
- Support the accreditation of a national entity for the GCF.
- Prepare annual reports on the implementation of REDD+ actions and measures, using the management information system for REDD+ actions and measures, including GCF funds and other co-financing of the REDD+ Action Plan.
- Assistance and capacity building in the monitoring and implementation of the financial strategy for the REDD+ Action Plan, including work to include the financial sector in REDD+, continue work with tax incentives and REDD+ complementarities and explore other complementary financial options for REDD+ implementation.
- Assistance in identifying opportunities for private investment for the implementation of the REDD+ Action Plan, including co-financing opportunities.

There are clear indicators that have baseline values defined. The progress of the activity is good, and efforts are being made to meet the expected results. The following financial entities have expressed interest: BanEcuador, National Financial Corporation, Development Bank and ESPOLTECH, by submitting documentation to the MAE to be accredited to the GCF, which is in the PROMPT system for evaluation. The result of this evaluation will allow MAE to determine which entity will be nominated before the GCF,

thus moving on to a next phase of accreditation that can last up to 24 months. Additionally, cross-cutting gender issues, which are not included in any specific activity, are included in this component.

#### **4.4 Progress Towards Results**

The Project is organized around its 4 main components. Below, the respective progress is presented at the time of the current evaluation, together with its associated products, activities and indicative goals. The detail is provided in the following table.

## Progress towards outcomes analysis

Table 10: Progress towards outcomes analysis

Project Strategy/ products	Indicator	Baseline value	Level on the first APR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
<b>RESULT 1: INVESTMENT IN ENABLING POLICIES TO REDUCE THE DRIVERS OF DEFORESTATION AND ITS ASSOCIATED EMISSIONS.</b>								
1.1 PDOTs and Life Plans updated and implemented with climate change criteria and actions	Number of additional strengthened PDOTs and Life Plans that have included climate change mitigation criteria, policies and actions.	<ul style="list-style-type: none"> <li>●Provincial PDOT: 1</li> <li>●Cantonal PDOT: 1</li> <li>●Life Plans: 0</li> </ul>	N/A	<ul style="list-style-type: none"> <li>● Provincial PDOT: 3</li> <li>● Cantonal PDOT: 6</li> <li>● Life Plans: 2</li> </ul>	<ul style="list-style-type: none"> <li>● Provincial PDOT: 6</li> <li>● Cantonal PDOT: 12</li> <li>● Life Plans: 5</li> </ul>	<ul style="list-style-type: none"> <li>● Provincial PDOT: 0</li> <li>● Cantonal PDOT: 0</li> <li>● Life Plans: 0</li> </ul>	<b>On track to being achieved</b>	<p>PDOT guides with criteria of climate change, conservation and sustainable production finalized and published: <a href="https://www.planificacion.gob.ec/guias-para-la-formulacion-actualizacion-de-los-pdot/">https://www.planificacion.gob.ec/guias-para-la-formulacion-actualizacion-de-los-pdot/</a>.</p> <p>The following steps are in progress to advance the development and / or update of PDOTs and life plans:</p> <ul style="list-style-type: none"> <li>- Analysis of the current situation of PDOT.</li> <li>- Technical Assistance for the preparation of the Life Plans, which includes the methodological proposal, work plan and diagnosis of the current situation of the communities.</li> <li>- Technical Assistance for PDOT update.</li> <li>- The objective does not consider that the approval period for May 2020 (e.g. after the Interim Evaluation), only then can it be asserted that they are approved by ordinances and ready to be implemented.</li> </ul> <p>In the northern provinces of the Amazon, the hiring of the Consortium responsible for</p>

Project Strategy/products	Indicator	Baseline value	Level on the first APR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
								providing technical assistance is delayed until January 2020.
1.2. Local capacity building for supervision of land-use planning and zoning	Number of public officials and indigenous community leaders trained on monitoring land use plans and land use zoning, disaggregated by gender.	30 public officials and 20 indigenous community leaders, including 80% and 20% of men and women respectively	N/A	150 public officials and 100 indigenous community leaders, including 70% and 30% of men and women respectively	300 public officials and 350 indigenous community leaders, including 60% and 40% of women respectively.	The capacities of 36 public officials of MAE, MAG and GAD were strengthened.	<b>On track to being achieved</b>	In order to advance in the progress of capacity building, the following steps were taken: - Training program in territorial planning with a focus on climate change, conservation and sustainable production aimed at public officials. - Strengthening of local capacities to 6 provincial GADs and 12 cantonal GADs. The PROAmazonía M&E System does not determine how the effects of these trainings will be measured. 24 workshops will be held in the framework of the PDOT process in the 6 Amazon provinces, and it is estimated that the number of trained public officials will exceed the mid-term and final goal. However, this data is not disaggregated by sex, and it should be to assess whether the targets are being achieved.
1.3 Strengthening forest control	a) Existence of a certification of origin. b) Existence of a forest traceability system. c) Number of public officials in forest control points	a) No b) No c) 64 persons, including 19 women	N/A	a) No b) No c) 81 persons including 28 women.	a) Yes b) Yes c) 106 persons including 42 women.	a) Yes b) No c) 40 (11 women and 29 men)	<b>On track to being achieved</b>	In order to advance the progress of the indicator, the following steps were taken: a) - Definition of protocols for forest recognition and certification in coordination with MAE. - Collection of basic information on experiences of Principles,

Project Strategy/products	Indicator	Baseline value	Level on the first APR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
	trained in forestry control, by gender.							<p>Criteria and Indicators “PCI” processes at national and regional level.</p> <ul style="list-style-type: none"> <li>- Application PCI standard for forest certification under the national context formulated and validated by the MAE, MAG and forest sector actors.</li> <li>Forest traceability system under construction.</li> <li>b) - Process of acquiring two campers to adapt forest and wildlife control posts in strategic areas of the Amazon. The waiting for the signing of the document has finished, the signing of the contract for the provision for January 2020</li> <li>- Technical inspections carried out for the repowering of 4 forest control posts.</li> <li>- Start of restructuring of the forest administration system with three modules: timber, non-timber and land allocation.</li> <li>- Communication plan to socialize with the communities and local actors of the second National Forest Assessment under implementation.</li> </ul>
1.4 Formal Inter-Institutional Coordination Structures within the	a) Existence of a web-based tool for land use planning and monitoring, linking all PDOTs, life plans and IFM	a) No: PDOTs life plans and IFM plans are prepared on paper, are not linked between	Establishment of 1 coordination platform on palm	N/A	a) Yes, 3 regional coordination platforms b) Yes, 2 intersectoral	a) No b) 0	<b>On track to being achieved</b>	<p>In order to advance the progress of the indicator, the following steps were taken:</p> <p>a) - 6 provincial territorial planning platforms in operation.</p>

Project Strategy/products	Indicator	Baseline value	Level on the first APR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
framework of PDOTs, Life Plans and land-use zoning	plans together, and connected to the NFMS of MAE and the SNI of SENPLADES. b) Number of regional and intersectoral coordination platforms established and operational.	themselves, and not monitored and not connected to the NFMS of MAE and the SNI of SENPLADES b) 0	oil. Strengthening of 2 additional platforms for cocoa and coffee. institutionalization of the national round table REDD+.		coordination platforms			(1 platform has operating regulations Technical assistance is underway for the implementation of the Local Information System (SIL) prototype in the Provincial GAD of Morona Santiago and formation of the network of information managers at the provincial level, which will allow the exchange and interoperability of information for the planning. - Technical assistance is underway in strengthening 6 prioritized provincial GADs of the provincial Amazon. b) A preliminary proposal of Amazon Territorial Articulation for planning and comprehensive territorial ordinance was developed, to be institutionalized in the ST CTEA. Proposals of provincial platforms All the activation of regional and intersectoral platforms in the territory would be established along with the development of the PDOTs.
<b>RESULT 2: IMPLEMENTATION OF FINANCIAL AND ECONOMIC INCENTIVES TOWARDS THE TRANSITION TO SUSTAINABLE PRODUCTION SYSTEMS IN NON-FOREST AREAS.</b>								
2.1 Provision of incentives for the sustainable	a) Area (ha) supported by ATPA and area (ha) implementing	a) 7,260 ha, and 3,630 ha. b) NA c) 10, 0%	N/A	a) 30.000 ha, y 30.000 ha. b) 120.000 beneficiaries	a) 45.000 ha, y 45.000 ha. b) 250,000 beneficiaries,	a) 15,066 ha b) 21,292 beneficiaries		- Support to ATPA in the provision of non-monetary incentives to 5,022 farms as part of the

Project Strategy/products	Indicator	Baseline value	Level on the first APR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
production transition period	<p>REDD+ compatible measures</p> <p>b) Number of additional beneficiaries supported by ATPA thanks to GCF.</p> <p>c) Number and percentage of IMF plans integrating provisions for reducing deforestation</p> <p>d) Level of financial sustainability of ATPA (IRR), where the current and future farm expenses and revenues are determined, and economic indicators such as NPV and IRR are improved))</p>	d) IRR = 8%		<p>including 25% of women</p> <p>c) 300 y 50%</p> <p>d) IRR = 10%</p>	<p>including 50% of women</p> <p>c) 450, 90%</p> <p>d) IRR = 12%</p>	<p>c) 5,022 and 100% of MIF plans</p> <p>d) IRR =not determined</p>	<p><b>On track to being achieved</b></p>	<p>transition to sustainable agriculture.</p> <ul style="list-style-type: none"> <li>- Incentives provided include agricultural tools and products (natural fertilizers), and non-monetary incentives.</li> <li>- Capacity building of 17 local members of the indigenous Waorani Nationality of Ecuador (NAWE) through training in the production of sustainable cocoa.</li> </ul> <p>The strategy to support ATPA has been changed through the strategy of Field Schools-ECAs, which is in the final stage of negotiation and contracting, it is estimated that the activities of the RCTs will begin in the first quarter of 2020, which will also calculate the IRR.</p>
2.2 Promote the coordination and implementation of existing tax incentives that will allow for the transition to sustainable	<p>a) Number,</p> <p>b) Annual amounts</p> <p>c) Cumulative amounts of tax incentives that will allow for the transition to sustainable production systems, compared to BAU</p>	<p>a) 0/5</p> <p>b) Tbd usd / Tbd usd</p> <p>c) Tbd usd/ Tbd usd</p>	N/A		<p>a) 5/5</p> <p>b) Tbd usd / Tbd usd c) Tbd usd/ Tbd usd</p>	<p>a) 0 tax incentives that allow the transition to sustainable productive systems</p> <p>b) 0</p> <p>c) 0</p>	<p><b>Not on track to being achieved</b></p>	<p>Up to date, the Program has carried out management actions that will allow determining the objectives as detailed:</p> <ul style="list-style-type: none"> <li>- Development of incentive mapping report by BIOFIN.</li> <li>- Review of a study on fiscal incentives for sustainable productive reconversion in the Amazon.</li> </ul>

Project Strategy/products	Indicator	Baseline value	Level on the first APR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
production systems								<p>- Work plan for the alignment of incentives with REDD+ objectives under development.</p> <p>1. In addition to the actions mentioned in the document, it is important to study the tax expenditure in the sectors prioritized by the Ministries of Environment and Agriculture and Livestock, it constitutes the basis for the implementation of tax incentives that allow the transition to productive systems sustainable, as well as the baseline (year 2018) that is required to determine the goals of the literals b and c.</p> <p>2. Regarding the critical path established for the implementation of tax incentives, there is a work plan authorized by the Ministries of Environment, Agriculture and Livestock and in coordination with the Internal Revenue Service.</p> <p>Up to the time of the Interim Evaluation there was no progress in the indicator, and there is a high risk that it will not be completed until the end of the Project. Despite the reports and studies on tax incentives and a work that has been delegated to a team for its preparation, there is still no evidence or a defined critical route to apply tax incentives. This</p>

Project Strategy/products	Indicator	Baseline value	Level on the first APR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
								indicator depends on entities external to the Program, and external to the MAE and the MAG.
2.3 Support the redesign of public credit lines to reorient them to sustainable production practices	a) Number of credit lines for sustainable agriculture production incorporating provision for reducing deforestation, compared to number and annual amounts of credit lines without provisions for reducing deforestation in the agriculture and livestock sector b) Annual amounts of credit lines for sustainable agriculture production incorporating provision for reducing deforestation, compared to number and annual amounts of credit lines without provisions for reducing deforestation in the agriculture and livestock sector c) Number of beneficiaries of these credit lines with provision for reducing	a) 0/6 b) 10,9 million usd / 1.392,9 million usd c) Tbd usd	N/A	a) 3/6 b) Tbd. c) Tbd.	a) 6/6 b) Tbd usd / Tbd usd c) Tbd,	a) 0 redesigned credit lines. b) 0 current amount. c) 0 beneficiaries.	<b>Not on track to being achieved</b>	- The development of an intervention strategy in partnership with BanEcuador that supports the implementation of a new environmental and social responsibility policy, the green credit line and the work establish joint responsibility for non-deforestation is at a primary stage. The Program is developing a consultancy that will allow BanEcuador and CONAFIPS to present bankable projects with international financing sources under preferential conditions, which will be evidenced in green lines of credit according to the flows of organizations and producers, as well as an interest rate and soft deadlines, this consultancy will end in April 2020.  Up to the time of the Interim Evaluation there was no progress in the indicator, and there is a high risk that it will not be completed until the end of the Project. The base value and goals remain undetermined, and there is no evidence of base information for the credit lines. The scope of the indicator's goals depends on other actors and are

Project Strategy/products	Indicator	Baseline value	Level on the first APR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
								outside the competencies of MAE and MAG.
2.4 Responsible public and private procurement for deforestation-free production	a) Number of public and private buyers in Ecuador committed to the sustainable sourcing of meat, milk, cacao, coffee and palm oil. b) Number of int'l buyers of commodities who are fulfilling their commitments to rid their supply chain of deforestation in Ecuador by 2020. c) Volume (in tons and % of production) of purchased meat, milk, cacao, coffee and palm oil production which are certified deforestation free.	a) Tbd public and Tbd private buyers b) Tbd of int'l buyers by 2016. a) Tbd tons and Tbd%	UNEP developed an implementation plan in 2017 on purchases with environmental standards.	a) Tbd public and Tbd private buyers b) Tbd of int'l buyers by 2018. c) Tbd tons and Tbd%	a) 1 public buyer (SERCOP) and 5 private buyers (UNOCACE, CHANKUAP, PACARI, DANEC, OLEANA). b) 2 international buyers until 2020 (LAVAZZA, SILVA CACAO) c) Cocoa: 49.05 tons and% to be determined. Palma: 55,000 tons, 85%.  To be determined: coffee, meat, milk.	a) Meat 0, milk 0, coffee 0, cocoa 0, palm oil 2 private (Danec and Oleana). b) Letter of commitment signed with 1 international buyer and the Government of Ecuador to support the development of the deforestation-free coffee chain. c) Meat 0, milk 0, coffee 0, palm oil 55,000 tons and 37% production.	<b>On track to being achieved</b>	The following steps were taken:  a) - Negotiation process with UNOCACE to insert Amazonian cocoa as part of the production purchased for export. 26 letters of intent have been signed with 12 national actors for the purchase of sustainable products.  b) - Letter of intent signed between MAG, MAE, UNDP and LAVAZZA to strengthen Ecuador through concrete actions relevant to the coffee value chain. c) - Development of pilots with APEOSAE associations in the province of Zamora and AROCEL to certify 158 tons of coffee and 222 tons of cocoa free from deforestation.
2.5 Certification and traceability of deforestation-free products	a) National Standards in place to produce deforestation-free cacao, coffee, palm oil, and cattle	a) 0, 0, 0, 0 b) 0, 0 c) 0: Marca país, Punto Verde and BPA do not	N/A	a) 1, 1, 0, 0 b) 1, 0 c) 1: BPA d) Tbd	a) 1, 1, 1, 1 b) 1, 1 c) 3: BPA, MAE recognition, Round Table of	a) 2 (1 Good Agricultural Practices for coffee, 1 Good Agricultural Practices for	<b>On track to being achieved</b>	The following steps were taken:  a) - Proposal with the MAE in process to generate a mechanism for monitoring, verification and recognition of

Project Strategy/products	Indicator	Baseline value	Level on the first APR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
	b) Traceability systems for cacao, coffee (national) and palm oil (Amazon wide) are operational and enables national and international buyers to identify the producers of deforestation-free goods c) number of certification schemes integrating provisions for deforestation free production d) number of producers with certificates that include deforestation free provisions for cacao, coffee and Palm oil.	integrate provision related to deforestation. d) 0, 0			Oil Palm (RSPO). d) 163 cocoa producers, 900 in palm.	cocoa, 1 national interpretation of the RSPO 2017 standard). b) 2 palm oil companies have a certified traceability system in oil palm (Oleana and Danec). c) 3 schemes 1) RSPO certification includes non-deforestation provision. 2) BPA cocoa and 3) BPA coffee. d) 1 producer certified under the RSPO standard, 10 producers with BPA certification in cocoa.		compliance with the criteria that prohibit deforestation for new coffee and cocoa plantations. • Event where the MAE and MAG agreed on the need to work on concrete actions for the construction of Ecuador's position in deforestation-free production. b) - Mapping and traceability of farm information to support the jurisdictional certification conditions of La Palma. - Support in the generation of national traceability systems for the verification of non-deforestation in associations (1 of coffee and 1 of cocoa). - In preliminary stage the support to MAG-PRCC in the definition of stages of the national traceability process. d) Progress in the advancement of the signing of Declaration of Will for the Promotion of Sustainable Production and free of deforestation.
<b>RESULT 3: FINANCIAL AND NON-FINANCIAL MECHANISMS FOR RESTORATION, CONSERVATION AND CONNECTIVITY.</b>								
3.1 Strengthen conservation, restoration and forest management	Number of additional hectares under a) conservation	a) 1.48 million ha under conservation, b) 110,911 ha for forest	a) 161,000 new ha under conservation,	a) at least 7.250 ha b) at least 66.116 ha	At least: a) 140,000 ha under conservation b) 140,000 ha	a) 159,557.63 hectares kept under conservation	<b>On track to being achieved</b>	In order to advance the progress of the indicator, the following steps were taken:

Project Strategy/products	Indicator	Baseline value	Level on the first APR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
processes through the National Socio Bosque Program	b) forest sustainable management c) restoration programs d) financial sustainability of SBP (% of total budget not from public funds)	sustainable management, c) 70,000 ha under restoration programs d) 23%	according to contracts signed with the indigenous communities in December 2017. b) Beginning of restoration activities in the ecosystem of Bosque Seco in Loja. In 2017 the methodology, actors and new areas of intervention were agreed.	c) at least 37.500 ha d) 45%	for forest sustainable management c) 15,000 ha under restoration programs d) 65%	through Socio Bosque. b) 23,861.18 hectares of SFM. c) 2,422 hectares under restoration d) 0 percentage of the budget that is not public funds.		a) - 10 beneficiary communities under the agreement with Socio Bosque. - Socio-economic monitoring report, plant and legal coverage of the agreements (2019) prepared and based on that the incentive payments were made in December 2019. b) – Work plans for SMF validity for the MAE focal points, which includes the participation of communities. - Proposal for the SMF ha report prepared based on PROAmazonía actions that support / boost / strengthen the SMF in the country. c) - Re-plant 30,000 seedlings at sites with low levels of yield and apply techniques such as hydrogel to ensure the survival of the plants. - Reports delivered from micro administrative financial evaluation of the three Pueblo Kichwa Rukullacta, San Jacinto del Pindo, and Canelos communities. - Agreement with the communities of Canelos and Rukullacta for the tripartite modality MAE-community-organization. d) - A consulting company that is developing proposals to

Project Strategy/products	Indicator	Baseline value	Level on the first APR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
								strengthen financial sustainability. - There are 3 profiles of Restoration Projects with 3 communities, and significant advances with GADs to meet the objective. - The agreements will be signed in 2020.
3.2 Strengthen mechanisms for integrated water resource management (IWRM) in the basins located within prioritized areas	Number of ha in FONAG, FONAPA and FORAGUA respectively where REDD+ compatible measures are implemented, compared to total surfaces intersecting with the REDD+ prioritized areas.	a) 20.000 ha/109.776 ha b) 50.369,60 ha/ 207.323,69 ha c) 12.832 ha/59.559 ha	The three water funds began their activities to promote sustainable forest management in river basins, methodologies, actors and new areas for restoration were agreed.	a) 24.250 ha/109.776 ha b) 196.146,46 ha/207.323,69 ha c) 30.000 ha/153.080ha	a) 28.500 ha/109.776 ha b) 207.323,69 ha/ 207.323,69 ha c) 50.000 ha/197.425 ha	a) FONAG 3,456 ha preserved. b) FONAPA 103,758 ha restored (start process under fencing). c) FORAGUA 127,000 ha conserved.	<b>On track to being achieved</b>	In order to advance the progress of the indicator, the following steps were taken: - 167,087 hectares in the process of conservation and restoration. - 29 water conservation agreements supported by the Project. - 830 people with strengthened capacities in conservation, issues related to restoration, climate change, management and water, as well as technical tools such as computer programs and programs (456 men and 374 women).
<b>RESULT 4: IMPLEMENTATION OF ENABLING INSTRUMENTS TO REDUCE THE DRIVERS OF DEFORESTATION AND ITS ASSOCIATED EMISSIONS.</b>								

Project Strategy/products	Indicator	Baseline value	Level on the first APR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
4.1 Support to the implementation of the Warsaw Framework for REDD+ and other operational processes	a) SIS operational and providing transparent information on how safeguards are addressed and respected, with summary of information. b) NFMS institutionalized and linked to BUR, PDOTs and IFM plans, with certification systems, and connected to the system of information of MAG. c) # of annual meetings of the national REDD+ platform.	a) SIS designed but not operational b) NFMS not institutionalized c) In 2016: 2	a) In 2017, Ecuador presented its first summary of information on safeguards to the UNFCCC. b) NFMS: technical standards have been developed to define the guidelines and the NFMS management model. c) FREL Forest Emission Reference Levels): the second FREL is in preparation. It will include new	a) Yes b) Yes c) 4 in 2017 and 4 in 2018	a) Yes b) Yes c) 4 in 2019 y 4 in 2020	a) No. b) The NFMS is institutionalized c) 1 REDD+ Board meeting in 2017. 5 meetings of the REDD+ Board in 2018, and 4 meetings of the REDD+ Board in 2019 (2 ordinary and 2 extraordinary).	<b>On track to being achieved</b>	In order to advance the progress of the indicator, the following steps were taken:  a) - Definition of interconnection mechanisms between the SIS with other systems associated to REDD+ and other national systems. - Delivery of the product 4 "Final document of interconnection mechanisms between the computer systems for REDD+, with other SUIA systems and national systems. - There is a system for receiving complaints from the PROAmazonía program. An email, a web form was enabled. b) - Proposal for a Ministerial Agreement to issue the Institutional Guidelines for the operation of the National Forest Monitoring System of Ecuador (SNMB) prepared with MAE, as well as technical assistance in legal aspects. The document is under review by the Legal Department of the MAE for approval and issuance. - Definition of interconnection mechanisms between the SNMB with other systems linked to REDD+ and other national systems.

Project Strategy/products	Indicator	Baseline value	Level on the first APR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
			activities such as degradation and, potentially, other REDD+ activities such as conservation and improvement of carbon sinks.					<ul style="list-style-type: none"> <li>- Document "Update of the National Forest Inventory" of the National Forest Monitoring System approved by MAE.</li> <li>- Inclusion of the public consultation of the draft of the second summary of safeguards information on the REDD+ website on the SUIA platform.</li> <li>c) - 13th REDD+ Worktable meeting held on June 7, 2019, to prepare its action proposal.</li> <li>- Document of systematization and external evaluation of the 2nd Period of the REDD+ Working Group.</li> <li>- REDD+ Worktable closing event</li> <li>Development of communication products for systematization and strengthening of the identity of the REDD+ Working Group, 2nd period.</li> </ul>
4.2 Operationalization of the financial architecture of the REDD+ AP	<p>a) System of management of REDD+ actions and measure institutionalized and provides annual financial and technical reports for the GCF and other co-financings of the REDD+ action plan</p> <p>b) The New Environmental Fund is operational.</p>	<p>a) No</p> <p>b) No</p>	b) A new National Environmental Fund was institutionalized in 2017.	<p>a) Yes</p> <p>b) Yes</p>	<p>a) Yes</p> <p>b) Yes</p>	<p>a) No,</p> <p>b) Yes, (FIAS does not yet have the mechanisms to channel REDD+ financing.)</p>	<p><b>On track to being achieved</b></p>	<p>In order to advance the progress of the indicator, the following steps were taken:</p> <p>a) - Execution of provincial technical workshops to gather information on deforestation dynamics, two training seminars for MAE, MAG and Water Funds technical staff on land use change modeling, and dynamic coverage change modeling of soil, technical products for the country position</p>

Project Strategy/products	Indicator	Baseline value	Level on the first APR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
								<p>on sustainable and deforestation-free production.</p> <p>- Final document on mechanisms for interconnection between computer systems for REDD+, with SUIA systems and national systems.</p> <p>b) - BanEcuador, National Financial Corporation, ESPOL-TECH and Development Bank presented their letters of interest to be accredited to the Green Climate Fund.</p>

Source: APR 2017/2018, Semiannual report analyzing the progress of the Amazonian comprehensive program of forest conservation and sustainable production (June-December 2019). \* APR 2017

### **Remaining barriers to achieving the project objective**

The field work in addition to the analysis of the available documents allowed the evaluation team to identify some challenges that the Project Management Unit (PMU) must overcome in the remaining time of the Project.

- The first challenge belongs to the change in authorities and the high turnover of officials, which causes less program empowerment and delays in the implementation of planned activities. On the other hand, there is little delegation and bureaucratic processes both technical and administrative-financial that cause delays/bottlenecks.
- The second challenge is related to the implementation of component 2, and its alignment with the vision of the leaders of the ATPA Project. Until the time of the Interim Evaluation, this component has not had the expected progress, thus a strategy has been developed to meet the expected results and objectives.
- The third challenge is related to the implementation of the results-oriented monitoring and evaluation function. As there are no baseline values for some indicators, measuring progress with respect to a situation without a Project is difficult.
- The fourth challenge relates to the limited understanding of the implementing partners about the objectives of the program and to the limited delegation to execute processes. This makes the implementation of Project activities difficult, effective dissemination of the project activities is a way of engaging local stakeholders.

### **4.5 Project Implementation and Adaptive Management**

#### **Management Arrangements**

The following paragraphs refer to the implementation approaches adopted by the PROAmazonía Program that includes the performance of the management arrangements, associations and general operation of the Program management, which include technical aspects, administrative or financial restrictions. This section also highlights some of the challenges in the implementation and how partners like the MAE and MAG can rely on the PMU to achieve greater efficiency for project completion and to better respond to the current challenges.

,Good practices demand to every project like PROAmazonía has to establish a governance structure and implementation arrangements defined in a timely manner in the PRODOC, where it is established that the Project will be closely coordinated as a National Program integrated with the GEF Project “ Sustainable Development of the Ecuadorian Amazon:

integrated management of multiple use landscapes and high value conservation forests”. The Implementing Partner for the Project is the Ministry of Environment (MAE) who is responsible for compliance with national standards and the agreement with the GCF. Likewise, the MAE will coordinate with the Responsible Parties of the Project: Ministry of Agriculture and Livestock (MAG) and other partners whose roles are described in the Program Process, Governance and Implementation Manual, which defines and replicates the established authority levels in the PRODOC which includes:

- **Project Board:** with the highest authority and hierarchy, having the highest level of analysis and decision-making regarding programming and the achievement of results; and is responsible for agreeing management decisions. The co-executing partner meeting provides comments on the presentations of each of the partners, reviews the annual technical report, and reviews and approves the updated annual work plan and revised budget, including co-financing. The quality of the documentation prepared before the meetings is high and the reports of the meetings are produced in a timely manner. Several focal points reported that the preparation for the Project Board meeting is their main source of information on Project activities including activities approved and implemented according to the POA.
- **Management Committee:** It is made up of the National Project Directors (DNP) and the Technical Advisory Committees (CAT), who were high-level delegates of MAE and MAG, in their role as Implementing Partners. They meet bimonthly in an ordinary or extraordinary way when one of its members requires it, with the support of the UNDP and the Secretariat is exercised by the Program Manager.
- **UNDP:** accredited entity that provides technical assistance, monitoring, oversight and Project Quality Assurance, at UNDP CO, UNDP Regional Hub, and global level.
- **Technical committees:** One for each Implementation Unit, which will provide technical support to the Management Committee and the Project Board, the National Project Director, and the Project Manager to facilitate decision-making based on quality information.
- **Project Management and Implementation Unit:** supported by 4 Coordination Units that respond to each of the components of the Program and their respective technical teams at Central and Provincial level, in addition to an Administrative and Financial Coordination.

The daily responsibility of the Project Management and coordination was assumed in December 2017 by the current PROAmazonía Program Manager. The Manager was selected after a second competitive selection process (the first process was not successful), carried out by the UNDP, after 7 months of starting the Project. A substantial part of the Manager's time according to the description of his duties in the Manual of Processes, Governance and Implementation is dedicated to the Management and coordination of activities within the PROAmazonía program management unit and also to the coordination and facilitation of processes with both the MAE and the MAG to advance with the implementation of the POA.

According to the Manual of Processes, Governance and Implementation, the Manager has the authority level to execute different processes once they have been technically agreed by the ministerial technical teams. With the changes of authorities in the Ministries the processes agreed in the Manual are not fulfilled, causing delays in the critical route of practically all activities regardless of their progress. According to the consultant, in case of following this trend, the critical work plan of activities, both in progress and in preparation, will continue to experience delays and inefficiencies, which would cause some of the results not being achieved as established in the Results Framework. Given this situation of bureaucratization of the processes, which becomes slow and tedious and can cause exhaustion in the professional relations, the Consultant has been informed during interviews that UNDP-Country has updated Standard Operating Procedures (SOPs) that will be applied at the Country Office level across all Programs and Projects following its rules and policies. The revised SOPs were put into effect from January 2020. In this regard, during the interviews of this consultancy and in the presentation to the Management Committee it was ratified that the SOPs must be implemented in the PROAmazonía Program to optimize the procurement processes and Human Resources, and to achieve the ambitious goals at the technical and financial level.

Regarding the organizational structure, this is not operating efficiently mainly at the provincial level, since there is an imbalance between the structure of the technical team of the central level and the structure of the technical team of the provincial level. Additionally, isolated practices have been developed between the component teams, leading to delays and inefficiencies in Project Implementation. At the provincial level, each technician reports only to the Component Coordinator assigned and lacks formal knowledge of activities within the other components. This weakens the day-to-day operations of PROAmazonía at the provincial level, as the provincial staff, have no authority for decision-making, resulting in a rather limited role. Similarly, many of these provincial level staff are lost in the Ministerial bureaucracy.

In addition, the level of technical and administrative /procurement information available to the technical team in the Provinces is limited. This is reflected in their unawareness of the Terms of Reference of several of the consultancies that are developed in the field, and they do not know exactly the extent of their role with respect to the Consortiums, whom they support in the development of the PDOTs and / or consultants that apply methodologies such as "Growing with your Business", among other activities.

During the interviews, it was stated that the quality of support from the UNDP is very good, however there are areas of improvement in terms of implementation issues, guidelines, greater dedication and support. It is required a greater involvement with the partners in the territory in order to have more direction, and it was observed that the UNDP initially did not estimated the amount of processes that involve the implementation of PROAmazonía. On the other hand, it has been emphasized that the technical assistance is timely, and the support of the UNDP country office and the regional office have been essential for many aspects of the program.

In reference to the ministries, the interviewers mentioned that they are not necessarily identified with the Program, and that it depends on the authorities in charge, which directly affects the efficiency and effectiveness of the program. Also, many times the ministries are not open to the technical recommendations of PROAmazonía.

### **Work planning**

The Project uses annual operating plans (POAs) that include a detail of activities in accordance with the expected results and products, with specification of budgets for each group of activities. The governance mechanism is more complex since it involves actors from the two Ministries in the approval process of the POAs. Likewise, the critical route of the processes leaves the control of the Management making less efficient most of the processes / activities that are part of the approved POA. The breach of commitments in the decision-making process defined in the Manual clearly affects the efficiency of PROAmazonía work plans.

At the time of the MTR the Project has a delay of approximately f 10 to 12 months in its implementation, which was partly, due to the slow process to hire the extensive team of technicians and administrative staff that make up the PROAmazonía team. In addition, some technical and leadership profiles are difficult to find, which has been the case with the livestock specialist, where the recruitment call had to be opened multiple times due to the lack of qualified specialists. For the conformation of the team, challenges have been

generated by the frequent changes of authorities that, as mentioned earlier in this report, delay the processes.

### **Finance and co-finance**

The evaluation team observed an intermediate level of the financial management of the Project. According to the latest progress report, in the month 30/60 (50% implementation), the Project has executed US\$ 12,939,253<sup>8</sup> / US\$ 41,172,739, which accounts to 31% of its budget. As it is mentioned in section 6.4, the factors responsible for the low expenditure rate include the delay of the start of the project, mainly caused by the high number of staff that needed to be recruited, the Project's governance mechanisms working inefficiently, causing the implementation of activities to take longer than planned, and the many processes involved in the approval of ToR, products, and among others.

The following figures present the budget (initial and adjusted<sup>9</sup>) compared to the actual executed amounts from 2017 to 2019. About the adjusted budget, every year the steering committee approves the adjusted budget that is based on the activities of the POA. The budget adjustment takes place at the beginning of every year, and it is revised and approved during the third quarter of every year (August/September). It is important to consider that the percentage of the adjusted budget may differ by year, depending on the number of activities approved and executed. In addition, it is also important to mention that the budget adjustment process follows the local NIM Guidelines and Procedures<sup>10</sup>.

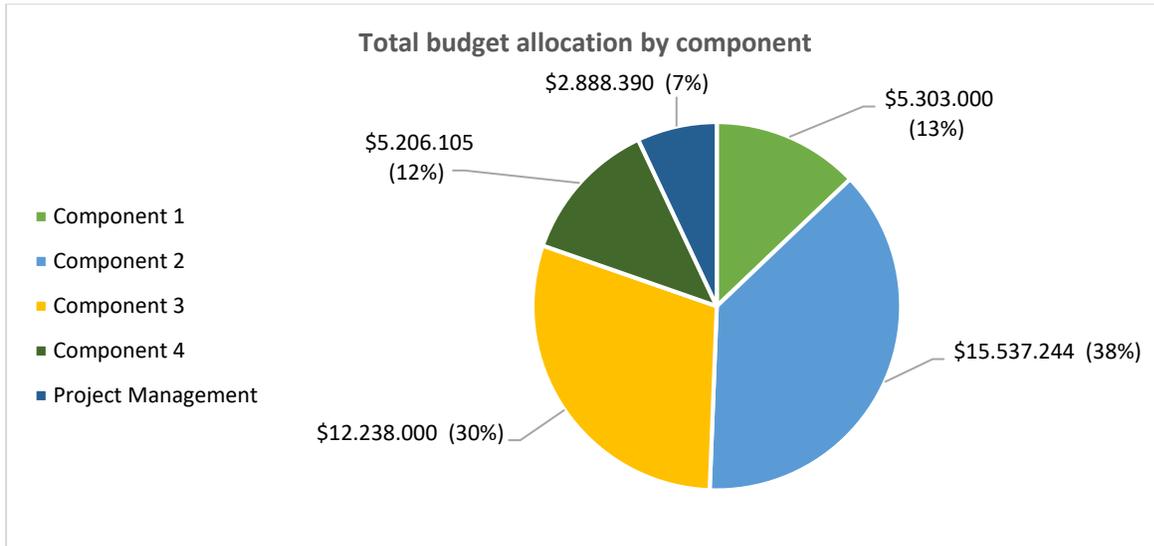
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<sup>8</sup> This figure does not include commitments, the amount to Dec 31st 2019 was USD 447,929.01

<sup>9</sup> The adjusted budget is approved by the Steering Committee in August/September of every year.

<sup>10</sup> National Implementation by the Government of UNDP Supported Projects: Guidelines and Procedures (p. 70)

Figure 7: Percentage of budget allocation according to component

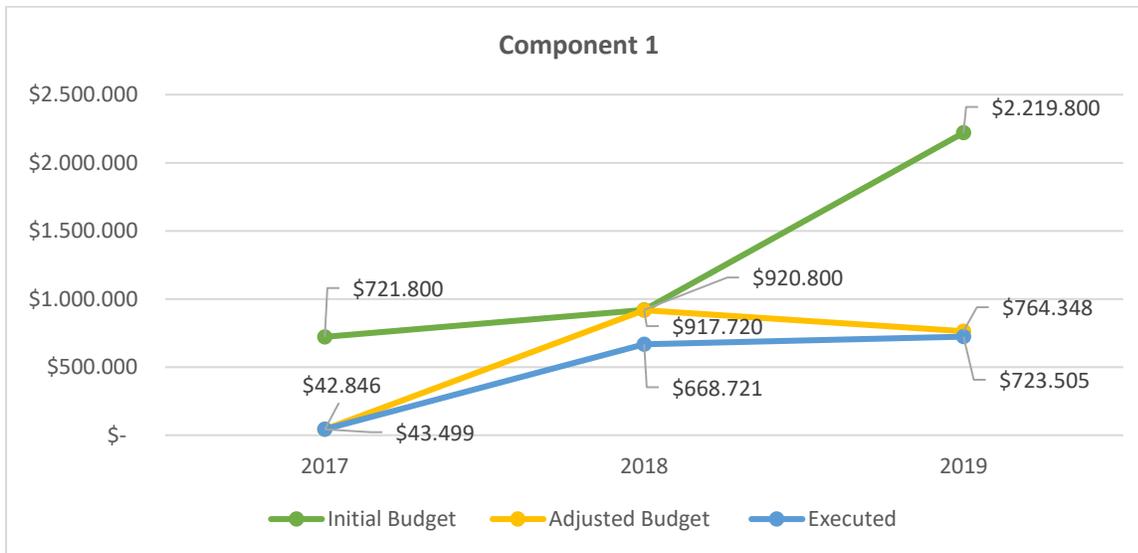


Source: PRODOC

### Component 1

Figure 8 represents the budget planned in PRODOC, the revised budget (adjusted budget) and the actual expenditure between 2017 and 2019 for Component 1. The expenditure amount is below the budget planned in PRODOC, with a significant difference. In comparison to the adjusted budget, the executed amount was almost equal from 2017 and 2019.

Figure 8: Component 1 planned disbursements compared to actual / actual execution

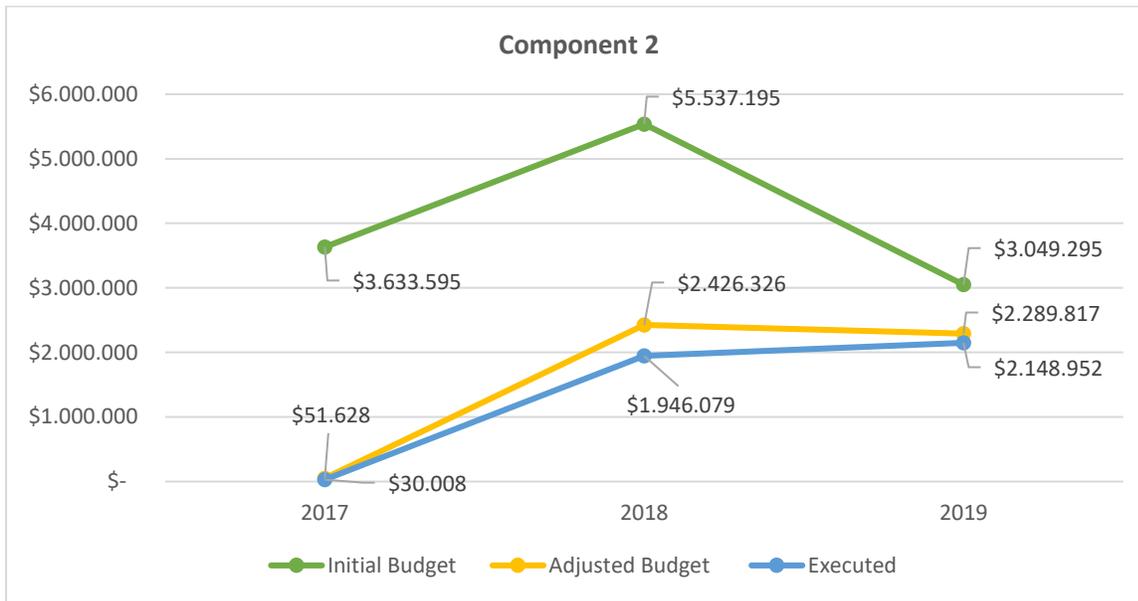


Source: 14\_02\_2020\_Ejecucion\_GCF\_xls & PRODOC

### Component 2

Figure 9 represents the budget planned in PRODOC, the revised budget (adjusted budget) and the actual expenditure between 2017 and 2019 for Component 2. The actual expenditure was below the planned budget in PRODOC with a significant difference. However, in comparison to the revised budget (or adjusted budget), the actual expenditure was almost equal between 2017 and 2019.

Figure 9: Component 2 planned disbursements compared to actual / actual execution

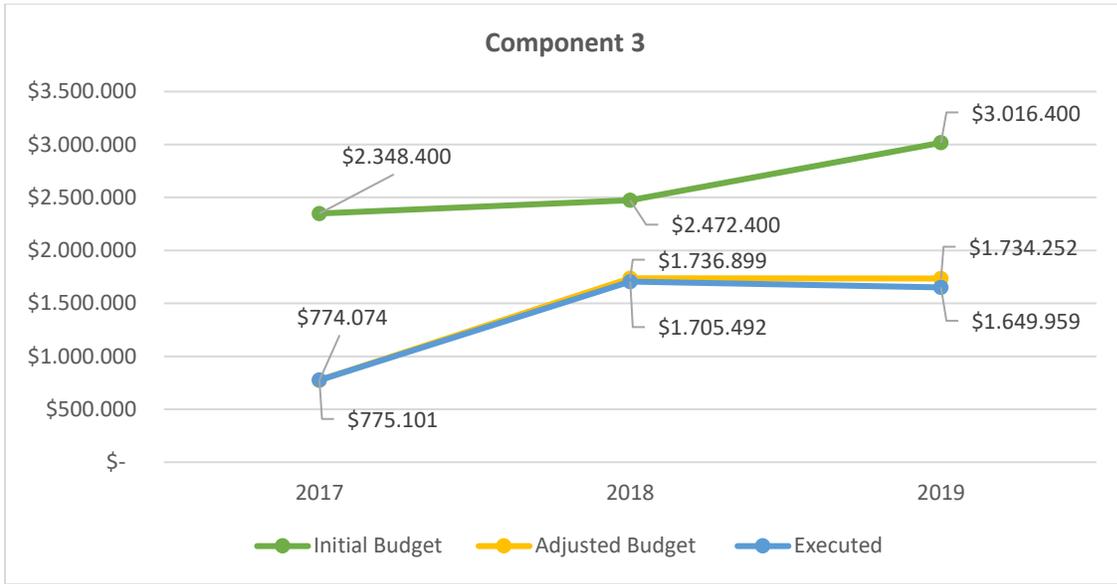


Source: 14\_02\_2020\_Ejecucion\_GCF\_xls & PRODOC

### Component 3

Figure 10 represents the budget planned in PRODOC, the revised budget (adjusted budget) and the actual expenditure between 2017 and 2019 for Component 3. The actual expenditure was below the budget planned in PRODOC and have a significant difference between them. In comparison to the revised budget (adjusted budget), the executed amount was almost equal from 2017 to 2019.

Figure 10: Component 3 planned disbursements compared to actual / actual execution

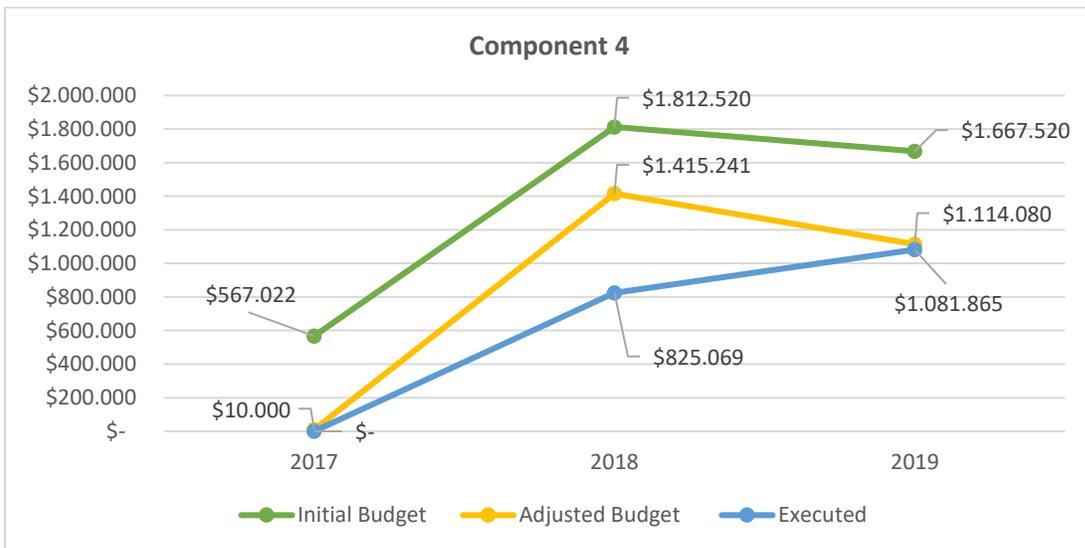


Source: 14\_02\_2020\_Ejecucion\_GCF\_xls & PRODOC

#### Component 4

Figure 11 represents the budget planned in PRODOC, the revised budget (adjusted budget) and the actual expenditure between 2017 and 2019 for Component 4. The actual expenditure was below the budget planned in PRODOC. In comparison to the revised budget (adjusted budget), the actual expenditure was almost equal between the two 2017 and 2019.

Figure 11: Component 4 planned disbursements compared to actual / actual execution

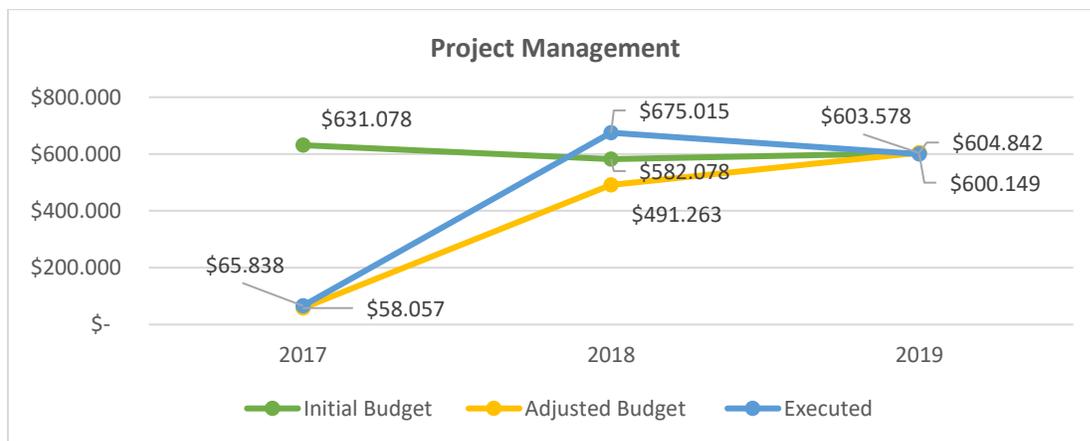


Source: 14\_02\_2020\_Ejecucion\_GCF\_xls & PRODOC

## Project Management

Figure 12 represents the budget planned in PRODOC, the revised budget (adjusted budget), and actual expenditure between 2017 and 2019 for Project Management. The actual expenditure was below the budget planned in PRODOC, with a significant difference between the two from 2017 to 2019. Only in the year 2018, the actual expenditure exceeded the budget planned in PRODOC. In comparison to the revised budget (adjusted budget), the actual expenditure was almost equal between the two in 2017 and 2019, while in 2018 the actual expenditure was above the revised budget as well.

Figure 12: Management planned budget compared to actual execution



Source: 14\_02\_2020\_Ejecucion\_GCF\_xls & PRODOC

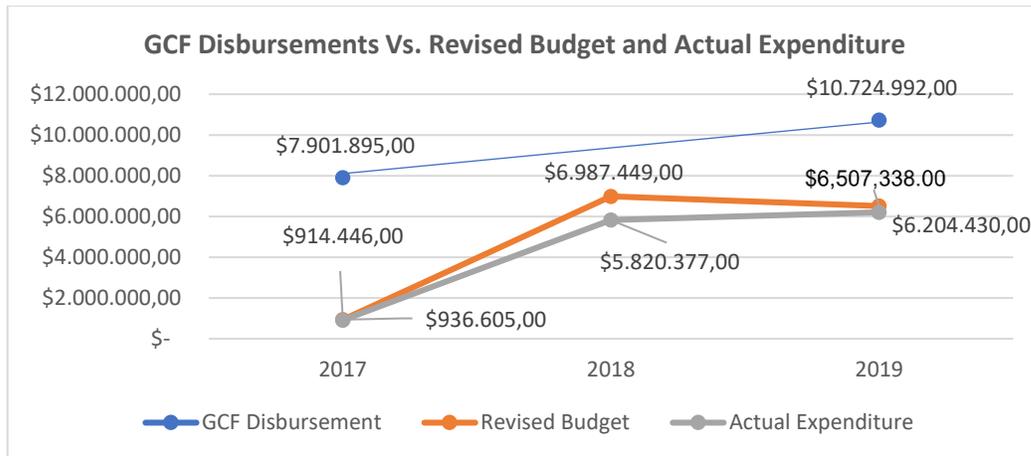
As per figure 13, during the implementation period that is subject of the Mid-Term review, two GCF Disbursements were made:

Disbursement 1 for \$7,901,895 was made on July 2017

Disbursement 2 for \$10,724,993.00 was made on March 2019

The Disbursement 3 for \$11,156,592.00 was received out of the Mid-Term Evaluation period (February 2020), in this sense, figure 13 represents a comparison between the actual total GCF disbursements, revised budget (adjusted budget) amounts, and actual expenditure between 2017 and 2019. The actual expenditure total actual expenditure was below the GCF disbursement 1 and 2.

Figure 13: Total planned budget compared to current budget execution



Source: 14\_02\_2020\_Ejecucion\_GCF\_xls & PRODOC

### Efficiency (value for money)

As mentioned in table 3, the outcome of component 1 has a highly satisfactory achievement rating, where it is evident that there has been a balance between progress the use of resources. In the case of the component 2, its outcome has an unsatisfactory achieving rating, where it is evident that there has not been an optimal balance of progress and use of resources, since many activities are not reporting the expected progress until the time of this evaluation. The outcomes of components 3 and 4 have a moderately satisfactory achievement rating, where many of the activities have had better progress, and the balance between progress and use of resources is getting a better balance (financial vs physical progress).

### Co-financing

Table 11: Co-financing table

Project co-financing	at the CEO endorsement (US\$)	at the Interim Evaluation (US\$)	at the Interim Evaluation (%)
Government			
(1) MAE			
Result 1	US\$ 4,203,447	US\$ 3,660,591	87%
Result 2	US\$ 11,106,163	US\$ 984,240	9%
Result 3	US\$ 15,574,616	US\$ 9,346,337	60%
Result 4	US\$ 871,324	US\$ 304,782	35%
<b>Subtotal 1</b>	<b>US\$ 31,755,550</b>	<b>US\$ 14,295,951</b>	<b>45%</b>
(2) MAG			
Result 1	US\$ 1,910,000	US\$ 1,087,231	57%
Result 2	US\$6,580,000	US\$ 3,395,747	52%
<b>Subtotal 2</b>	<b>US\$ 8,490,000</b>	<b>US\$ 4,482,978</b>	<b>53%</b>
Other partners			

(3) FAO			
Result 4	US\$ 820,900	US\$ 357,511	44%
<b>Subtotal 3</b>	<b>US\$ 820,900</b>	<b>US\$ 357,511</b>	<b>44%</b>
(4) PNUD			
Result 1	US\$ 345,628	US\$ 282,527	82%
Result 2	US\$ 345,628	US\$ 166,553	48%
Result 3	US\$ 49,500	US\$ 93,070	188%
Result 4	US\$ 345,628	US\$ 120,197	35%
<b>Subtotal 4</b>	<b>US\$ 1,086,384</b>	<b>US\$ 662,347</b>	<b>61%</b>
(5) UN-REDD (UNEP-UNDP)			
Result 4-UNDP	<b>US\$ 683,074</b>	US\$ 77,202	30%
Result 4- UNEP		US\$ 124,911	
<b>Subtotal 5</b>	<b>US\$ 683,074</b>	<b>US\$ 202,113</b>	<b>30%</b>
(6) Total co-financing (1+2+3+4+5)	<b>US\$ 42,835,908</b>	<b>US\$ 20,000,900</b>	<b>47%</b>

In order to ensure full payments from the co-financing counterparts as the project implementation continues, the accredited entity (UNDP) carries out the following actions:

- Close coordination of the monitoring of the project co-financing: the co-financing letters are a requirement for donor disbursements and their progress is reported on an annual basis in the Annual Progress Report (APR), which provides actual data on the co-execution. Regarding the APR, the UNDP provides close accompaniment, follows up on the responses of the Institutions, and verifies that the amounts are consistent with what was previously reported.
- Regular meetings with the counterparties of the Project (MAE, MAG, FAO and UNDP), with which the UNDP keeps a close relationship and coordination of actions. In regard to the MAE and MAG, in addition to the Steering Committee, the UNDP keeps regular meetings with the Program Management Committee, which facilitates a clear way to see how both Ministries are contributing to the co-execution level of activities, and also how staff members are involved in the implementation of the project. In the case of the FAO, monthly meetings are held with the UNDP to evaluate the progress of activities and to also closely monitor the co-financing work.
- Maintain adequate accounting records of the co-financing: internally, the UNDP maintains its co-financing accounting records, which are also reported annually in the APR.

All the actions mentioned above, together with the monitoring and close relationship that the Project Management Unit has with the three Institutions (MAE, MAG, AND FAO), have contributed to a high execution of the co-financing (47% of the total of the co-financing established in the PRODOC for the entire course of the project).

### **Consistency in the delivery of climate financing with other multilateral entities**

As mentioned in section 3, Project partners include MAE, MAG, Socio Bosque, SENPLADES, MCE, provincial, communal and parish GADs, BanEcuador and CGN, SENAGUA, FONAG, FORAGUA, FONAPA, FAO, SRI, MIPRO , REDD+ Worktable (Mesa REDD+), indigenous communities and the private sector.

Despite the difficulties in achieving coherence and complementarity with the work of the local actor partners and which in turn be REDD+ implementers, it has been possible to complement actions to implement activities for common purposes. Likewise, it was possible to work with other cooperation such as the German development agency for International Cooperation GIZ, to complement the progress of the expected results.

Similarly, the Project is integrating other ongoing local initiatives on climate change adaptation and mitigation, and restoration efforts. Project activities include ordinances of water protection areas through water funds, forest conservation through Socio Bosque, integrated management by basin through water funds, and the implementation of the new water management restoration model. It also includes tools and climate change criteria for PDOT within the framework of the Organic Code of the Environment.

### **Project-level monitoring and evaluation systems**

This Project defined the set of SMART M&E indicators and their respective objectives at the design stage. At this time, it was defined that the M&E of the Project would be carried out in accordance with procedures established by the UNDP and the GCF as established in PRODOC. In addition, it was determined that the responsibility for complying with M&E requirements lies with the PROAmazonía team with supervision and strategic support of the UNDP Country Office (Ecuador UNDP-CO) together with the support of UNDP / GEF.

The day-to-day monitoring of implementation progress is the responsibility of the Manager and the Coordinators of the Project Components, based on the Annual Work Plan and its indicators, in addition to the Manual of procedures. The Program Team informs the UNDP Country Office and Monitoring Officer of any delays or difficulties faced during implementation so that support or corrective action can be taken in a timely manner.

As in all PRODOCs, a set of results indicators and their respective objectives for the implementation of the Project and the corresponding means of verification is included. At the same time, the PMU, with support from the UNDP, strengthened the M&E system associated to a strategic planning exercise using the Open Standards for Conservation methodology to develop results chains integrating the four components of the Program.

The strategic planning process has been complemented in alignment with the UNDP livelihood indicators methodology to connect all the Program indicators with the financial, physical, human, natural and socio-political aspects.

Currently the M&E system includes some activities such as:

- The measurement according to the frequency of the indicators to achieve the results of the Project.
- Analysis of each of the indicators to complete the information of baseline, unit of analysis, internal and external managers, annual milestones, means of verification, analysis methodology, among others<sup>11</sup>.
- Regular visits to the activities implemented in the field.
- The following reports are generated from the M&E function:
  - Status of periodic progress / semiannual progress reports (includes risk update and mitigation measures).
  - Annual Management Performance Report from January to December of each year.
  - Annual reports to the Donor.
  - Periodic reports to the Implementation Partners.
  - Interim Evaluation of the Project.
  - Final Project Evaluation.

Additionally, in the last semester of 2019, it began the development of a monitoring tool (software) to automate and analyze the information of the indicators, the POA, and generate various reports.

According to the Program Manual, the planning of activities for the POA is carried out in the last quarter of the current period for review and approval by the Project Board. For the 2020 POA, this has been approved subject to non-substantive modifications in the

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<sup>11</sup> Annex 6 presents the matrix of indicators with suggested adjustments from the Program for review and approval by the GCF.

amount of \$8,141,404.01.<sup>12</sup> The process of elaboration, review and approval has a very well-defined calendar/timeframe that has been respected.

Subsection 5.2 of the Program Manual indicates that the M&E process is carried out continuously and that it generates quarterly reports. Due to the characteristics of the program and the delay that has occurred at the beginning of the program, a results-oriented M&E should be completed more frequently on the processes that are part of the POA.

Although there is a set of reports that are disseminated at the central level, these are not shared with the technicians of that level or with other levels, like the provinces. This difficult a good communication about the progress of the indicators. Therefore, the first step is to clearly define the rules of the game: who should report, when and who should control it. Redefining these rules and, above all, reflecting them in a flowchart, is an elementary task for the communication gear to work in two ways. It is not clear if the people involved have the description of their functions, the responsibilities assigned for the capture, consolidation and internal control of the information. In any case, as a requirement for the implementation of the SOPs, the consulting team considers the mapping of actors and the updating of information flowcharts-reports through official appropriate channels. Improving the distribution and dissemination of information on the management of the Project will increase its appropriation at different levels.

Regarding component 2, the information corresponding to the indicators of farms, family income and commercialization should have been compiled through the monitoring and evaluation system of the ATPA-MAG Project. However, this information has not been fully provided, due to deficiencies in the ATPA monitoring system.

On the other hand, it has not been identified that the Lessons Learned or the Good Practices are systematized and that they are used as feedback tools for the co-management teams (PROAmazonía, MAE and MAG).

As part of a good practice of an M&E system, it has not been identified that progress reports are disseminated to the technicians of the PROAmazonía team or of the MAE and MAG at the provincial level, which again demonstrates that there is a serious information gap for that align and integrate activities between components.

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<sup>12</sup> This budget corresponds to a conservative scenario for the year 2020 and was approved by the Project Board of the program on December 17, 2020.

Finally, in terms of systematization of good practices and-or lessons learned, the existence of “WhatsApp” groups for official use of the Ecuador team, the Quito team, and each component was identified.

### **Stakeholder engagement**

The comparative advantage of the UNDP is broad in several ways. A first point is related to its vast experience in the management and implementation of GEF and GCF Projects, in addition to being very well positioned in Ecuador as an Accredited Entity that allows raising and channeling its funds. Moreover, its role in providing technical assistance during the implementation of its portfolio projects is recognized. Similarly, it has played an important role about the PROAmazonía Program, due to its function as a fiduciary agent to the donors but also to support the implementation given the NIM-supported modality. This has allowed the implementation of the Project and with a process of evaluation, selection and hiring of a large team of professionals and administrative staff hired at central and provincial level, which, in the opinion of different actors, is a solid technical team and has Proven to be suitable.

Likewise, the UNDP office has facilitated direct dialogue with authorities of the entities involved and with other multi and bilateral cooperators, as well as the government of Ecuador in leveraging additional financial resources. The experience in the management of programs and projects also provides a comparative advantage that reduces the risk of mismanagement, in addition to having an international network of experts in the field. Another of the comparative advantages of the UNDP is the approach to international platforms for dialogue on deforestation-free agricultural production. The UNDP partnership has opened the door to Ecuador to adhere to the global sustainable livestock agenda, as well as to participate in international events. Finally, the prestige of this organization arouses the interest of collaborating with the actors of private companies in Ecuador and internationally.

However, according to several interviewees, the UNDP should improve in two aspects. A first aspect in relation to hiring processes, which, due to bureaucracy, takes longer than expected. A second aspect is associated to the financial information on the management of both Projects, which, according to the interviewees, should be shared.

Currently, the program implements a stakeholder involvement strategy. As a result, they have: the REDD+ Working Group, the strengthening of the Inter-Institutional Committee on Climate Change, territorial platforms, commodity platforms and other processes to

promote the effective articulation of relevant actors in the implementation of both PROAmazonía and the REDD+ AP at the national level.

There has been strong support from the UNDP Country office on issues of involvement in international networks, as well as political management during visits to Ecuador, which has led to the involvement of the MAG in the dissemination of Ecuador's achievements regarding deforestation, and its relationship with sustainable production.

## Reporting

The PROAmazonía team generates a set of reports that respond to the agreements established in the PRODOC:

**Table 12: PROAmazonía Reports**

Report	Period	Responsible
Procurement Tracking Matrix	Weekly	Coordinators, Financial Administrative, and Procurement UNDP.
Quarterly progress data reports that include the level of achievement of goals, results obtained, information generated during that period.	Quarterly	Project Manager, M&E Specialist, Coordinators, Financial Administrative.
Staff activity report	Monthly	Each of the people hired in the PROAmazonía team
Monitoring of the indicators in the Project Results Framework (including the hiring of external experts, Project surveys, data analysis, etc. ...)	Annually	Project manager
Annual Project Report	Annually	Project Manager, UNDP National Office and PROAmazonía team
Lessons learned, case studies, and knowledge generation	Annually	Project manager
Performance evaluation	Annually	Personnel Supervisors (Project Manager, Coordinators, UNDP).

The Project presents quarterly reports and annual progress reports to the Green Climate Fund and the UNDP. These reports are approved by the Project Board.

When analyzing the information flows between the different actors of the Project, the evaluation team verified that in many cases the beneficiaries do not receive detailed information on the cost of the assets they receive, nor the annual progress reports of the

activities in which they participate. This was mentioned during interviews with several beneficiaries, who expressed that they are only asked for information and up to the date they have not received any written report from PROAmazonía, MAE and MAG. It is evident that the dissemination of information is a fundamental aspect, not only to achieve ownership of the Project and the integration of the different actors, but also to maintain transparency in the implementation processes.

It has been highlighted that in general the reports prepared and shared with the Project Board, the Technical Committee, UNDP and the Financing agency comply with the reporting requirements in the PRODOC, though there is a gap that needs to be addressed by the PROAmazonia team to map other stakeholders who should receive regular reports/information at the central and provincial level. Success and weaknesses must be shared across key project actors. The report sharing is key for the project and can contribute to project ownership at different levels. A specific recommendation was made to the PROAmazonia management and the Component 4 team. The reports for the Fund have been submitted on time, they have had the quality and the preparation planning process to avoid delays, the project has done all the efforts delivering on time the reports to UNDP before sharing with the donor. \*

### **Communications**

The Project's Inception workshop held in September 2017 was attended by the President of the Republic, which signaled the importance of the Program, supporting the dissemination and promotion of information about the activities of PROAmazonía from the beginning.

A program with the characteristics of PROAmazonía should have a very well defined internal and external communication strategy since it plays a significant role among the main implementing partners of both the MAE and MAG Program. The lack of a strategy hinders the visibility of the program interventions and objectives. In this case, the internal communication strategy would have to be managed considering the Program Management Unit together with the MAE and MAG, both centrally and provincially. On the other hand, external communication should occur with those key stakeholders such as Funders, Provincial GADs, Cantonal GADs and other actors at the provincial level that work on the management of the different activities of each of the components.

In theory there should be no pitfalls to having a clearly defined flowchart of communications at different levels. However, in practice this is not the case, as the evidence shows that it has not been possible for PROAmazonía to define a joint

communication strategy. According to the Program Manager, this is because, at the time, the PMU was prevented from developing and implementing a communication strategy that, as the name suggests, should have been strategic to achieve better dissemination and visibility of the objectives of the Program, as well as defining the role that many key actors play during the implementation of the activities with which they are strengthened. The implementation of this communication strategy from the beginning would have helped to avoid the isolation of the actions, and instead promote a comprehensive approach, achieving better outcomes/results from the implementation of the PROAmazonía POAs.

As such, it is evident that, although there is internal and external content, the division of the strategic and the communication message must be defined logically and realistically according to the different audiences, especially the external ones. Internally, vast technical information is generated through the M&E System regarding Program progress, achievements and challenges. It is therefore necessary to ensure that this information reaches all levels of the implementing partners opportunely.

On the other hand, it is necessary to consider that in May of 2019, new authorities at the Vice Ministry level have assumed positions, which implies that there is a need to disseminate the information again to the people assuming the positions, since they play an important role in relation to the activities of the Program. Otherwise, the gap that is generated becomes a weakness of the Program. In the interview with the Director of the Program and Assistant Secretary of the MAE, the authority mentioned the need to design and implement this strategy as soon as possible, and in coordination with the respective communication teams of both Ministries and PROAmazonía.

### **Frequency and effectiveness of communications**

According to the interviewees, weekly meetings are held between the coordinators of the components to know the progress of the Project and exchange information on the actions carried out by the Management Unit. In addition, field visits are carried out to monitor and implement the components, in which it is shared with authorities of the institutions and beneficiaries to verify the progress of the Project. Monthly or bi-monthly meetings of UNDP communicators are also held in order to share the communication actions they are carrying out in the Project. Communication with the MAE and the MAG is regular; however, the change of authorities has affected its effectiveness. Communication between Ministerial teams with PROAmazonía and UNDP is rated as intermediate, especially by the MAE. Likewise, it is considered that also at the provincial level field

technicians should have more involvement through better communication from the central level.

During the interviews, the Undersecretary of Climate Change mentioned that the PROAmazonía Program is the most important in its portfolio. The importance of the work of the PROAmazonía team was also mentioned. However, the need to improve inter-institutional communication issues was recognized. The form of work and communication established disintegrate / fragment teamwork at the provincial level. The dissemination activity in a Project of the characteristics of PROAmazonía must be almost continuous. However, it was mentioned that the technical specialists in many cases know about the activities, but do not have documentary information (terms of reference, schedules, indicators, others).

### **Contribution of the communication to the awareness of the project results by the key actors**

The PMU has a permanent coordination with the UNDP forest and climate team for the international coverage of important Project activities, obtaining the representation of PROAmazonía in several international events. This has been the case during the Global Climate Action Summit, which took place in San Francisco, California in 2018, where the presentation of sustainable and deforestation-free palm production took place. These actions contribute significantly to the dissemination of information, lessons learned and the promotion of the Project internationally.

### **External communications**

Although social networks are used as the means to reach external audiences based on an updated communication strategy, presence in the web remains limited and not always updated. The interviewees mentioned that this is since most of PROAmazonía's work is visible as an effort of the Ministries (MAE and MAG) and not of the program as such. Even so, several of the key actors of the Project have repeatedly mentioned that they do not receive regular information from the Project. Now, work is being carried out on the development of a PROAmazonía microsite, which will be a channel linked to the institutional sites of the Ministries to report on the progress and impact of the Program. Among the articles published by the program are: (1) DNA Magazine "Conserve forests and produce sustainably", (2) EKOS Economics Magazine, page 52 "PROAmazonía conserve and produce sustainably in a megadiverse country".

## 4.6 Sustainability

According to PRODOC, ecological/environmental, social, institutional and financial sustainability tasks would be implemented.

The Project is clearly aligned with national strategies and priorities in the area of biodiversity, sustainable forest management, adaptation and mitigation to climate change, as well as the legal framework and sector policies. However, as with every project, there is a matrix of risks that have been objectively identified and continue to be the main risks that must be taken into account by the political and technical authorities of the Program, since it would affect both projects that constitute the PROAmazonía program in an equal manner. The GCF M&E<sup>13</sup> plan presents for each outcome and indicator a column with the assumptions and risks that are valid and must be monitored/observed by the Steering Committee, the Management Committees, and the same technical teams in order to take actions that contain to a larger extent the **risks** that may affect the program as a whole.

### Concerning Result 1

PLANIFICA (ex SENPLADES), with the support of PROAmazonía, designed and developed the official guidelines for the elaboration of Development and Territorial Planning Plans (PDOT) that are now binding on all GADs. These include criteria of climate change, conservation and sustainable production and are of national application. Additionally, it is financing technical assistance through 3 Consortiums, one for each region. In this sense, these Consortiums are responsible for applying a methodology to develop these components, as well as for strengthening the technical capacity of the Technical teams of the Provincial and Cantonal GADs. ESPOL will systematize the work of the Consortiums to guarantee the inclusion of all the criteria of climate change, conservation and production, work that could be shared at national level through PLANIFICA with the objective of ensuring that the methodologies are used based on good practices.

The MAE's Green Point certification (certificación Punto Verde) is in force and will provide technical assistance from PROAmazonía to be strengthened through a forest traceability system that will be raised to public policy, guaranteeing a sustainable application.

### Concerning Result 2

The country position on sustainable and deforestation-free production will be established by the agricultural authority and the national environmental authority. The advances will

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<sup>13</sup> GCF PRODOC, number 8, page 63

be through the BPA and Agrocalidad, which are part of the national certification system already established. Although the financial incentives granted to small farmers will be as durable as the life of the PROAmazonía Program, the traceability component will be associated to the contribution and awareness so that sustainable deforestation-free production is developed, leaving production and improving productivity and competitiveness with the work of the ECAs. A strategic and deforestation-free scheme will be the establishment and opening of green credit lines with advantageous criteria and conditions for those with sustainable production.

Another important aspect for the sustainability of actions is the strengthening of the organizations that manage associative marketing. Similarly, community monitoring will be an important information tool on the production chain.

### **Concerning Result 3**

One of the objectives of the agreement between PROAmazonía and the Socio Bosque Program is to improve and guide the use of incentives to activities that are of greater sustainable productivity and supported by ATPA. Thus, this pilot strategy could strengthen communities. In this sense, there are several activities that are being developed, including, Growing with your Business. Additionally, it is important that the PROAmazonía team ensure that all methodologies, both in the communities and beneficiary associations, are appropriate and applied in the highest percentage of community members and/or associates. Multi-stakeholder platforms for sustainable production are tools for political advocacy, positioning and improvement of productive chains free from deforestation.

### **Concerning Result 4**

The appropriate use and dissemination of timely and quality information, generated by the different information systems (e.g. National Forest Monitoring System, Safeguards Information System, MRV, capacity building, and management of measures and actions for REDD+ ), will be the central element to improve the sustainability of the actions of the Program. According to the results obtained by a forestry service in the control posts where the activities were implemented and products were obtained, they will also present evidence of the effects-benefits of the investment made by the PROAmazonía Program, which should have continuity under the annual financial structure of the MAE. As an example of these results, it could also receive replenishments from other bilateral and multilateral funds. There will also be a generation of knowledge through some research and publications on forestry issues supported by the Program.

- Once 80% of the Program's life has elapsed, it is necessary that PROAmazonía, together with the teams of the Ministries, prepare an exit strategy for the Project that would determine the route to follow in the substantive issues that make the Project and the sectoral strategies.
- From the point of view of institutional and governmental sustainability, it cannot be said that the room for coordination and inter-institutional work that is being developed with the Program is sustainable and profitable. In this second part of the Project, it will be necessary to strengthen a political commitment to give continuity to tasks that have been seen are more robust when managed jointly. This could be one of the good practices developed and established as a result of the program. In 2020, an electoral process begins that can be used proactively to strengthen the inter-ministerial work mechanism and leave the foundations laid for the next period.
- On the other hand, a new electoral process may constitute a political risk for sustainability, as changes in priority agendas or replacement of trained technical personnel could occur and the inter-ministerial work achieved could be returned to zero. Although these are externalities outside the control of current actors, it is always considered necessary to consider. In that sense, both the GCF funder and UNDP can play a key role in cushioning some of the changes that could arise.
- Two specific aspects that can influence sustainability are the actions to support the incentive program and the implementation of the management plans that the communities must develop.

### **Financial risks to sustainability**

The biggest challenge and indicator of sustainability and success of the activities, especially for sustainable production supported by the Project, will be once the Project is closed and the budget is over, those beneficiaries who improved with the intervention will continue to operate. Those associations that have taken advantage of the activities that strengthened them will have improved their productivity and sustainable competitiveness, which ensures their continuity. Commercial alliances will be key to have a sustainable demand for products that motivates producers to continue working. About PDOTS, these activities at the Provincial and Cantonal GADs levels will continue and those GADs that took advantage of technical assistance will have adopted the methodology transferred by the consortiums. To the extent that it is approaching the completion of the Project, it would be necessary to allocate a budget to continue those activities that are strategic and have been financed by the Project to ensure their continuity.

According to some interviewees, although the intervention of PROAmazonía has reinforced the incentive program, there is a risk that the SBP does not have enough

financial resources to continue the incentives. This aspect, despite of being beyond the scope of the Project, is considered as an important reflection regarding the need to study and implement alternative financing strategies that will allow continuity and sustainability of conservation agreements and, above all, ensure that distributed incentives are multiplied for the beneficiaries through the improvement of their activities and productive initiatives.

The activities to be developed by the Field Schools are an opportunity for the MAG at the central level to evaluate and update its extension plans and to be more effective in technical assistance at a national level, thus improving productivity and competitiveness to the sustainability of the interventions.

The letters of intent signed with private companies that could be translated into commercial agreements, reduce financial risks especially for the alliance / productive chain.

The Financial Sustainability of Socio Bosque has as one of its priorities, the search for financing that does not come from fiscal sources, in order to ensure the continuity in the implementation of its investment plans in the coming years. PROAmazonía supports the program through the consultancy “Promotion of Financial Sustainability”, whose results should be presented in May 2020.

In support to the Water Funds, the strategy for its financial sustainability is being developed in order to identify new sources of financing for its actions in the areas of intervention. This is done through the “Strengthening for Financial Sustainability” Consulting, whose results are expected to be presented in June 2020.

### **Socio-economic risks to sustainability**

Many of the Project activities, which aim to improve conservation, production and marketing practices, are still being implemented. It is therefore key that the new practices and knowledge are adopted and become a new way of living with the environment in the territory, taking advantage of the practical improvements / techniques of production, collection and marketing and that this knowledge is transferred in a systemic way. It has been observed and commented that indicators of quality effects/results of the training by which the new techniques of production, collection, commercialization, among others, are imparted, must be measured by the PROAmazonía M&E System. This will allow evaluating the contribution at the level of effect and the more positive the indicator, the more evidence there will be a socio-economic sustainability.

Moreover, having a strategy to raise awareness and promote the effects of climate change and the objectives and achievements of the Project will create greater awareness and social appropriation.

### **Institutional framework and governance risks to sustainability**

From the inter-institutional and governmental sustainability perspective, the work developed to date must be reinforced to allow interventions to be sustainable, replicable and scalable. It is also important to take advantage of the coordination and work structure being institutionalized with respect to government priorities, beyond the specific Project. In relation to the central level, the budgetary limitations that have arisen since 2016 for the Ecuadorian state apparatus will affect the continuity of some specialists who have strengthened the work of the Program's partner entities. It would therefore be necessary for the specialists financed by the Project to be included within the Ministries departments.

### **Environmental risks to sustainability**

Each well-managed activity, completed and appropriately, contributes to the achievement of the Project objectives and therefore improves its sustainability in the environmental issue. Good results and good practices will be the best promoters and reflect that the Project's interventions have a double-added value: on the one hand conservation and on the other sustainable production, which will have better economic returns when once the results chain is completed from production, storage and marketing that have traceability. The PROAmazonía team must identify those producers and entrepreneurs who are successful and who can show that the different activities which have been strengthened are sustainable and environmentally friendly.

### **4.7 Country Ownership**

As mentioned in section 4.1, the Project is aligned with the national priorities, the REDD+ AP, five Sustainable Development Goals (SDGs) and with GCF priorities regarding the transition to sustainable low emission development, among others. Likewise, the Project has placed Ecuador on the right track for the fulfillment of global environmental commitments. The associations between PROAmazonía and the Inter-Institutional Committee on Climate Change (ICC) and the REDD+ Worktable are intersectoral spaces led by the Ministry of Environment that were created under the Ministerial Agreement and that allow PROAmazonía to provide support, areas of facilitation, and technical support.

At the PMU level, there is a good degree of commitment and ownership of the Project. At the authorities and Ministry teams' levels, the Project lacks enough ownership. In addition to what has been mentioned in the previous paragraph, this situation is attributable to staff turnover and the lack of dissemination of timely information. At Provincial and Cantonal GADs levels, the need to make a greater impact is identified. In this sense, through the improvement of communication, the different key actors can contribute to a greater appropriation of the Program and consequently improve the sustainability of the interventions. The associations between PROAmazonía and the Inter-Institutional Committee on Climate Change (CICC) and the REDD+ Worktable are intersectoral spaces led by the Ministry of Environment that were created under the Ministerial Agreement and that allow PROAmazonía to provide support, room for facilitation and technical support.

The fact that the Project has the Ministry of Environment (MAE) as the implementing partner and the Ministry of Agriculture and Livestock (MAG) as the responsible party (in the context of the NIM-supported National Implementation Modality part of the UNDP), and also that the project is part of the PROAmazonía program, gives it a national profile and not as an exclusive effort of international cooperation. However, at the provincial level, PROAmazonía is still identified as if it were a UNDP Project only.

In this regard, UNDP should not replace national entities in projects executed at a national level. The implementing partner has full programmatic control and, therefore, entire responsibility and ownership of project activities.

It is pertinent to clarify that the role of UNDP in the support of National Implementation Modality occurs at the request of the Government/ Implementing Partner, that UNDP, in this case through a Project Management Unit, provides administrative and technical services to carry out related activities with the Project Document (PRODOC) and / or the annual work plan (POA), in strict compliance with its procedures, regulations and policies.

In cases where a PMU has been established to carry out tasks that cannot be handled by the existing mechanisms of the implementing partner, UNDP is responsible for the provision of services, including their quality and timeliness, requiring effective mechanisms to facilitate efficiency in management.

#### **4.8 Innovativeness in results areas**

The PROAmazonía program is considered a pioneering and innovative initiative that is in line with the REDD+ AP strategies. It is important to consider that the GCF is a relatively

new fund and is financing the first Forest and Soil Management Project, which could be replicated in other countries.

Through the Project, there was support in the development and approval process of the financing proposal approved by the GCF in the Results-based Payments scheme in relation to the results achieved by the country in 2014. It is expected that it will be accessible to financing for the subsequent years in 2022. The Results-based Payments scheme is seen as an efficient and sustainable practice, since it encourages continued efforts to reduce deforestation.

The project activities have contributed to the development of guidelines for updating PDOT with criteria of climate change, sustainable production and conservation, as well as toolboxes in the Gender and Interculturality approach. Thus, these guides are of national application.

#### **4.9 Unexpected results, both positive and negative**

##### **Positive outcomes**

Among the positive effects, because of the interventions of the Projects, there are Territorial Tables and Planning Tables that foster an articulation between different territorial levels, achieving close relationships between the GADs. In these spaces of dialogue, participants can channel their demands and identify their common problems in relation to sustainable and deforestation-free production, to subsequently seek solutions and determine the actions to be taken.

One of the most important milestones in the PDOT framework was the change of local authorities, which led to the need to approach strategies with the new authorities to guarantee the continuity of the Project progress. There were also approaches with the GADs and District Directorates of the MAG and MAE to achieve an intervention and an appropriation of the local level. The guidelines for the development of the PDOTs that were supported by the PROAmazonía are of official application at a national level.

The program has also motivated the application of the National Consultation Guide (CPLI), which is considered a good practice within the Project, given that it has promoted partners such as Socio Bosque and other actors including GAD Pastaza and the German development agency to International Cooperation (GIZ) to get involved in the application of the guide within processes outside the program.

Finally, the Project has achieved more than 100,000 hectares to be protected through ordinances (FORAGUA), women's worktables of cocoa and coffee, the empowerment of several authorities in planning, deforestation-free production -Premium and Sustainable, CISP and Palm, retake field schools as a work methodology of MAG, updated PDOT Guides, legal timber, new regulations against deforestation, implementation of free and informed prior consultation, among others.

As a result of the Program management, the Ministry of Agriculture has managed to take the issue of free from deforestation and promulgate it in its "Premium and Sustainable" strategy. These guidelines must be taken into the agricultural public policy that is currently under reform.

Thus, it can be noted that PROAmazonía has been a hinge to establish and strengthen the technical work between the two Ministries at both, the central and provincial levels.

#### **Negative outcomes**

During the interviews, it was verified that not all authorities have a good knowledge of the PROAmazonía program, which implies that the promotion/dissemination of the Program was not even or effective in all provinces. Similarly, the lack of communication and visibility of the Program can be described as one of its negative effects.

In some cases, the expansion in the consulting contracting processes and the lack of timely information has caused discomfort in the GADs. However, this situation has been cleared up in territory by the PROAmazonía teams. Another aspect commented by some of the interviewees is that there is an excessive delay in the administrative contracting processes, which have generated some discontent among local actors. In this regard, two prefectural authorities have commented that the hiring and initiation of consortium work has taken longer than originally reported, as well as the delivery of some inputs.

#### **4.10 Replication and Scalability**

Through the M&E System, you can systematize all those good practices that offer an added value and that are being developed and implemented in the geographic focus area of the Project. Subsequently, through the Governance structure, its replication and scalability can be channeled at the Ministries and the national levels. To date, the guidelines for the development of Territorial Planning and Development Plans (PDOT), which are now binding on all GADs, stand out. These include criteria for climate change, conservation and sustainable production, and with respect to land use, it is expected to

guarantee conservation, restoration and sustainable production areas through municipal ordinances. These guides have already been applied and scaled nationwide.

Based on the work and methodology of the field schools (ECAs), the MAG can update its technical assistance approach from a central level and replicate it at a national level to improve its products and effects.

#### 4.11 Gender Equity

The UNDP Gender Equality Strategy<sup>14</sup> 2018-2021, the third such strategy, provides a road map to elevate and integrate gender equality into all aspects of UNDP's work to reduce poverty, build resilience and achieve peace in communities and territories, helping to accelerate progress towards the 2030 Agenda. In particular, the strategy delineates the UNDP commitment to:

- Strengthen UNDP interventions tackling structural changes that accelerate gender equality and women's empowerment;
- Strengthen the integration of gender equality into UNDP's work on the environment, energy and crisis response and recovery;
- Better align UNDP programming with the centrality of gender equality and women's empowerment to the achievement of sustainable development; and
- Build upon institutional mechanisms for gender mainstreaming such as the Gender Equality Seal and the Gender Marker, which provide measurable standards and incentives to drive development progress.

As scheduled in the Fieldwork Agenda (field visits with the strategic partners of the program), in order to assess and understand the progress of the program implementation. The evaluation process of the gender approach, complemented with that of interculturality, considered the following issues:

- PROAmazonía **incorporates a gender approach to governance, environmental incentives and sustainable practices** to reduce deforestation and forest degradation in the program intervention areas under REDD+, in GCF and GEF provinces. The PROAmazonia team has a good gender balance as it is composed by 76 staff members, 55 % male and 45 % female. At the executive level the Project Coordinator is male, and the 4 Component Coordinators are female.

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<sup>14</sup> <https://www.undp.org/content/undp/en/home/librarypage/womens-empowerment/undp-gender-equality-strategy-2018-2021.html>

- **For the GCF Project , the gender approach takes into account** the diversity of the cultural, social and economic realities of the Amazon, for which it has been important to identify specific actions and give creative and tailored resolutions which respond to the needs and interests of women and men in the intervention spaces.
- The Environmental and Social Impact Study for PROAmazonía and Results-based Payments scheme, has as one of its products, the **Gender Action Plan with budgets and specific actions for this work.**
- Within the results of the Program, **one of the main lines towards economic empowerment** is the construction of financial and economic incentives with equal participation in benefits of REDD+: tax incentives, credit lines, public and private acquisitions and financial architecture. These focus on the women's involvement in the economic activities and the sustainability of life (this work is done in C4).
- Regarding policies:
  - **Integrate the gender approach in territorial planning plans (PDOT)**, life plans of indigenous nationalities and public policies integrated into REDD+ and support the processes of land reform policies with a gender perspective.
  - Strengthen REDD+ monitoring systems by **developing a baseline and performance indicators of REDD+ with a gender perspective** that can be incorporated into PDOTs and life plans for indigenous territories.
  - **Generate technical instruments and institutional mechanisms** for women to access sustainable agricultural practices.
  - **Analyze gender gaps related to access to tax incentives and credit lines** to propose gender criteria that improve women's access to this type of financial tools.
- Regarding the effects:
  - It is aimed at guiding towards obtaining the best impact results in the beneficiary population of the Project, based on an individualized **analysis of the effects.**
  - It focuses mainly on the **experience of communities that have been intervened in the change of activity**, from livestock to tourism or to the production of coffee and other crops, thus the roles are affected in favor of inclusion.
  - Analyzes the sustainable production approach, which includes the optimal use of resources, with which the PROAmazonía affects. This allows to continue with livestock, with efficient criteria. Forest wood is used for the construction of houses and handicrafts, with the obligation to replace

what is used (Case Oyacachi), thus showing respect and support for culture, complementing and including the roles of men and women.

- Strengthen cultural issues in the defense of human rights (aspect discussed during training processes, workshops with technicians and communities).

In this context, **the experiences which were evaluated to assess the gender and interculturality approach of the program** and whether it considers cultural, gender social and economic diversity, were the following:

1. **Oyacachi (Antisana)**: FONAG intervention zone with support from PROAMAZONÍA, where the change of activity from livestock to tourism takes place. It should be noted that a “pioneer” mechanism of articulation and advice of a specialized community and hired by merit has been created, which performs the coordination and liaison activities between the FONAG, the assembly and the Cabildo of the community, which has generated a new advisory role directed to influence the decision of the council, formed, only with the vote of men.
2. **Chiguaza (Huamboya Canton)** Mrs. Ernestina Farm – coffee crops grower woman.

From the field work carried out in the communities involved and from the analysis made to the information collected, the following effects have been identified:

Table 13: Table on gender equity

	DESIGN	IMPLEMENTATION	MONITORING	OBSERVATIONS
<b>TRANSVERSALIZATION OF THE GENDER APPROACH</b>	<ul style="list-style-type: none"> <li>▪ It has been identified that the current PDOTs show the absence of gender mainstreaming.</li> <li>▪ For the incorporation of the Agendas' gender equality policies in the PDOTs, emphasis will be placed on the formulation of plans, programs and projects with a gender approach in order to guarantee their incorporation into the execution process.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Based on the strategic diagnosis that the consortiums contracted under the PROAmazonía are developing, the gender approach will be achieved in the new PDOTs.</li> <li>▪ The mainstreaming will include in the strategic objectives the 5 components of the PDOTs, programs and projects, within which the objectives of: autonomy, empowerment, visibility and valuation of women would be promoted. It also contributes to the institutional management model of each of the GADS, at each level of government and in accordance with their competences.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Not having passed to the implementation stage, compliance is not monitored</li> </ul>	<ul style="list-style-type: none"> <li>▪ It is important that it is in the PDOTs that gender mainstreaming is ensured to achieve gender equality and inclusion, so that the Project meets the objectives of change in gender empowerment and equality in a sustainable manner.</li> </ul>
<b>CHANGE OF TRADITIONAL ROLES</b>	<p>The activities within the framework of the PDOTs, formulated with the support of PROAmazonía, include the mainstreaming of the gender approach and are directed, as required by the Project, to readjust the traditional roles, in accordance with the current national and international regulatory framework, based on the national equality of women and LGTBI 2017 2021 agenda and the National Development Plan.</p>	<p>Because the conformation of the 13 GADs have the rural link of women with the environment, through their orchards, which have an adaptation to the continuous effects of climate change, which is being used in terms of policies of REDD+ and climate change.</p>		<p>Although it is observed that the development of the PDOTs has just begun, with the support of PROAMAZONÍA, it is the planning document that initiates the mainstreaming of the gender approach, and that will ensure its application at all stages of the Project to have greater impact, which will make the change proposed by the PROAmazonía, which seeks development with a gender approach, become effective.</p>
<b>POWER OF DECISION</b>		<p>It should be noted that a “pioneer” mechanism of articulation and advice of a specialized community and hired by merit has been created, which</p>		<p>This new inclusive modality of the female gender in tourism activities in Oyacachi, will allow to generate the change in the</p>

	DESIGN	IMPLEMENTATION	MONITORING	OBSERVATIONS
		performs the coordination and liaison activities between the FONAG, the assembly and the Cabildo of the community, which has generated a new advisory role directed directly to influence the decision of the council, formed, only with the vote of men.		roles of the community, where it will influence the decision-making process of women.
<b>TRAINING</b>		While participation is promoted equally. At present there is still greater participation of men, especially due to the lack of time of women in the care of the house and children. It has also been identified that the program has not managed to properly organize the training schedules, aimed at having greater participation and continuity in them, both in the case of assistance and use of women and men, to achieve efficiency and quality in training.		There is participation of women and men in tourism activities that are carried out in Oyacachi, but they still need to be properly programmed, so that there is greater participation of men and women and that continuity in participation is also achieved for their greater use.

## 5. Conclusions and Recommendations

### 5.1 Conclusions

#### **Project Strategy**

##### Project Design

The Project, in its conceptual design, is consistent with the objectives of the GCF and GEF. It is a catalytic Project of the strategy of the Government of Ecuador and the international commitments of the country. From its design, it has the challenge of establishing an inter-ministerial work at the governance and the technical level of the program, supported by a PMU that implements the technical and fiduciary processes efficiently.

The role of UNDP has been important under the NIM-supported implementation modality, by providing execution support at the request of the Implementing Partner, which is the Ministry of Environment. The NIM execution modality in charge of the Government would have been particularly affected by the continuous changes in the political leadership, which could have affected the fluidity in the execution of the Program. The support in the implementation from the UNDP, for example, in procurement processes, contributes to a better financial management and execution of the Project, even more considering that the GCF budget is well above the average of the Projects managed by the UNDP-Ecuador portfolio.

Empowerment of the objectives and vision of the Program by the Ministries and local governments is needed to replicate the results of the program. For this, a greater articulation between the activities of the program and the work that the Ministries carry out is required, to ensure the key actors involved work more in coordination to improve the economic, environmental and social sustainability of the country.

Whoever worked on the design of the organizational structure of the PROAmazonía team did it with a centralized structure. At the provincial level, although PROAmazonía teams have been established, they lack the authority level and are fragmented and isolated, with each technician responding to the Coordination of Components in Quito. This structure weakens the comprehensive approach that the program should have.

##### Results framework

In some of the indicators, the lack of greater precision is identified, such as the transition to sustainable production systems, landscape degradation, restoration with few

resources, sustainable forest management, and high conservation value, since they are new topics for both ministries and for the GADs.

Regarding Component 3, the numbers of some goals do not match between the PRODOC and the FAA document signed between UNDP and the GCF. However, it has been updated. On the other hand, a not very realistic goal has been identified, in relation to the 140,000 ha of SFM, since the MAE has an institutional goal of 100,000 ha by 2025.

In the indicators on Capacity Building, the indicators are limited as they are only quantitative. In this sense, neither quality nor effect criteria are included, if the activities will be of quality and someone will measure the effects of the training.

### **Relevance**

The Project is completely aligned with national policies and laws, with the strategic priorities of donors and with the specific needs of the intervention area. It is of interest the non-duplication and complementarity of Project activities with other related projects, executed by the MAE, especially those related to climate change adaptation measures.

In short, one of the strengths and challenges of this Program is the integration between the Ministry of Environment and the Ministry of Agriculture. The decision to combine them in the management of the Program represents a unique opportunity for the country to address the issues of conservation and sustainable production in a strategic and coordinated manner between both sectors.

### **Effectiveness and Efficiency**

Project management has been increasing, which is very positive, considering the time required to establish the Program Management Unit, added to the time required for the definition and implementation of the governance mechanisms. According to all the means of verification reviewed and the official reports to the donor, at the time of the Interim Evaluation, the percentage of total physical progress of the program reaches around 40% and a budgetary execution of approximately 31%. Regarding the budgetary execution of the year 2019, a **96%** financial progress has been achieved, between execution and commitments until December 31, 2019 (this percentage does not reflect the last disbursement made from the FAO under the interagency agreement).

It is evident that the processes for the elaboration and approval of the activities do not respond to what was agreed and described in the “Manual of Processes, Governance and Implementation” of the Program. Although the Ministries have a wide portfolio of

international cooperation projects where political risks are unavoidable, changes in authorities have been the determining factor for processes to slow down, affecting the efficiency of the management role of the PMU of PROAmazonía.

Most of the targets set under Component 2, are on a very slow track to being achieved, on the one hand because there are processes that depend on external entities/stakeholders, and on the other hand, the Ministry's authorities have not given a high priority to promote the coordination and implementation of existing tax incentives and new green credit lines which will allow for the transition to sustainable production systems.

## **Progress Towards Results**

### **Component 1**

This component currently has an intermediate progress in terms of progress towards the expected products and results. Workplans were generated with the institutions to be able to advance in the implementation of the activities.

### **Component 2**

This component has not had much progress since the beginning of the Project, given the complexity of the component and the lack of compliance with the APTA operating manual. In this regard, the PROAmazonía team has prepared a proposal for acceleration and quality improvement in the execution of the component, in June 2019, to be able to make progress in its implementation, which includes greater support and technical assistance, directed to make commitments to stop deforestation.

As there have been several studies, like the comprehensive diagnosis (DIO), associations organizational assessments, data from evaluation studies related to coffee supply, and market opportunities for sustainable and deforestation-free coffee and cocoa were, as well as a data collection consultancy process of palm oil farms. Besides, a consulting process to define criteria for sustainable and deforestation-free production is currently under process. All these inputs should contribute to define baseline data for component 2.

### **Component 3:**

Component 3 has shown obvious achievements and has considerable progress in terms of most of its indicators and expected results. Although some indicators were not clear

enough and in turn are not applicable to the current context, they were adjusted to be able to gather the information from PROAmazonía.

#### **Component 4:**

The progress of this component has been positive, and progress has been made with most of the expected results and objectives. This is partly because the proposed activities are a priority for the Under-secretariat of Climate Change, within the framework of the country's commitments to the UNFCCC and REDD+. Despite the delays at the beginning of the implementation of the activities, the progress of the indicators is in line with what was planned.

### **Project Implementation and Adaptive Management**

#### Management Arrangements

The time invested in establishing a PMU that due to the size of the Unit has demanded more time than the average required in other Projects.

#### Work planning

The Project has a delay of months in its implementation, which was partly due to the creation/establishment of the PROAmazonía team, since several dozen technicians and administrative staff were hired as part of the design of the organizational structure. The program has a good adaptability in its work planning and delivery processes. For example, the need to form field schools for small and medium producers of commodities/products has been identified, in order to strengthen their technical and commercial capacities, instead of delivering non-monetary incentives (shovels, fruit trees, etc.). Investing in education is more beneficial in the long term, since strengthening their capacities fosters a sense of ownership and empowerment and encourages local people to act on their own problems and future development.

Due to delays caused especially in the start of the program and regardless of the actual capacity of the Program to deliver technically and financially, as mentioned in page 17, in the middle of the following year, it would be advisable to analyze the possible need for extension and to proceed to the formal application process to the donors.

#### Finance and co-finance

The evaluation team observed an intermediate level of progress in relation to the financial management of the Project. According to the latest progress report, in the month 30/60 (50% implementation), the Project has executed US\$ 12,939,253 / US\$ 41,172,739, that

is, 31% of its budget up to the time of the Interim Evaluation. The 2019 management performance has achieved the best progress since the beginning of the Project.

#### Consistency in the delivery of climate financing with other multilateral entities

Despite the difficulties in achieving coherence and complementarity with the work of the local stakeholders and which in turn be REDD+ implementers, it has been possible to complement actions to implement activities for common purposes. Likewise, it is possible to work with other cooperation such as the German development agency for International Cooperation (GIZ), to complement the progress of the expected results.

#### Project-level monitoring and evaluation systems

The design of a robust M&E system should map all the key actors of the Project to define the communication channels that make effective the dissemination and use of information at all levels of the Project. The key role played by the M&E system can contribute to ensure a better performance to ensure that the outputs and outcomes set in the PRODOC are attained. The results framework evidence that most of the targets by component are on the way to be achieved. Once the component objectives are achieved as a result of the aggregation of outputs and outcomes following the results chain approach, the chances to attain the Project goal/project objective are high.

The multi-institutional strategic planning exercise is the starting point to clearly define the critical path for each activity and what targets are intended to be achieved with their scope, at what cost, within what timeline and how quality is going to be measured. The same approach for the strategic planning must be put into practice for the regular monitoring and evaluation during implementation. Accountability cannot only be placed within PROAmazonía team.

#### Stakeholder engagement

The program has a strategy of involvement of actors in implementation, as well as its results to date, which include: The REDD+ Worktable, the strengthening of the Interinstitutional Committee on Climate Change, territorial platforms, commodity platforms and other processes to promote the effective articulation of relevant actors in the implementation of both PROAmazonía and the REDD+ AP at the national level.

There has been strong support from the regional office on issues of involvement in international networks, as well as in political management during visits to Ecuador, which has motivated the involvement of the MAG in the dissemination of Ecuador's achievements regarding deforestation, and its relationship with sustainable production.

### Reporting

The Project submits semiannual reports to UNDP-Ecuador and annual progress reports to the Green Climate Fund, as well as annual Management reports to the Board of Directors. These reports are approved by the Project Board of Directors. The dissemination of information is a fundamental aspect, not only to achieve ownership of the Project and integration of the different actors, but also to maintain transparency in the implementation processes.

### Communications

Communication is not fluid and there is no continuous dissemination at all levels. There has been no evidence of timely delivery of semi-annual or annual progress reports to all the key actors involved in the program, which would allow for the improvement of the promotion of activities and the appropriation of the program, among other aspects.

PROAmazonía has a communication strategy that has not been fully implemented and must be strengthened and supported by the Ministries for an effective implementation.

### **Sustainability**

The level of sustainability that has been identified is intermediate, since Ecuador is in a difficult economic situation, implementing a fiscal adjustment plan to reduce the public deficit. Given this situation, it is important to ensure public-private partnerships or international cooperation. Likewise, political and social risks are identified, since each political authority has its own vision, objectives and priorities, which can affect the continuity of the results of the program and its beneficiaries (in terms of changing strategies, lack of political will, and redistribution of human and financial resources). At the Ministries level, a total empowerment of the program is not identified, which represents a high risk for the results and vision of the program to be sustained in the short, medium and long term. However, by identifying the delay in the execution of the Program and the lack of scope of results, especially in Component 2, the Ministry of Environment elevated the National Directorate of GEF Project to a higher hierarchical level of a Deputy Secretary for the issuance of guidelines to the PMU based on national policy, showing interest and empowerment over PROAmazonía. More work is needed in this line to enable both Ministries to appropriate the work of the program and the Inter-ministerial roundtables go beyond the life of the Program.

### **Country Ownership**

At the PMU level, there is a good degree of commitment and ownership of the Project. At the authorities and Ministry teams' levels, the appropriation of the Project activities

corresponds to an intermediate level. In addition to what has been mentioned in the previous paragraph, this situation is attributable to staff turnover and the lack of dissemination of timely information. At Provincial and Cantonal GADs levels, the need to make a greater impact is identified. In this sense, through the improvement of communication, the different key actors can contribute to a greater appropriation of the Program and consequently improve the sustainability of the interventions. The associations between PROAmazonía and the Interinstitutional Committee on Climate Change (CICC) and the REDD+ Worktable are intersectoral spaces led by the Ministry of Environment that were created under the Ministerial Agreement and that allow PROAmazonía to provide support, room for facilitation and technical support.

The fact that the Project has the Ministry of Environment (MAE) as the implementing partner and the Ministry of Agriculture and Livestock (MAG) as the responsible party (in the context of the NIM-supported National Implementation Modality part of the UNDP), and also that the project is part of the PROAmazonía program, gives it a national profile and not as an exclusive effort of international cooperation. However, at the provincial level, PROAmazonía is still identified as if it were a UNDP Project only.

In this regard, UNDP should not replace national entities in projects executed at a national level. The implementing partner has full programmatic control and, therefore, entire responsibility and ownership of project activities.

It is pertinent to clarify that the role of UNDP in the support of National Implementation Modality occurs at the request of the Government/ Implementing Partner, that UNDP, in this case through a Project Management Unit, provides administrative and technical services to carry out related activities with the Project Document (PRODOC) and / or the annual work plan (POA), in strict compliance with its procedures, regulations and policies.

In cases where a PMU has been established to carry out tasks that cannot be handled by the existing mechanisms of the implementing partner, UNDP is responsible for the provision of services, including their quality and timeliness, requiring effective mechanisms to facilitate efficiency in management.

### **Innovativeness in results areas**

The PROAmazonía program is considered a pioneering and innovative initiative that is in line with the REDD+ AP strategies. It is important to consider that the GCF is a relatively new fund and is financing the first Forest and Soil Management Project, which could be replicated in other countries.

### **Unexpected results, both positive and negative**

The Project team has demonstrated great skills to adapt to a changing landscape - especially considering a constant designation of new authorities - in order to give continuity to the work plans, while minimizing the effects of the changes. In this sense, a clear example is reflected at the provincial and cantonal level, where in the preparation framework of the Development and Territorial Planning Plans (PDOT), the change of local authorities generated the need to carry out strategies to approach new authorities and to guarantee the continuity of the Project activities. This was accomplished through approaches to the GADs and the District Offices of the MAG and MAE to achieve a more local intervention. Similarly, the change of authorities has affected the normality of the processes at the central level, consequently the PROAmazonía team, supported by UNDP, was forced to devote more time and efforts to administrative issues in order to comply with the schedule.

As a result of the analysis of the minutes of the Management Committees in 2019, it can be identified that greater emphasis was placed on administrative issues, such as adjustments and approvals of acquisition plans and changes in the POA. Therefore, it is important to recommend that this instance should be used for strategic decisions. Likewise, it is necessary that the authorities attend personally, avoiding sending delegations or representatives, since they are the ones who must make the decisions. In order to achieve the participation of the corresponding authorities it is recommended that the PMU presents the agenda of the meetings in advance, given that it was mentioned that it is currently presented two days in advance.

### **Gender Equity**

From the preparatory phase of the REDD+, Ecuador considered it important to incorporate the gender approach in the Project. A relevant action was the implementation of a Gender Diagnosis, which resulted in the construction of the Gender Action Plan articulated to the REDD+ AP that included the guidelines for the implementation of REDD+ actions with the gender approach. From the GCF, this has been the main entry for mainstreaming work. However, this has involved certain challenges for the work of PROAmazonía, considering the diversity of the cultural, social and economic realities of the Amazon, so it has been important to program specific actions and give creative responses to the needs and interests of women in the intervention areas.

In this sense, the Environmental and Social Impact Study for PROAmazonía and the Results-Based Payments, includes as one of its products the Gender Action Plan with budgets and specific actions for this work.

In the Program results framework, one of the main lines towards economic empowerment is the construction of financial and economic incentives with equal participation in REDD+ benefits: tax incentives, credit lines, public and private acquisitions and financial architecture, which focus on the work of Feminist Economy and the sustainability of life (this work is done in C4).

## 5.2 Recommendations

<p><b>Component 1 &amp; Component 2</b></p> <p><b>Finding 1:</b> The Project has little progress in achieving results associated to the development of information systems that are vital to establish the function of space monitoring on farms, related to the work done by Component 2. For forest coverage monitoring there are National Official Systems of the Ministry of Environment; however, these are not ideal for monitoring small territorial units such as farms. In this sense, the Program in the year 2019 developed a strategy of spatial monitoring that allows forest coverage monitoring in the intervened farms and evidencing the non-expansion of the agricultural frontier. The information that is generated and disseminated with this system is essential to comply with the schemes aimed at granting green financing. It is intended that this system allows the evaluation, approval of the credits and monitoring of the farms to be efficient and carried out in a virtual way, supported by a platform.</p>	
<p><b>Recommendation 1</b></p> <p>Implement the strategy of spatial monitoring of Forests in Farms that ensure access to interactive information (component 1 &amp; 2) that has the following characteristics:</p> <p>a) Collect, transfer, consolidate, easily support and analyze spatial and non-spatial data to facilitate monitoring of the progress and impacts of Project activities on farms.</p> <p>b) Track and transparently demonstrate progress in relation to performance milestones at the level of each beneficiary / producer.</p> <p>c) Enable and facilitate the exchange of data between interested parties (for example, for the collection and verification of data by financial institutions).</p>	<p><b>Responsible Entity</b></p> <p>Coordination of components 1 and 2 M&amp;E Specialist Project manager UNDP Office in coordination with the PROAmazonía team</p>
<p><b>Component 2</b></p> <p><b>Finding 2:</b> Through different activities, attempts have been made to agree and approve an official definition of Sustainable Production and deforestation-free, but this objective so far has not been achieved. There is currently an ongoing consultancy to be completed in April 2020 and should provide the necessary inputs that support the analysis, which should allow the definition to be considered for final approval by the Authorities.</p>	
<p><b>Recommendation 2</b></p> <p>It is imperative to have an official definition of Sustainable Production and deforestation-free for the commodities that PROAmazonía works with (coffee,</p>	<p><b>Responsible Entity</b></p> <p>Management Committee (MAE and MAG ministries) Project Board Ministers</p>

cocoa, palm oil, and livestock) approved by the Ministerial authorities.	
<p><b>Component 2</b>  <b>Finding 3:</b> To date, the Republic of Ecuador does not have an official traceability norm that facilitates access to markets that require having and complying with these regulations.  With respect to the livestock sector, there is an official national traceability policy promulgated and executed by the Ministry of Agriculture and Livestock through AGROCALIDAD established in Resolution No. 033 of March 25, 2015.</p>	
<b>Recommendation 3</b>	<b>Responsible Entity</b>
<p>Prepare the regulations on traceability associated to commodities supported by PROAmazonía.  For the livestock issue, it is necessary to implement traceability in the Amazon in commodities prioritized by PROAmazonía within the framework of current regulations. Additionally, it is necessary to strengthen the livestock traceability policy by hiring a legal expert to analyze the existing policy and regulations.</p>	<p>Coordination of Component 2  Management  Management Committee  UNDP in coordination with the PROAmazonía team  Ministerial Authority</p>
<p><b>Component 2</b>  <b>Finding 4:</b> The central and regional office teams of MAG and ATPA see that through the Field Schools they could update and improve their knowledge, and in practice it will enable them to be more efficient and effective. Their current Technical Assistance approach has room for improvement.</p>	
<b>Recommendation 4</b>	<b>Responsible Entity</b>
<p>Through the methodology of Farmers Field Schools working with collection centers and associations, MAG has an opportunity to update its approach to Technical Assistance at the national level to become more efficient and effective.</p>	<p>Coordination Component 2  Provincial Teams  Hired Companies  Contracted Institutions (CATIE, IICA, others)  PROAmazonía  UNDP  MAG authorities  MAG departments (central and provincial)</p>
<p><b>Component 3</b>  <b>Finding 5:</b> Water Funds have excellent results associated with river basin conservation and have the potential to contribute to other initiatives.</p>	
<b>Recommendation 5</b>	<b>Responsible Entity</b>
<p>The Water Funds, as part of the financial sustainability strategy, should replicate the practice carried out by FORAGUA to extend the scope to environmental services and not only consider water resources.</p>	<p>Coordination of component 3</p>
<p><b>Component 4</b>  <b>Finding 6:</b> At the time of the Interim Evaluation there is no systematic information on the inclusion of the gender approach in all PROAmazonía activities.</p>	
<b>Recommendation 6</b>	<b>Responsible Entity</b>
<p>Integrate the gender database, with the information collected in the interventions, would allow the evaluation of the participation of men and women, to achieve a systematic and concurrent monitoring of the results. Generate mechanisms that deepen the roles</p>	<p>Coordination of component 4  Management</p>

for inclusion and achieve incidence of women in activities carried out within the framework of PROAmazonía. It is important to socialize the studies and analysis that have been carried out with UN Women and mainstream gender in the technical areas of MAG.	
<b>Component 4</b>	
<b>Finding 7:</b> During the Interim Evaluation field visits, it was observed that the strengthening activities do not have a criterion or requirement from the service providers within the training activities to formally deliver the training instruments. It is also evident that there are only quantitative indicators, and, in some cases, knowledge is measured at the start and end of training, but there are no qualitative or effect indicators that can be measured systemically.	
<b>Recommendation 7</b>	<b>Responsible Entity</b>
Review and update the Capacity Building strategy, where the delivery of all training materials to the partners and beneficiaries of the Project is formally included and in the same way it is possible to define qualitative and effective indicators that are part of the M&E System of PROAmazonía.	Coordination of component 4
<b>Component 4</b>	
<b>Finding 8:</b> Through the interviews and meetings in, it has been possible to identify areas where there is not only space but the need to improve and have a communication / socialization strategy for PROAmazonía, which makes visible the objectives and results of the Program and that help in the appropriation and sustainability of program achievements. Similarly, during the interview with the Under Secretariat of Climate Change, the need and urgency to design and implement this strategy was expressed	
<b>Recommendation 8</b>	<b>Responsible Entity</b>
The PROAmazonía team, together with the MAE and the MAG, must develop and implement a much more effective communication strategy to make visible the objectives and results that have been obtained and will be obtained. The PMU together with the MAE and the MAG must prepare a communication strategy to socialize the objectives and results of the Program through different means. Mainly, they should prepare and plan the content and information that would be disseminated to the different audiences. The PROAmazonía Program is an opportunity to position the country as a leader in conservation, restoration and mitigation and it can also be in sustainable production without deforestation.	Communication Specialist of PROAmazonía MAE and MAG Communication Teams Project manager Project Board

### Cross-cutting operational and management recommendations

<b>Finding 9:</b> Field technical teams do not always work in an articulated manner and with coordination among components.	
<b>Recommendation 9</b>	<b>Responsible Entity</b>
PROAmazonía must review and adjust the structure of its provincial teams including the position of Technical Coordination for each region (North Central and South), who will play a key role in coordinating,	Project manager Coordinators UNDP in coordination with PROAmazonía team

<p>promoting, positioning and integrating the different activities of the Project at the Provincial level.</p>	
<p><b>Finding 10:</b> Some PROAmazonía actions could lose sustainability over time if they are not anchored with financial access that goes beyond the life of the Project.</p>	
<p><b>Recommendation 10</b></p>	<p><b>Responsible Entity</b></p>
<p>It is recommended that the PMU initiate a process with a clear critical path to achieve financial sustainability towards the 5th disbursement, which is conditioned under clause 8 of the financing agreement for the activities<sup>15</sup>, where the Accredited Entity is required to present a Financial sustainability strategy to ensure sustainable financing sources for component 2 and 3 before the 5th disbursement.</p>	<p>Manager Component Coordinators</p>
<p><b>Finding 11:</b> The current execution of activities and processes is governed by a manual that is not being fully complied with in terms of management processes and decision-making timeframes. In addition, the actions of the Ministries are more associated to administrative issues than strategic issues. There is a lot of delay in the execution of contracts, which also generates delays in financial execution.</p>	
<p><b>Recommendation 11</b></p>	<p><b>Responsible Entity</b></p>
<p>UNDP SOPs implementation replacing the operational processes section of the Program Process Manual. This will also give agility to the implementation and will allow to take better advantage of the technical capabilities of the Project Management Unit and strengthen the strategic role of the Ministries as Implementing Partners. Therefore, it is recommended that national entities empower the PMU to strengthen operational efficiency.</p>	<p>PROAmazonía UNDP PMU Ministerial Teams</p>
<p><b>Finding 12:</b> The project has a high number of transactions that were not contemplated in the design of the project due to the existence of multiple contracts, as well as adjustments to these contracts (amendments). The national and regional UNDP teams have shown a lot of potential to provide technical assistance and currently do not have a specific budget for the rest of the project.</p>	
<p><b>Recommendation 12</b></p>	<p><b>Responsible Entity</b></p>
<p>Review the level of transactions that the Program has carried out now and develop projections until the closing of the Project to update the assigned CPD. Also analyze the technical assistance budget that can be provided by the UNDP-Ecuador and Regional office according to the needs identified by the Project.</p>	<p>Country Office UNDP Regional Office Project Management Unit</p>
<p><b>Finding 13:</b> Multiple reports are presented to the Ministries, UNDP and donors, but there is no strategy that can reach the broader audience and key actors.</p>	
<p><b>Recommendation 13</b></p>	<p><b>Responsible Entity</b></p>
<p>The management of a Program must be results-oriented and must be supported by robust strategic planning (well-defined critical path) and by a results-oriented M&amp;E. The robust PROAmazonía M&amp;E</p>	<p>M&amp;E Specialist Manager</p>

<sup>15</sup> FAA\_Grant\_GCF-UNDP\_Ecuador\_FP019\_20170519.pdf

System must review and adjust its information dissemination processes to different audiences.	
<b>Finding 14:</b> The entire evaluation process involves a set of adjustments that must be agreed, planned and assessed in their compliance to have the evidence that the recommendations that were applied.	
<b>Recommendation 14</b>	<b>Responsible Entity</b>
As well as a Project Inception Workshop has been carried out, an Interim Evaluation adjustment workshop should be planned and facilitated by an external consultant to define the main changes that will be implemented in the second stage of Project implementation, based on the recommendations of the Interim Evaluation and whose result would serve as an instrument for improvement in the results-based management, roles and responsibilities of the main partners MAE, MAG, changes in the structure of the PROAmazonía team at the provincial level, the application of SOPs, development and implementation of a communication strategy, among others.	Component Coordinators M &E Specialist UNDP Manager Authorities and Ministerial Teams

**Lessons learned**

- Commitment and political will are key to the success of a Program with the characteristics of PROAmazonía, especially to consider and give continuity to inter-institutional agreements.
- When designing an organizational structure for a Program such as PROAmazonía, it is necessary to decentralize it in a more strategic way.
- Stakeholders must be informed by different means about the objectives and results that are being accomplished in a more effective way, for which they must have a communication and information dissemination strategy. Autonomous entities must be involved from the beginning in order to reach greater ownership that contributes to the achievement of the expected results.
- When working with associations and communities, clear rules of participation and involvement of a critical mass must be established where gender-based participation is promoted.
- Having a comprehensive Information Collection System does not guarantee that the M&E function is effective. Every good M&E System must have a clear two-way route for the dissemination of information.
- Every project start has a learning curve, which can be better exploited if the management is results-based oriented and if the information is shared in a timely manner.

- The Inception Workshop is a good practice to start making the Program visible, but there is the risk of being isolated if it is not part of a program promotion/visibility strategy.
- All training activity is always well received, better if it is part of a strengthening plan, and must have not only quantitative indicators but also qualitative indicators. It is also necessary to include one or more indicators to assess what effects / results they generate.
- The dissemination of timely information to the counterparts of each partner institution is key to strengthening the commitment and ownership of each Project.
- Awareness and promotion materials must be tailored to the audience (participants with different levels of education, languages, etc.).
- Establish the Thematic Worktables between managers of technical / academic-associative entities, private sector can improve the sustainability of interventions and facilitate their replication / escalation.

## 6. Annexes

### 6.1 MTR ToR

#### 1. INTRODUCTION

This document constitutes the Terms of Reference (ToR) for the Midterm Review (MTR) that will be undertaken in 2019/2020 for two inter-related projects:

1. The full-sized GEF project titled *Sustainable Development of the Ecuadorian Amazon: integrated management of multiple use landscapes and high value conservation forests* (PIMS #5606) and;
2. The GCF funded project *Priming Financial and Land Use Planning Instruments to Reduce Emissions from Deforestation* (PIMS #5768)

Together, these projects make up the PROAmazonía Programme, implemented through the Ministry of Agriculture and Livestock for the GEF project and the Ministry of Environment for the GCF project.

The projects started on the Project Documents signature date 23/05/2017 for both GEF and GCF and both projects are now in their third year of implementation. In accordance with the UNDP-GEF Guidance on MTRs, the MTR process must be completed before the submission of the third Project Implementation Report (PIR). As defined in the FAA signed between UNDP and GCF, the Interim Independent Evaluation Report must be submitted in English within nine (9) months after Year two (2) from the Effective Date (22/05/2017). For the GEF project, the MTR process must follow the guidance outlined in the document *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF- Financed Projects* and the *UNDP Handbook on Planning, Monitoring and Evaluating for Development Results*, Chapter 7, pg. 171<sup>16</sup>. The GCF has not released official guidance on the MTR.

#### 2. PROJECT BACKGROUND INFORMATION

The PROAmazonía Programme is a five-year collaborative initiative funded by the GEF and GCF to transform the agriculture and forestry sectors in the Amazon region to more sustainable management and production practices, in order to reduce GHG emissions from deforestation, forest degradation, and to protect and enhance carbon sinks in forested areas. It is an inclusive, cross-sectoral and multi-stakeholder initiative seeking a just transition to sustainable land-use practices to significantly reduce deforestation and restore degraded ecosystems, improve the livelihoods of some of the most impoverished communities in Ecuador, and establish viable economic markets for sustainably produced, deforestation- free products.

PROAmazonía is unique among UNDP projects as it is co-funded by both the GCF and GEF and is delivered under NIM modality in collaboration with the Ministry of Environment and the Ministry of Agriculture. This adds to the complexity of the review process as it is the first MTR of this kind to be completed. Therefore, this MTR will serve as a reference for future evaluations where there

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<sup>16</sup>[http://web.undp.org/evaluation/documents/guidance/GEF/mid-term/Guidance\\_Midterm%20Review%20\\_EN\\_2014.pdf](http://web.undp.org/evaluation/documents/guidance/GEF/mid-term/Guidance_Midterm%20Review%20_EN_2014.pdf)

are multiple donors, and it is expected that the consultants will provide advice regarding the implementation of a Program that involves two Ministries.

**Table 1: PROAmazonía Programme/Country general information**

Country/Facilitating Agency	Contract Modality	National Authority/ Implementing Partner	Date of PRODOC cover page signature	Date of Project Implementation Start	Budget
GEF	National Implementation Modality (NIM) with UNDP Support	Ministry of Agriculture and Livestock	23/05/2017	01/06/2017	USD 12,462,550
GCF	National Implementation Modality (NIM) with UNDP Support	Ministry of Environment	23/05/2017	22/05/2017	USD 41,172,739

**The GEF project - Sustainable Development of the Ecuadorian Amazon: integrated management of multiple use landscapes and high value conservation forests (PIMS #5606)**

Background: Ecuador has an extraordinary biological richness that makes it one of the 17 megadiverse countries in the world. The Amazon region (also known as the Special Amazonian Territorial Circumscription - CTEA from its Spanish initials) represents 116,588 km<sup>2</sup> and is the intervention area of the project. Ecuador has undertaken significant institutional changes in recent years, from a new political constitution including the rights of nature to decentralization of development and land-use planning. This provides an opportunity to manage the CTEA through an effective decentralized system. The government proposes a change in the country's production matrix that involves simultaneous and progressive changes of the current production models moving towards a diversified economy guided by knowledge and innovation.

The objective of the GEF project is to catalyze the transformation of land use planning and management in the Amazon by building a governance and sustainable production framework based on a landscape approach and optimizing ecosystem services and livelihoods. The project has been structured into four outcomes:

- 1) Strengthened multi-level governance framework for sustainable management and production in multiple use landscapes (MUL) and high value conservation forests (HVCF) in the CTEA;
- 2) Access to markets, credit and incentives for sustainable production of the main products in multiple use and high conservation value landscapes of the CTEA;

3) Landscape level implementation of sustainable practices in commercial production and livelihoods systems, aligned with the conservation and restoration of HVCF;

4) Dissemination of lessons learned, monitoring & evaluation.

To achieve the stated objective, the project will develop an enabling framework for an integrated approach to sustainable management and production in MULs of the CTEA. This will be done through mainstreaming of the landscape approach at different government levels; capacity building for multi-level coordination; mainstreaming of the landscape approach and environmental sustainability criteria in land use planning and development; strengthening local enforcement of regulations; and knowledge management to support sustainable production and landscape management. This will create the conditions for undertaking interventions at the landscape level and promoting replication, ensuring that the future expansion of production does not compromise biodiversity and ecosystem function and contributes to the establishment of deforestation free supply chains.

**Table 2: GEF Project Components and Outcomes**

Component	Outcome
<p><b>Component 1.</b> Strengthened multi-level governance framework for sustainable management and production in multiple use landscapes (MUL) and high value conservation forests (HVCF) in the CTEA</p>	<p><b>Output 1.1:</b> National multi-sectorial coordination and policy strengthened to support sustainable production in MULs.</p> <p><b>Output 1.2:</b> Decentralized institutional structures strengthened for management and surveillance of sustainable production in MULs.</p> <p><b>Output 1.3:</b> Land-use planning strengthened with multi-sectorial dialogue and decision-making mechanisms.</p> <p><b>Output 1.4:</b> Local surveillance and monitoring systems.</p> <p><b>Output 1.5:</b> Knowledge management program for sustainable production and landscape management.</p>
<p><b>Component 2.</b> Access to markets, credit and incentives for sustainable production of the main products in multiple use and high conservation value landscapes of the CTEA</p>	<p><b>Output 2.1:</b> Regional Platforms for Sustainable Supply Chains of coffee, cocoa, oil palm and livestock in northern and southern Amazon for multi-stakeholder dialogue and consensus and connecting buyers of sustainable products with producer.</p> <p><b>Output 2.2:</b> Regional Action Plans for Sustainable Supply Chains coffee, cocoa, oil palm and livestock to access markets for deforestation free products.</p> <p><b>Output 2.3:</b> Market access for wood, non-wood, and biodiversity products in central and southern Amazon.</p> <p><b>Output 2.4:</b> Incentives strengthened for SFM and SLM.</p>

	<b>Output 2.5:</b> Strengthened credit systems for deforestation free production in HCVFs.
<b>Component 3.</b>  Landscape level implementation of sustainable practices in commercial production and livelihoods systems, aligned with the conservation and restoration of HVCF	<p><b>Output 3.1:</b> Sustainable production and environment-friendly practices in coffee and oil palm to improve connectivity in MUL and HCVFs and complementary livelihood options in the northern Amazon landscape.</p> <p><b>Output 3.2:</b> Sustainable use of biodiversity including NTFPs in the central Amazon landscape, sustainable forest management in the central Amazon portion of the Kutuku Shaimi Reserve and complementary livelihood options.</p> <p><b>Output 3.3:</b> Sustainable livestock and environment-friendly practices to improve connectivity and restore degraded lands in MUL and HCVFs in the southern Amazon and sustainable forest and NTFP management in the Kutuku Shaimi Protective Forest</p> <p><b>Output 3.4:</b> Producers-support systems for upscaling at watershed level</p>
<b>Component 4.</b>  Dissemination of lessons learned, monitoring & evaluation	<p><b>Output 4.1:</b> Project M&amp;E system operational and generating periodic reports</p> <p><b>Output 4.2:</b> Mid-term review and final evaluation completed</p> <p><b>Output 4.3:</b> Knowledge products, best practices and lessons learned published and disseminated.</p>

**The GCF project *Priming Financial and Land Use Planning Instruments to Reduce Emissions from Deforestation* (PIMS #5768)**

The project will implement the priority policies and measures identified in Ecuador’s REDD+ Action Plan. This REDD+ AP will contribute to reduce emissions from the land use, land use change and forestry (LULUCF) sector, which represents 30% of GHG emissions of the country. More specifically, it will contribute to achieve the objectives of the government which are: 1) a reduction in gross emissions by at least 20% by 2025 compared to Forest Reference Emission Levels (FREL) 2000-2008; 2) reforestation of 210,000 hectares of cleared land; 3) maintain climate regulation services (carbon) and others such as water regulation and associated biodiversity. Through the present project, the GCF provides approximately 26% of the budget requested for the implementation of the REDD+AP from 2016-2025. This Action Plan presents the policies and measures prioritized to address the drivers of deforestation. It has national scope and includes the 5 eligible REDD+ activities.

The project forms a sub-set of this Action Plan, and will co-finance it through 4 components:

1. Investinenablingpoliciestoreducethedriversondeforestationandtheirassociatedemissions. More specifically, it will support the coordination of initiatives to mainstream climate change and REDD+ in national public policies, and in the main instruments of land-use planning undertaken by local governments and communities, indigenous peoples and nationalities.

2. Implement financial and economic incentives in non-forest areas to control agricultural expansion into forest areas and support the transition to sustainable “deforestation-free” agricultural production systems. It will do so by optimizing existing financial, economic, and market mechanisms, credit lines and tax incentives to implement agricultural and livestock production practices that reduce deforestation, and by strengthening purchasing policies for deforestation-free commodities, their certification and traceability.
3. Implement financial and non-financial mechanisms for restoration, conservation and connectivity.
4. Implement instruments related to the UNFCCC Warsaw Framework, such as the NFMS and the SIS, and operationalize the financial architecture of the REDD+AP to receive and channel future results-based payments.

The emission reductions that Ecuador will achieve by implementing the REDD+AP during the GCF project’s lifetime (2017-2022) will be assessed in 2018, 2020, 2022, through the Biennial Update Reports to the UNFCCC.

**Table 3: GCF Project Components and Outputs**

Component	Outcome
<p><b>Component 1.</b></p> <p>Investment in enabling policies to reduce the drivers of deforestation and its associated emissions.</p>	<p><b>Output 1.1:</b> Land use plans updated considering climate change mitigation and adaptation dimensions and implemented.</p> <p><b>Output 1.2:</b> Local capacity building for supervision of land-use planning and zoning.</p> <p><b>Output 1.3:</b> Strengthening forest control</p> <p><b>Output 1.4:</b> Formal inter-institutional coordination structures within the framework of land-use plans, life plans and land-use zoning.</p>
<p><b>Component 2.</b></p> <p>Implementation of financial and economic incentives towards the transition to sustainable production systems in non-forest areas.</p>	<p><b>Output 2.1:</b> Provision of incentives to support transition towards sustainable agriculture production through ATPA in the amazon area.</p> <p><b>Output 2.2:</b> Promote the coordination and implementation of existing tax incentives that will foster the transition to sustainable production systems.</p> <p><b>Output 2.3:</b> Adjustment of public credit lines dedicated to agricultural production, in order to promote more productive and sustainable agriculture and reduce impacts on deforestation.</p> <p><b>Output 2.4:</b> Promote public and private procurement of deforestation-free products.</p> <p><b>Output 2.5:</b> Certification and traceability of deforestation free products.</p>

<p><b>Component 3.</b></p> <p>Financial and non-financial mechanism for restoration, conservation and connectivity.</p>	<p><b>Output 3.1:</b> Strengthen conservation, restoration and forest management processes driven through the Socio Bosque Programme</p> <p><b>Output 3.2:</b> Strengthen mechanisms for integrated water resource management in the watershed located within prioritized areas.</p>
<p><b>Component 4.</b></p> <p>Implementation of enabling instruments to reduce the drivers of deforestation its associated emissions.</p>	<p><b>Output 4.1:</b> Support the implantation of the Warsaw Framework for REDD+ and other operational processes.</p> <p><b>Output 4.2:</b> Operationalization of the financial architecture of REDD+ AP</p>

**3. OBJECTIVES OF THE MTR**

The MTR will assess progress towards the achievement of the projects (GEF and GCF) objectives and outcomes as specified in the Project Documents and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTR will also review the project’s strategy and its risks to sustainability.

The MTR is expected to review the project’s progress with the main stakeholders: MAE, MAG and main partners: Socio Bosque Programme, ATPA, Water Funds (FONAG, FONAPA, FORAGUA), UN Women, FAO.

This MTR is considered as a significant opportunity to provide donors, government and project partners with an independent assessment of relevance and achievement of outcomes. We expect the MTR results to prompt midterm adjustments and to draw lessons that can improve the sustainability of benefits from both projects implemented in coordination with the two Ministries, and aid in the overall enhancement of UNDP programming.

**4. MTR APPROACH & METHODOLOGY**

The MTR must provide evidence-based information that is credible, reliable and useful. The MTR consultant will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Environmental & Social Safeguard Policy, the Project Documents, project reports including Annual Project Review (APRs)/PIRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review). And others prepared during the implementation phase, such as: UNDP Gender Equality Global Strategy, UNDP Ecuador Gender Strategy. The MTR consultant will review the baseline GEF focal area Tracking Tool submitted to the GEF at CEO endorsement, and the midterm GEF focal area Tracking Tool that must be completed before the MTR field mission begins.

The MTR consultant is expected to follow a collaborative and participatory approach<sup>1</sup> ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point, the REDD+ focal point and the GCF NDA), the UNDP Country Office, UNDP-GEF Regional Technical Advisers, GCF Regional Technical Advisers, and other key stakeholders.

Engagement of stakeholders is vital to a successful MTR. Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to executing agencies, senior officials and task team/ component leaders, key experts and consultants in the subject area, Project Board, project stakeholders, academia, local government and CSOs, etc. Additionally, the MTR consultant is expected to conduct field missions to the six Ecuadorian Amazon provinces, el Oro and Loja provinces.

The final MTR report should describe the full MTR approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the review. One report for each project (GEF and GCF) should be presented in Spanish and English.

**Table 4: Key stakeholders of the PROAmazonía Programme**

Stakeholders	Site/ Distance from the project office/means of mobilization	Interviews will be held with the following stakeholders at a minimum
<ul style="list-style-type: none"> <li>UNDP Country Office (CO) and Regional Hub</li> </ul>	<ul style="list-style-type: none"> <li>Quito / Panama</li> </ul>	<ul style="list-style-type: none"> <li>Program Officer, Program Associate</li> <li>Regional GEF and GCF advisors,</li> <li>Regional Procurement Specialist</li> </ul>
<ul style="list-style-type: none"> <li>Regional Procurement Specialist</li> </ul>	<ul style="list-style-type: none"> <li>Quito</li> </ul>	<ul style="list-style-type: none"> <li>Coordinators, Manager,</li> <li>Administrative Financial Assistant, Monitoring and Evaluation Technician, Gender Specialist</li> </ul>
<ul style="list-style-type: none"> <li>MAG</li> </ul>	<ul style="list-style-type: none"> <li>Quito</li> </ul>	<ul style="list-style-type: none"> <li>Project National Director</li> </ul>
<ul style="list-style-type: none"> <li>MAE</li> </ul>	<ul style="list-style-type: none"> <li>Quito</li> </ul>	<ul style="list-style-type: none"> <li>Project National Director</li> </ul>
<ul style="list-style-type: none"> <li>MAE</li> </ul>	<ul style="list-style-type: none"> <li>Quito</li> </ul>	<ul style="list-style-type: none"> <li>Agreement Coordinator</li> </ul>
<ul style="list-style-type: none"> <li>UN Women (only GEF)</li> </ul>	<ul style="list-style-type: none"> <li>Quito</li> </ul>	<ul style="list-style-type: none"> <li>Agreement Coordinator</li> </ul>
<ul style="list-style-type: none"> <li>Water Funds (FONAG, FORAGUA, FONAPA, only GCF)</li> </ul>	<ul style="list-style-type: none"> <li>Pichincha, Azuay, Napo, Loja and Zamora provinces</li> </ul>	<ul style="list-style-type: none"> <li>Directors</li> </ul>
<ul style="list-style-type: none"> <li>CONFENIAE</li> </ul>	<ul style="list-style-type: none"> <li>Amazonia</li> </ul>	<ul style="list-style-type: none"> <li>Project Representative</li> </ul>

• ATPA	• Amazonia	• Manager, technicians
• Socio Bosque Programme	• Amazonia	• Manager, technicians
• Mancomunidad Bosque Seco (only GCF)	• Loja and Oro provinces	• Director
• SCTEA	• Amazonia	• Authorities
• GADs	• Amazonia	• Technicians, Planning Directors • Authorities
• Secretaría Técnica Planifica Ecuador	• Quito	• Authorities
• INIAP	• Amazonia	• Director
• UTPL	• Loja	• Agreement Coordinator
• Dirección Nacional Forestal	• Quito	• Director
• Programa Nacional de Reforestación (convenios comunidades)	• Quito	• Manager

At least three workshops must be carried out: one at the beginning of the consultancy and one at the end of the consultancy in Quito for the Management Committee. A third workshop with results to be carried out in the Amazon with key stakeholders<sup>3</sup>.

The final MTR report should describe the full MTR approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the review.

**5. DETAILED SCOPE OF THE MTR**

The MTR consultant will assess the following four categories of project progress. See the *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for extended descriptions.

**i. Projects Strategy**

Projects design:

- Review the problem addressed by the projects and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the projects results as outlined in the Project Documents.

- Review the relevance of the projects strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the projects design?
- Review how the projects address country priorities. Review country ownership. Were the project concepts in line with the national sector development priorities and plans of the country?
- Review decision-making processes: were perspectives of those who would be affected by projects decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, considered during projects design processes?
- Review the extent to which relevant gender issues were raised in the projects design. See Annex 9 of *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guidelines. And UNDP Handbook on Planning, Monitoring and Evaluating for Development Results, Chapter 7, pg. 171.
- If there are major areas of concern, recommend areas for improvement.

Results Frameworks/Logframes:

- Undertake a critical analysis of the projects' logframes indicators and targets, assess how "SMART" the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
- Are the projects' objectives and outcomes or components clear, practical, and feasible within its time frame?
- Examine if progress so far has led to or could in the future catalyze beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved governance etc...) that should be included in the projects results frameworks and monitored on an annual basis.
- Ensure broader development and gender aspects of the projects are being monitored effectively. Develop and recommend SMART 'development' indicators, including sex-disaggregated indicators and indicators that capture development benefits.

**ii. Relevance, Effectiveness and Efficiency**

- Was the context, problem, needs and priorities well analyzed and reviewed during the project's initiations?
- Are the planned projects objectives and outcomes relevant and realistic to the situation on the ground?
- Are the projects Theories of Change (ToC) and intervention logics coherent and realistic? Do the ToC and intervention logics hold, or do they need to be adjusted?
- Do outputs link to intended outcomes which link to broader paradigm shift objectives of the projects?
- Are the planned inputs and strategies identified realistic, appropriate and adequate to achieve the results? Were they sequenced sufficiently to efficiently deliver the expected results?
- Are the outputs being achieved in a timely manner? Is this achievement supportive of the ToC and pathways identified?

- What and how much progress has been made towards achieving the overall outputs and outcomes of the projects (including contributing factors and constraints)?
- To what extent is the project able to demonstrate changes against the baseline (assessment in approved Funding Proposal) for the GCF investment criteria (including contributing factors and constraints)?
- How realistic are the risks and assumptions of the projects?
- How did the projects deal with issues and risks in implementation?
- To what extent did the projects M&E data and mechanism(s) contribute to achieving projects results?
- Have project resources been utilized in the most economical, effective and equitable ways possible (considering value for money; absorption rate; commitments versus disbursements and projected commitments; co-financing; etc.)?
- Are the projects' governance mechanisms functioning efficiently?
- To what extent did the design of the projects help or hinder achieving their own goals?
- Were there clear objectives, ToC and strategies? How were these used in performance management and progress reporting?
- Were there clear baselines indicators and/or benchmark for performance measurements? How were these used in project management? To what extent and how the projects apply adaptive management?
- What, if any, alternative strategies would have been more effective in achieving the projects objectives?

### iii. Progress Towards Results

Progress Towards Outcomes Analysis:

- Review the logframes indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix and following the *Guidance For Conducting Midterm Reviews of UNDP- Supported, GEF-Financed Projects*; color code progress in a “traffic light system” based on the level of progress achieved; assign a rating on progress for each outcome; make recommendations from the areas marked as “Not on target to be achieved” (red). One table for each project.

Project Strategy	Indicator <sup>3</sup>	Baseline Level <sup>4</sup>	Level in 1 <sup>st</sup> PIR (self-reported)	Midterm Target	End-of-project Target	Midterm Level & Assessment	Achievement Rating	Justification for Rating
<b>Objective:</b>	Indicator (if applicable):							
<b>Outcome 1:</b>	Indicator 1:							
	Indicator 2:							
<b>Outcome 2:</b>	Indicator 3:							
	Indicator 4:							
<b>Etc.</b>								

#### Indicator Assessment Key

Green= Achieved

Yellow= On target to be achieved

Red= Not on target to be achieved

In addition to the progress towards outcomes analysis:

- Compare and analyze the GEF Tracking Tool at the Baseline with the one completed right before the Midterm Review.

Identify remaining barriers to achieving the projects objectives in the remainder of the projects. By reviewing the aspects of the projects that have already been successful, identify ways in which the projects can further expand these benefits.

## **Project Implementation and Adaptive Management**

### Management Arrangements:

- Review overall effectiveness of project management as outlined in the Projects Documents. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.
- Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.
- Review the quality of support provided by the GEF and GCF Partner Agencies (UNDP) and recommend areas for improvement.

### Work Planning:

- Review any delays in projects start-up and implementation, identify the causes and examine if they have been resolved.
- Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results?
- Examine the use of the projects' results frameworks/ logframes as a management tool and review any changes made to it since project start.

### Finance and co-finance:

- Consider the financial management of the projects, with specific reference to the cost-effectiveness of interventions.
- Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.
- Do the projects have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds? Informed by the co-financing monitoring table to be filled out, provide commentary on co-financing: is co-financing being used strategically to help the objectives of the projects? Is the Project Team meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?

### Coherence in climate finance delivery with other multilateral entities (only GCF project)

- Who are the partners of the project and how strategic are they in terms of capacities and commitment?

- Is there coherence and complementarity by the project with other actors for local other climate change interventions?
- To what extent has the project complimented other on-going local level initiatives (by stakeholders, donors, governments) on climate change adaptation or mitigation efforts?
- How has the project contributed to achieving stronger and more coherent integration of shift to low emission sustainable development pathways and/or increased climate resilient sustainable development (GCF RMF/PMF Paradigm Shift objectives)? Please provide concrete examples and make specific suggestions on how to enhance these roles going forward. Project-level Monitoring and Evaluation Systems:
- Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive?
- How are perspectives of women and men involved and affected by the projects monitored and assessed?
- How are relevant group's (women, indigenous, others) involvement with the projects and impact on them monitored?
- Examine the financial management of the projects monitoring and evaluation budgets. Are enough resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?
- Identify activities related to the respective gender markers of the projects.

#### Stakeholder Engagement:

- Project management: Have the projects developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?
- Participation and country-driven processes: Do local and national government stakeholders support the objectives of the projects? Do they continue to have an active role in project decision-making that supports efficient and effective projects implementation?
- Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of projects objectives?

#### Reporting:

- Assess how adaptive management changes have been reported by the project management and shared with the Project Board.
- Assess how well the Project Team and partners undertake and fulfil GEF and GCF reporting requirements (i.e. how have they addressed poorly rated PIRs or APRs, if applicable?)
- Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.

#### Communications:

- Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of projects outcomes and activities and investment in the sustainability of project results?
- Review external project communication: Are proper means of communication established or being established to express the projects progress and intended impact to the public (is there a web presence, for example? Or did the projects implement appropriate outreach and public awareness campaigns?)
- For reporting purposes, write one half-page paragraph that summarizes the projects progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.

#### **v. Sustainability**

- Validate whether the risks identified in the Project Document, APRs and PIRs and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why.
- In addition, assess the following risks to sustainability:

##### Financial risks to sustainability:

- What is the likelihood of financial and economic resources not being available once the GEF and GCF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?

##### Socio-economic risks to sustainability:

- Are there any social or political risks that may jeopardize sustainability of projects outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the projects outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the projects benefits continue to flow? Is there enough public / stakeholder awareness in support of the long-term objectives of the projects? Are lessons learned being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the projects and potentially replicate and/or scale it in the future?

##### Institutional Framework and Governance risks to sustainability:

- Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of projects benefits? While assessing this parameter, also consider if the required systems/ mechanisms for accountability, transparency, and technical knowledge transfer are in place.

##### Environmental risks to sustainability:

- Are there any environmental risks that may jeopardize sustenance of projects outcomes?

#### **vi. Country Ownership**

- To what extent are the projects aligned with national development plans, national plans of action on climate change, or sub-national policy as well as projects and priorities of the national partners?
- How well is country ownership reflected in the project governance, coordination and consultation mechanisms or other consultations?
- To what extent are country level systems for project management or M&E utilized in the projects?
- Are the projects as implemented responsive to local challenges and relevant/appropriate/strategic in relation to SDG indicators, National indicators, GCF and GEF RMF/PMF indicators, AE indicators, or other goals?
- Were the modes of deliveries of the outputs appropriate to build essential/necessary capacities, promote national ownership and ensure sustainability of the result achieved?

#### **vii. Gender equity**

- Do the projects only rely on sex-disaggregated data per population statistics?
- Are financial resources/project activities explicitly allocated to enable women to benefit from projects interventions?
- Do the projects account in activities and planning for local gender dynamics and how projects interventions affect women as beneficiaries?
- Do women as beneficiaries know their rights and/or benefits from project activities/interventions?
- How do the results for women compare to those for men?
- Is the decision-making process transparent and inclusive of both women and men?
- To what extent are female stakeholders or beneficiaries satisfied with the project gender equality results?
- Did the projects sufficiently address cross cutting issues including gender?

#### **viii. Innovativeness in results areas**

- What role have the projects played in the provision of "thought leadership," "innovation," or "unlocked additional climate finance" for climate change adaptation/mitigation in the projects and country context? Please provide concrete examples and make specific suggestions on how to enhance these roles going forward.

#### **ix. Unexpected results, both positive and negative**

- What has been the projects' ability to adapt and evolve based on continuous lessons learned and the changing development landscape? Please account for factors both within the AE/EE and external.
- Can any unintended or unexpected positive or negative effects be observed because of the projects' interventions?

- What factors have contributed to the unintended outcomes, outputs, activities, results?

**x. Replication and Scalability**

- What are project lessons learned, failures/lost opportunities to date? What might have been done better or differently?
- How effective were the exit strategies and approaches to phase out assistance provided by the projects including contributing factors and constraints?
- What factors of the projects’ achievements are contingent on specific local context or enabling environment factors?
- Are the actions and results from both project interventions likely to be sustained, ideally through ownership by the local partners and stakeholders?
- What are the key factors that will require attention in order to improve prospects of sustainability, scalability or replication of projects outcomes/outputs/results?

**Conclusions & Recommendations**

The MTR consultant will include a section of the report setting out the MTR’s evidence-based conclusions, considering the findings (Table with columns: Findings, conclusions and recommendations).

Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report’s executive summary. See the *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for guidance on a recommendation table (Table according to Annex 13. Management Response Template).

The MTR consultant should make no more than 15 recommendations total.

**Ratings**

The MTR consultant will include its ratings of the projects’ results and brief descriptions of the associated achievements in a *MTR Ratings & Achievement Summary Table* in the Executive Summary of the MTR reports. See Annex E for ratings scales. No rating on Project Strategy and no overall project rating is required. A separate table for each project (GEF and GCF) should be presented.

**Table 6. MTR Ratings & Achievement Summary Table for (Project Title).**

Measure	MTR Rating	Achievement Description
Project Strategy	N/A	
Progress Towards Results	Objective Achievement	
	Outcome 1 Achievement Rating: (rate 6)	
	Outcome 2 Achievement Rating: (rate 6)	

	Outcome 3 Achievement Rating: (rate 6 Etc.	
<b>Project Implementation &amp; Adaptive Management</b>	(rate 6 pt. scale)	
<b>Sustainability</b>	(rate 4 pt. scale)	

## 6. TIMEFRAME

The total duration of the MTR will be approximately 136 days over a time period of 19 weeks. The tentative MTR timeframe is as follows:

**Table 7. GCF and GEF Timeframe**

ACTIVITY	NUMBER OF WORKING DAYS	COMPLETION DATE
Management Committee Presentation (based on document review for preparation of the MTR Inception Reports)	One week after handover of project documents	October 22, 2019
MTR Inception Report Draft Submission (GCF)	One week after management committee presentation	October 29, 2019
MTR Inception Report Final Submission (GCF)	One week after Inception Report Draft Submission (GCF)	November 5, 2019
MTR Inception Report Draft Submission (GEF)	One week after Final Inception Report Submission (GCF)	November 12, 2019
MTR mission starts stakeholder meetings, interviews, field visits (GEF and GCF)	One week after Draft Inception Report Submission (GEF)	November 19, 2019
MTR Inception Report Final Submission (GEF). MTR mission ends.	One month after MTR mission (GEF and GCF)	December 19, 2019
Submission of MTR Draft Report (GCF)	20 days after submission of Final Inception Report (GEF)	January 8, 2020

Management Committee Presentation (GCF and GEF)	One week after submission of Draft Report GCF	January 14, 2020
Submission of MTR Draft Report (GEF)	One week after Management Committee Presentation	January 28, 2020
Final Stakeholder Workshop (GEF and GCF) considering the list provided in table No. 4	One week after GEF MTR Draft Report submission	February 4, 2020
Expected date of full GCF MTR completion including systematization of stakeholder workshop and lessons learned. Incorporating audit trail from feedback on draft reports.	One week after the stakeholder workshop	February 11, 2020
Expected date of full GEF MTR completion including systematization of stakeholder workshop and lessons learned. Incorporating audit trail from feedback on draft reports.	Two weeks after the full GCF MTR final report submission.	February 27, 2020

Options for site visits should be provided in the Inception Report.

## 7. MIDTERM REVIEW DELIVERABLES

**Table 8. Deliverables for both projects with independent reports (GEF and GCF)**

#	Deliverable	Description	Timing	Responsibilities
1	<b>Management Committee Presentation</b>	Initial Findings, consultant clarifies objectives and methods of Midterm Review	Oct 22, 2019. One week after handover of project documents.	MTR consultant presents to project management and the Commissioning Unit
2	<b>MTR Final Inception Reports (English and Spanish)</b>		<b>GCF:</b> November 5, 2019. One week after Inception Report Draft Submission. <b>GEF:</b> December 19, 2019. One month after MTR mission.	MTR consultant submits to the Commissioning Unit and project management
3	<b>GCF Draft Report (only in Spanish)</b>	Full report (using guidelines on content outlined in Annex B) with annexes	January 8, 2020. 20 days after submission of Final Inception Report (GEF)	Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit, GEF OFF
4	<b>Management Committee Presentation</b>	Presentation of findings from the MTR mission, feedback on GCF draft report.	January 14, 2010. One week after submission of Draft Report GCF	MTR consultants presents to project management and the Commissioning Unit

5	<b>GEF Draft Report (only in Spanish)</b>	Full report (using guidelines on content outlined in Annex B) with annexes	January 28, 2020. One week after Management Committee Presentation	Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit
6	<b>Final GCF Report (English and Spanish)</b>	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTR report including systematization of stakeholder workshop and lessons learned.	February 11, 2020. One week after the stakeholder workshop	Sent to the Commissioning Unit
7	<b>Final GEF Report (English and Spanish)</b>	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTR report including systematization of stakeholder workshop and lessons learned.	February 27, 2020. Two weeks after the full GCF MTR final report submission.	Sent to the Commissioning Unit

## MTR ARRANGEMENTS

The Commissioning Unit will contract the consultant. Per diem and travel costs for the MTR field mission to Ecuador is included in the consultant fee. Air fare should consider the most direct and economic route to the place and country, and the consultant must include in its economic proposal a daily expense allowance that does not exceed the United Nations rate for the place and country in which the MTR mission will be performed.

The Project Team will be responsible for liaising with the MTR consultant to provide all relevant documents, set up stakeholder interviews, arrange field visits and revise the documents produced by the consultant.

## 8. COMPOSITION

The MTR consultant should have previous experience and exposure to projects and evaluations from UNDP, GEF and/or GCF. The consultant cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project's related activities. Due to the complexity of the work involved, the consultant should include support from a professional with work experience in gender mainstreaming, and gender indicators measurement and evaluation. The consultant should also have support from a professional with a technical background during the MTR mission.

The selection of the consultant will be aimed at maximizing the overall qualities in the following areas:

### **Consultant**

- Led at least 5 project/program evaluations utilizing a result-based management methodology.
  - Experience in at least one (1) process applying SMART indicators and reconstructing and validating baseline scenarios in the last five years.
  - Verifiable experience of participation in at least two (2) UNDP, GEF or GCF project evaluation processes, either midterm or final reviews, in the last five years.
  - Experience working in the Amazon Region;
  - Five years of work experience in sustainable agriculture, forest management and conservation, natural resources policies and governance, biodiversity and climate change or REDD+ initiatives
  - Demonstrated understanding of issues related to gender and ecosystems; experience in gender sensitive evaluation and analysis in a development project;
  - Excellent communication skills in English and Spanish (reading, writing, speaking).
- 
- Project evaluation/review experiences within United Nations system will be considered an asset;
  - A Master's degree in Natural Resources Management, Environmental Sciences, Agroecology, Environmental Policy, Climate Change or other closely related field.

### **9. PAYMENT MODALITIES AND SPECIFICATIONS**

30% payment upon approval of final MTR Inception Report (GCF)

30% upon submission of MTR Draft Report (GCF)

40% upon finalization of the GEF full MTR Report (English and Spanish version)

### **10. APPLICATION PROCESS**

#### **Recommended Presentation of Proposal:**

a) **Letter of Confirmation of Interest and Availability** using the template provided by UNDP.

b) **CV with supporting documentation;**

c) **Description of approach to work/technical proposal** of why the individual considers him/herself as the most suitable for the assignment, and a proposed methodology on how they will approach and complete the assignment;

d) **Financial Proposal** (max 1pg.) that indicates the all-inclusive fixed total contract price and all other travel related costs (such as flight ticket, per diem, etc.), supported by a breakdown of costs, as per template attached to the **Letter of Confirmation of Interest template**. If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan

Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

All application materials should be submitted by email at the following address ONLY: [aplicaciones.ec@undp.org](mailto:aplicaciones.ec@undp.org). Incomplete applications will be excluded from further consideration.

**Criteria for Evaluation of Proposals:** Only those applications which are responsive and compliant will be evaluated. Offers will be evaluated according to the Combined Scoring method – where the educational background and experience on similar assignments will be weighted at 70% and the price proposal will weigh as 30% of the total scoring. The applicant receiving the Highest Combined Score that has also accepted UNDP’s General Terms and Conditions will be awarded the contract.

a) The educational background and experience on similar assignments will be weighted a max. of 70%;

b) The price proposal will weigh as 30% of the total scoring.

The evaluation criteria are the following:

Criteria	Points	Percentage
CV	30	30%
Technical proposal	40	40%
Economic proposal	30	30%
<b>TOTAL</b>		<b>100%</b>

Rating parameter	Criteria	Score	Percentage
<b>CV</b>	<b>Education and experience:</b>		<b>30%</b>
	• Master’ degree in Natural Resources Management, Environmental Sciences, Agroecology, Environmental Policy, Climate Change or other closely related field.	3	
	• Excellent communication skills in English and Spanish (written, reading and spoken)	3	
	• Has carried out at least 5 project/program evaluations utilizing a result-based management methodology	4	
	• Demonstrated understanding of issues related to gender and ecosystems; experience in gender sensitive evaluation and analysis in a development project;	3	

	• Verifiable experience of participation in at least two (2) UNDP, GEF or GCF project evaluation processes, either midterm or final reviews, in the last five years.	4	
	• Five years of work experience in sustainable agriculture, forest management and conservation, natural resources policies and governance, biodiversity and climate change or REDD+ initiatives.	4	
	• Experience working in the Amazon Region	3	
	• Experience in at least one (1) process applying SMART indicators and reconstructing and validating baseline scenarios in the last five years.	4	
	• Project evaluation/review experiences within United Nations system will be considered an asset	2	
	<b>TOTAL</b>	30	

<b>Technical Proposal</b>	<b>Methodology, agenda and implementation schedule:</b>		<b>40%</b>
	• Appropriate understanding the nature of work and understanding of the ToR.	5	
	• Development of the relevant aspects of the work with an enough level of detail.	10	
	• Development of stakeholder engagement/involvement approach in the field	10	
	• Development of appropriate conceptual and methodological framework for the work to be performed.	10	
	• Verifiable experience of participation in at least two (2) UNDP, GEF or GCF project evaluation processes, either midterm or final reviews, in the last five years.	5	
	• Appropriate sequence of activities and planning.	4	
	<b>TOTAL</b>	40	

<b>Economical proposal</b>	<b>Score</b>	<b>Percentage</b>
The highest score (30%) will be awarded to the most economical offer and the inverse proportional to the other offers.  Only the technical proposals that achieve a score of at least 49/70 will proceed to the economic proposal review stage.	30	30%

## 6.2 MTR Evaluative Matrix

Criteria / Evaluation Question	What to look for? / Possible indicators	Information sources	Information collection methods
<b>Project strategy</b>			
<i>Project design</i>			
· Review the problem addressed by the project and the underlying assumptions.	Does the problem addressed coincide with the priorities of the intervention area?	PRODOC Theory of change Representatives of MAE, MAG, UNDP and GCF.	Documents review and interviews
· Review the effect of any incorrect assumption or change in context to achieve project results as described in the Project Document.	Analysis of the socio-economic context and public policies in the prioritized municipalities.	Technical reports of institutions and PRODOC Institutional Representatives	Documents review, interviews, consultations during field visit
· Review the relevance of the project strategy and assess whether it provides the most effective route to the expected results.	Consistency between the project strategy and the expected results Analysis of the achievements by the interviewees	Project strategy, PRODOC, Logical Framework, Theory of Change	Documents review, interviews with key actors.
· Were the lessons of other relevant projects properly incorporated into the project design?	Lessons learned about the design of similar projects (e.g. target groups, consultations, social and environmental considerations, selected indicators, etc. ...)	Project strategy, PRODOC, Logical Framework, Theory of Change, Lessons from other relevant projects	Documents review
· Review how the project addresses the country's priorities.	Priorities in environmental matters and adaptation to climate change in national strategies and legislation	National strategies for adaptation to climate change, MAE, MAG, UNDP actors, participating institutions	Documents review, interviews, consultations during field visit
<i>Country appropriation</i>			

Criteria / Evaluation Question	What to look for? / Possible indicators	Information sources	Information collection methods
<ul style="list-style-type: none"> <li>· Was the concept of the project in line with the priorities and development plans of the national sector of the country (or of the participating countries in the case of multinational projects)?</li> </ul>	National Development Priorities	National strategies for adaptation to climate change, MAE, MAG, UNDP, AF actors, participating institutions	Documents review and interviews
<b>Review the decision-making processes</b>			
<ul style="list-style-type: none"> <li>· Were the perspectives of those who would be affected by the project decisions, those that could affect the results and those who could contribute information or other resources to the process, during the project design processes considered?</li> </ul>	Approaches of actors consulted on possible effects due to project decisions	Reports on enquiries made Inception Workshop Report Actors interviewed	Documents review and interviews
<ul style="list-style-type: none"> <li>· Review to what extent relevant gender issues were raised in the project design.</li> </ul>	Gender strategy in the project	PRODOC UNDP gender representatives / specialists	Documents review, interviews, consultations during field visit
<b>Results framework / logical framework</b>			
<ul style="list-style-type: none"> <li>· Are the objectives, results or components of the project clear, practical and feasible within its time frame?</li> </ul>	Clarity and relevance of the results and components	Theory of change, PRODOC	Documents review and interviews
<ul style="list-style-type: none"> <li>· Examine whether progress so far has led or could in the future catalyze beneficial development effects (i.e. income generation, gender equality and women's empowerment, better governance, etc.) that should be included in the results framework of the project and monitored on an annual basis.</li> </ul>	Consistency between what is stated in the theory of change / PRODOC and verified until the middle of the project life cycle.	Actors interviewed	Documents review and interviews
<ul style="list-style-type: none"> <li>· Ensure that the broader aspects of development and gender of the project are being monitored effectively.</li> </ul>	Inclusion and monitoring of national / local gender and development strategies in monitoring processes.	National / local gender and / or development strategies Project monitoring and evaluation plan	Documents review and interviews

Criteria / Evaluation Question	What to look for? / Possible indicators	Information sources	Information collection methods
· Develop and recommend SMART "development" indicators, including gender-disaggregated indicators and indicators that capture the benefits of development.	Project indicators disaggregated by gender.	National / local gender and / or development strategies Project monitoring and evaluation plan, interviews with UNDP gender specialists.	Documents review and interviews
· Carry out a critical analysis of the indicators and objectives of the logical framework of the project, evaluate how "SMART" are the medium-term objectives and at the end of the project (specific, measurable, attainable, relevant, with specific deadlines) and suggest amendments / revisions specific to objectives and indicators as necessary.	Indicators and objectives of the project.	PRODOC Theory of change. Actors interviewed.	Documents review and interviews
<b>Relevance, Effectiveness and Efficiency</b>			
· Are the projects Theories of Change (ToC) and intervention logics coherent and realistic? Do the ToC and intervention logics hold, or do they need to be adjusted?	Relationship between theories of change and expected results	PRODOC Organizational manuals Progress Reports Operational / Strategic Plans	Documents review and interviews
· Was the context, problem, needs and priorities well analyzed and reviewed during the project's initiations?	Project components.	PRODOC Organizational manuals Operational / strategic plans.	Documents review and interviews
· Were there clear objectives, ToC and strategies? How were these used in performance management and progress reporting?	Project objectives, ToC and strategies.	PRODOC Organizational manuals Operational / strategic plans.	Documents review and interviews

Criteria / Evaluation Question	What to look for? / Possible indicators	Information sources	Information collection methods
· To what extent did the design of the projects help or hinder achieving their own goals?	Project design.	PRODOC Organizational manuals Annual progress reports. Operational / strategic plans. Project Team UNDP team.	Documents review and interviews
· How realistic are the risks and assumptions of the projects?	Project Risks.	PRODOC Organizational manuals Annual progress reports. Operational / strategic plans. Project Team UNDP team.	Documents review and interviews
· How did the projects deal with issues and risks in implementation?	Implementation Risks.	PRODOC Organizational manuals Annual progress reports. Operational / strategic plans. Project Team UNDP team.	Documents review and interviews
· Are the results being achieved in a timely manner? Does this achievement support the ToC and the identified pathways?	Achievement of results.	PRODOC Organizational manuals Annual progress reports. Operational / strategic plans. Project Team UNDP team.	Documents review and interviews

Criteria / Evaluation Question	What to look for? / Possible indicators	Information sources	Information collection methods
<ul style="list-style-type: none"> <li>· Have project resources been utilized in the most economical, effective and equitable ways possible (considering value for money; absorption rate; commitments versus disbursements and projected commitments; co-financing; etc.)?</li> </ul>	Project resource distribution.	PRODOC Organizational manuals Annual progress reports. Operational / strategic plans. Project Team UNDP team.	Documents review and interviews
<ul style="list-style-type: none"> <li>· To what extent is the project able to demonstrate changes against the baseline (assessment in approved Funding Proposal) for the GCF investment criteria (including contributing factors and constraints)?</li> </ul>	Project progress indicators.	Annual progress reports.	Documents review and interviews
<ul style="list-style-type: none"> <li>· Are the projects' governance mechanisms functioning efficiently?</li> </ul>	Governance mechanisms.	PRODOC Organizational manuals Progress Reports Operational / strategic plans.	Documents review and interviews
<ul style="list-style-type: none"> <li>· What, if any, alternative strategies would have been more effective in achieving the projects objectives?</li> </ul>	Alternative strategies for achieving objectives.	Progress Reports Operational / strategic plans.	Documents review and interviews
<ul style="list-style-type: none"> <li>· Were there clear baselines indicators and/or benchmark for performance measurements? How were these used in project management. To what extent and how the projects apply adaptive management?</li> </ul>	Project indicators.	PRODOC Organizational manuals Progress Reports Operational / strategic plans.	Documents review and interviews
<b>Progress Towards Results</b>			
<i>Progress Towards Outcomes Analysis</i>			

Criteria / Evaluation Question	What to look for? / Possible indicators	Information sources	Information collection methods
· Compare and analyze the status of the AF Results Tracker within the project performance report (PPR) at baseline with the completed one just before the Interim Evaluation.	Results achieved.	PRODOC Organizational manuals Progress Reports Operational / Strategic Plans	Documents review and interviews
· Identify remaining barriers to achieving the projects objectives in the remainder of the projects.	Barriers to achieve results.	PRODOC Organizational manuals Progress Reports Operational / strategic plans. Project Team UNDP team.	Documents review and interviews
· By reviewing the aspects of the projects that have already been successful, identify ways in which the projects can further expand these benefits.	Results achieved.	PRODOC Organizational manuals Progress Reports Operational / strategic plans. Project Team UNDP team.	Documents review and interviews
<b>Project implementation and adaptive management</b>			
<b>Management arrangements</b>			
· Review the overall effectiveness of project management as described in the Project Document.	Lessons learned about obstacles / catalysts in project management	PRODOC Organizational manuals	Documents review and interviews
· Have changes been made and are they effective?	Changes that have improved management	PRODOC Organizational manuals	Documents review and interviews
· Are the responsibilities and reporting lines clear?	Clarity of organizational management	PRODOC Organizational manuals	Documents review and interviews

<b>Criteria / Evaluation Question</b>	<b>What to look for? / Possible indicators</b>	<b>Information sources</b>	<b>Information collection methods</b>
· Is the decision-making process transparent and is it carried out in a timely manner?	Clarity of organizational management	PRODOC Organizational manuals	Documents review and interviews
· Review the quality of the execution of the Executing Agency / Implementing Partner and recommend areas for improvement.	Effectiveness and efficiency in execution	PRODOC Organizational manuals Progress Reports	Documents review and interviews
· Review the quality of support provided by the GCF and recommend areas for improvement.	Effectiveness of the support	PRODOC Progress Reports Documents on specific support received (training minutes / meetings, technical discussions)	Documents review and interviews
<b>Work Planning</b>			
· Review team practice and strategic planning approach.	Effectiveness and efficiency in execution	PRODOC Organizational manuals Progress Reports Operational / Strategic Plans	Documents review and interviews
· Review the delays in the implementation and implementation of the project, identify the causes and examine whether they have been resolved.	Effectiveness and efficiency in execution	PRODOC Organizational manuals Progress Reports Operational / Strategic Plans	Documents review and interviews
· Are work planning processes based on results? Otherwise, suggest ways to reorient work planning to focus on results.	Consistency between operational / strategic plans and the logical / results framework	Operating Plans / Results Framework	Documents review and interviews
· Examine the use of the project framework / results framework as a management tool and review any	Consistency between operational / strategic plans and the logical / results framework	Operating Plans / Results Framework	Documents review and interviews

Criteria / Evaluation Question	What to look for? / Possible indicators	Information sources	Information collection methods
changes that have been made since the beginning of the project.			
<b>Finance and co-financing</b>			
· Consider the financial administration of the project, with specific reference to the cost-effectiveness of the interventions.	Efficiency of budget execution and its relation to product / outcome indicators	Operating Plans / Results Framework Financial Progress Reports	Documents review and interviews
· Review changes in fund allocations as a result of budget reviews and assess the adequacy and relevance of such reviews	Efficiency of budget execution and its relation to product / outcome indicators	Operating Plans / Results Framework Financial Progress Reports	Documents review and interviews
· Does the project have the appropriate financial controls, including reports and planning, that allow management to make informed decisions regarding the budget and allow for a timely flow of funds?	What are the internal control mechanisms? Have external audits been performed?	Audit Reports	Documents review and interviews
<b>Informed by the co-financing monitoring chart to be filled in, provide comments on the co-financing</b>			
· Is co-financing used strategically to help project objectives?	Relationship between co-financing and results	Co-financing monitoring chart	Documents review and interviews
· Does the project team meet periodically with all co-financing partners to align funding priorities and annual work plans?	Relationship between co-financing and results	Co-financing monitoring chart	Documents review and interviews
<b>Coherence in climate finance delivery with other multilateral entities (GCF project only)</b>			
· Who are the partners of the project and how strategic are they in terms of capacities and commitment?	Relationship between project partners and beneficiaries	Project Team UNDP team GCF representatives PRODOC Fondos de Agua SocioBosque FAO (GCF)	Documents review and interviews

Criteria / Evaluation Question	What to look for? / Possible indicators	Information sources	Information collection methods
		Bosque Seco Association INIAP UTPL	
· Is there coherence and complementarity by the project with other actors for local another climate change interventions?	Relationship between expected results of the project and national plan	Local and national government actors	Documents review and interviews
· To what extent has the project complimented other on-going local level initiatives (by stakeholders, donors, governments) on climate change adaptation or mitigation efforts?	Impact of project results on other local initiatives.	Project Team UNDP team. GCF representatives. Actors of local and national governments.	Documents review and interviews
· How has the project contributed to achieving stronger and more coherent integration of shift to low emission sustainable development pathways and/or increased climate resilient sustainable development (GCF RMF/PMF Paradigm Shift objectives)? Please provide concrete examples and make specific suggestions on how to enhance these roles going forward.	Results of the project.	M&E reports. APR Actors in charge of M&E. Actors of local and national governments.	Documents review and interviews
<b><i>Project monitoring and evaluation systems</i></b>			
<i>Review the monitoring tools currently used:</i>			
· Do they offer the necessary information?	Arrangements / monitoring and evaluation processes versus national / international standards / good practices / Do the indicators measure what they intend to measure? Are there unnecessary indicators?	M&E Reports PPR Actors in charge of M&E	Documents review and interviews
· Do they involve key partners?	Arrangements / monitoring and evaluation processes versus national / international standards / good practices / Existence of an M&E coordinator, M&E officers	M&E Plan M&E processes PPR	Documents review and interviews

Criteria / Evaluation Question	What to look for? / Possible indicators	Information sources	Information collection methods
· Are they aligned or integrated with national systems?	Arrangements / monitoring and evaluation processes versus national / international standards / good practices /	Documentation evidencing the integration of M&E arrangements, the project and national systems in this area	Documents review and interviews
· Do they use existing information? Are they efficient? Are they profitable? Are additional tools required? How could they be more participatory and inclusive?	Arrangements / monitoring and evaluation processes versus national / international standards / good practices /	M&E Reports Actors involved in M&E PPR	Documents review and interviews
· Does the set of M&E reports respond to the needs of the project?	Arrangements / monitoring and evaluation processes versus national / international standards / good practices /  What are the information needs of the project team?  What are the information needs of the internal and external clients of the project?	M&E Reports Actors involved in M&E Project coordinator	Documents review and interviews
· How are the perspectives of women and men involved and affected by the project monitored and evaluated? How is the participation of the relevant group (women, indigenous, others) in the project monitored and their impact?	Monitoring and evaluation system.	M&E reports. Actors involved in M&E. Project Coordinators.	Documents review, interviews, consultations during field visit.
· Is the decision-making process supported by M&E reports?	Arrangements / monitoring and evaluation processes versus national / international standards / good practices /	M&E Reports Actors involved in M&E Project coordinator	Documents review and interviews
<i>Examine the financial administration of the project monitoring and evaluation budget:</i>			

Criteria / Evaluation Question	What to look for? / Possible indicators	Information sources	Information collection methods
· Are enough resources allocated for monitoring and evaluation? Are these resources being allocated effectively?	Percentage of funds allocated to M&E as part of the total budget. Good practices indicate that M&E should constitute between 5% and 10% of the total budget.	M&E budget as part of the total project budget	Documents review and interviews
· What are the 3 main weaknesses of the project's M&E processes?	Aspects that generate bottlenecks for the M&E function	Monitoring and evaluation reports Actors directly involved in monitoring and evaluation.	Documents review and interviews
· What are the 3 main strengths of the project's M&E processes?	Aspects that catalyze the processes of the M&E function	Monitoring and evaluation reports Actors directly involved in monitoring and evaluation.	Documents review and interviews
· Identify activities related to the respective gender markers of the project.	Activities disaggregated by gender.	PRODOC- Organizational manuals.	Documents review and interviews
· Is the Atlas M&E window systematically used to track project activities?	Effectiveness and frequency of use of the ATLAS M&E window	ATLAS reports ATLAS system Actors involved in M&E	Documents review and interviews
<b>Stakeholder engagement</b>			
· Project management: Has the project developed and exploited the necessary and appropriate partnerships with the direct and tangential stakeholders?	Benefits of partnerships and alliances	Institutional Actors	Documents review and interviews
· Participation and country-driven processes: do local and national government actors support the objectives of the project? Do they continue to have an active role in project decision-making that supports the efficient and effective implementation of the project?	Level of participation / support of government actors	Local and national government actors	Documents review, interviews, consultations during field visit

<b>Criteria / Evaluation Question</b>	<b>What to look for? / Possible indicators</b>	<b>Information sources</b>	<b>Information collection methods</b>
· Participation and public awareness: to what extent did stakeholder participation and public awareness contribute to progress towards the achievement of project objectives?	Level of participation / support of different non-governmental actors	Non-governmental actors	Documents review, interviews, consultations during field visit
· Are the safeguards required by GFC being considered?	Project safeguards.	PRODOC-Organizational manuals. Project team Actors of the MAE, MAG. UNDP team.	Documents review, interviews, consultations during field visit.
<b>Reports</b>			
· Evaluate how project management has informed about changes in adaptive management and shared them with the Project Board.	Changes in adaptive management	Actors of the Project Board Project Implementers Project Board Reports	Documents review, interviews, consultations during field visit
· Evaluate how well the project team and partners are committed to and comply with the requirements of GCF reports (i.e., how have they approached low-grade PPRs, if applicable?)	Timeliness and completeness of the reports presented Approach of bottlenecks reflected in the reports	GCF actors Project team	Documents review and interviews
· Evaluate how the lessons derived from the adaptive management process have been documented, shared with key partners and internalized by the partners.	Documentation of adaptive management lessons	Key partners	Documents review and interviews
<b>Communications</b>			
· Review the internal communication of the project with the interested parties: is the communication regular and effective?	Regularity and effectiveness of internal communication	Project team and partners	Documents review and interviews
· Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to your knowledge?	Effectiveness of communication and feedback	Project team and partners	Documents review and interviews

Criteria / Evaluation Question	What to look for? / Possible indicators	Information sources	Information collection methods
Review the external communication of the project: Have the appropriate means of communication been established or established to express the progress of the project and the expected impact on the public? Is there a presence on the internet, for example? Or did the project implement public awareness and publicity campaigns?	Effectiveness of external communication Presence in web and social networks	Project team	Documents review and interviews
What is the progress of the project towards the results in terms of contribution to the benefits of sustainable development, as well as to the global environmental benefits?	Contribution to the benefits of sustainable development, as well as to the global environmental benefits	Project team	Documents review and interviews
<b>Institutional effectiveness</b>			
· What are the main strengths of the project acquisition processes?	Aspects that generate bottlenecks for the procurement function	Procurement Managers	Documents review and interviews
· What are the main weaknesses of the project acquisition processes?	Aspects that catalyze processes for the procurement function	Procurement Managers	Documents review and interviews
· Is the stability of the team evidenced?	Gaps within the team since the beginning of the project	Project team	Documents review and interviews
· Are there any administrative obstacles that impede the progress of the project?	Administrative bottlenecks	Project team	Documents review and interviews
<b>Sustainability</b>			
Validate if the risks identified in the Project Document, the PPR and the Risk Management Module of ATLAS are the most important and if the applied risk classifications are appropriate and updated.	Main risks identified	PRODOC PPR ATLAS risk management module	Documents review and interviews
<b>Financial risks for sustainability</b>			
What is the probability that financial and economic resources will not be available once GCF assistance ends? (Consider the potential resources that can be from multiple sources, such as the public and private sectors, income-generating activities and other funds that will be adequate financial resources to sustain project results)?	Main financial and economic risks for the execution of activities	Project Team UNDP team GCF representatives Government institutions PRODOC Exit strategy	Documents review and interviews

Criteria / Evaluation Question	What to look for? / Possible indicators	Information sources	Information collection methods
<b><i>Socio-economic risks for sustainability</i></b>			
· Are there social or political risks that could threaten the sustainability of the project results? What is the risk that the level of ownership of stakeholders (including ownership by governments and other key stakeholders) is insufficient to allow the results / benefits of the project to be maintained?	Changes of national and local governments Modifications of public policy agendas	Project Team UNDP team GCF representatives Government institutions PRODOC Exit strategy	Documents review and interviews
· Do the various key stakeholders consider that the benefits of the project continue to flow? Are there enough public awareness / stakeholders to support the long-term objectives of the project?	Opinions on the suitability of the continuity of the benefits of the project	Project Team UNDP team GCF representatives Government institutions PRODOC Exit strategy	Documents review and interviews
· Lessons learned are being documented by the Project Team in a continuous and shared way.	Lessons learned about sustainability in similar projects	Project team	Documents review and interviews
<b><i>Institutional framework and governance risks to sustainability</i></b>			
· Do legal frameworks, policies, government structures and processes pose risks that may threaten the livelihoods of project benefits? When evaluating this parameter, also consider whether the systems / mechanisms necessary for accountability, transparency and the transfer of know-how are in place.	Existence of necessary mechanisms for accountability, transparency and transfer of technical knowledge	Legal frameworks Public policies Exit strategy	Documents review, interviews, consultations during field visit
<b><i>Environmental risks for sustainability</i></b>			
· Are there any environmental risks that may jeopardize sustenance of projects outcomes?	Environmental risks for the sustainability of activities	Project team GCF actors UNDP team	Documents review, interviews, consultations during field visit
<b><i>Country Ownership</i></b>			

Criteria / Evaluation Question	What to look for? / Possible indicators	Information sources	Information collection methods
· Are the projects as implemented responsive to local challenges and relevant/appropriate/strategic in relation to SDG indicators, National indicators, GCF RMF/PMF indicators, AE indicators, or other goals?	Project objectives, expected results and national plans	Project Team UNDP team AF representatives Government institutions PRODOC	Documents review and interviews
· Were the modes of deliveries of the outputs appropriate to build essential/necessary capacities, promote national ownership and ensure sustainability of the result achieved?	Mechanisms for delivery of results.	Annual reports on the progress of the project. Project team Actors of the MAE, MAG. UNDP team.	Documents review and interviews
· How well is country ownership reflected in the project governance, coordination and consultation mechanisms or other consultations?	Country property in the different mechanisms of the project.	PRODOC- Organizational manuals, Project team. Actors of the MAE, MAG. UNDP team.	Documents review and interviews
· To what extent are the projects aligned with national development plans, national plans of action on climate change, or sub-national policy as well as projects and priorities of the national partners?	Alignment of the project with national plans.	PRODOC- Organizational manuals, Project team. Actors of the MAE, MAG. UNDP team.	Documents review and interviews
<b>Gender Equity</b>			
· Do the projects only rely on sex-disaggregated data per population statistics?	Number of people participating disaggregated by gender, age and occupation	PRODOC- Organizational manuals	Documents review and interviews

Criteria / Evaluation Question	What to look for? / Possible indicators	Information sources	Information collection methods
· Are financial resources/project activities explicitly allocated to enable women to benefit from projects interventions?	Actors and roles chart	PRODOC- Organizational manuals	Documents review and interviews
· Do the projects account in activities and planning for local gender dynamics and how projects interventions affect women as beneficiaries?	Participatory planning	PRODOC- Organizational manuals	Documents review and interviews
· Do women as beneficiaries know their rights and/or benefits from project activities/interventions?	Training - Projects socialization events and their specific benefits directed at gender	PRODOC- Organizational manuals	Documents review and interviews
· How do the results for women compare to those for men?	Training on the perception of the beneficiaries from the perspective of women and men	Monitoring and evaluation reports	Documents review and interviews
· Is the decision-making process transparent and inclusive of both women and men?	Training on the perception of the beneficiaries from the perspective of women and men	Monitoring and evaluation reports	Documents review and interviews
· To what extent are female stakeholders or beneficiaries satisfied with the project gender equality results?	Training on the perception of beneficiaries from the perspective of women	Monitoring and evaluation reports	Documents review and interviews
· Do the projects sufficiently address cross cutting issues including gender?	Participatory planning	PRODOC / Operating Manual	Documents review and interviews
· Is there recognition of the existence of specific problems of women and / or men that are the result of existing gender relations?	Diagnosis / baseline	Monitoring and evaluation reports	Documentary review, workshops and / or interviews
· Has gender mainstreaming been explicitly considered, regarding the different needs and experiences of men and women, in order to promote a space for all, giving visibility to the expectations of women as well as those of men?	Planning	PRODOC / Operating Manual	Documentary review, workshops and / or interviews
<b>Innovativeness in results areas</b>			
· What role have the projects played in the provision of "thought leadership," "innovation," or "unlocked additional climate finance" for climate change	Factors of "thought leadership" innovation "," additional climate finance unlocked "	Project Team UNDP team AF representatives	Documentary review, workshops and / or interviews

Criteria / Evaluation Question	What to look for? / Possible indicators	Information sources	Information collection methods
adaptation/mitigation in the projects and country context? Please provide concrete examples and make specific suggestions on how to enhance these roles going forward.		Government institutions PRODOC Exit strategy	
<b>Unexpected results, both positive and negative</b>			
· What has been the projects' ability to adapt and evolve based on continuous lessons learned and the changing development landscape? Please account for factors both within the AE/EE and external.	Capacity to adapt projects	Monitoring and evaluation reports, Project Team UNDP team	Documentary review, workshops and / or interviews
· Can any unintended or unexpected positive or negative effects be observed because of the projects' interventions?	Effects of project interventions	Monitoring and evaluation reports, Project Team UNDP team	Documentary review, workshops and / or interviews
· What factors have contributed to the unintended outcomes, outputs, activities, results?	Contributing factors to unwanted results	Monitoring and evaluation reports, Project Team UNDP team	Documentary review, workshops and / or interviews
<b>Replication and Scalability</b>			
· What are project lessons learned, failures/lost opportunities to date? What might have been done better or differently?	Lessons learned	Project Team UNDP team	Documentary review, workshops and / or interviews
· Are the actions and results from both project interventions likely to be sustained, ideally through ownership by the local partners and stakeholders?	Beneficiary Planning	Project Team UNDP team	Documents review and interviews
· What are the key factors that will require attention in order to improve prospects of sustainability, scalability or replication of projects outcomes/outputs/results?	Sustainability, scalability or replication factors of the results / products	Project Team UNDP team	Documents review and interviews
· What factors of project achievements depend on the specific local context or factors of the enabling environment?	Project achievement factors.	Project Team UNDP team	Documents review and interviews

### 6.3 Questionnaire used for data collection

<p><b>Project: "Priming Financial and Land Use Planning Instruments to Reduce Emissions from Deforestation"</b></p> <p><b>PIMS 5768 (GCF)</b></p> <p><b>Interim Evaluation consultancy of the "ProAmazonía" program</b></p>	
<b>Objective of the questionnaire: collect data on the quality of project implementation</b>	
	<b>Answers</b>
<b>Interviewed name</b>	
<b>Position</b>	
<b>Could you describe your role in the project?</b>	
<b>Project strategy</b>	
Project design	
• Does the project address development priorities and national plans?	
• Is it necessary to make any changes to the concept of the project that have not yet been made?	
• Were the actors that would be affected by the project and the actors that could affect the results of the project considered?	
<b>Relevance, efficiency and effectiveness</b>	
• How does the project relate to the main objectives of the GCF area of interest and to the environmental and development priorities at local, regional and national levels?	
• How have the problems and risks in the implementation of the project been addressed?	
• To what extent have the expected results and objectives of the project been achieved?	
• Was the project implemented efficiently in accordance with international and national standards and policies?	
• Are the objectives and results of the projects relevant and realistic in a local context?	
• Do project governance mechanisms work efficiently?	
<b>Progress towards results</b>	
Progress Towards Outcomes Analysis	
• What are the main results achieved so far?	

• Identify the ways in which the project can take advantage of the aspects that have been successful.	
• Identify persistent obstacles to achieve project objectives.	
• Are the reference indicators clear to measure progress towards project objectives?	
<b>Project implementation and adaptive management</b>	
Management arrangements	
• What is your evaluation of project management? Is there anything that can be done differently?	
• Are responsibilities, command lines and reports clear?	
• What is your opinion about the project associations?	
• Is the decision-making process transparent and timely?	
• Do you think there is good flow of information among all the actors in the project?	
• Are there administrative bottlenecks that impede the progress of the project?	
• What is your opinion on the quality of execution of the project unit and the implementing partners?	
<b>MAE &amp; MAG</b>	
• What is your opinion about the quality of UNDP support?	
• What can you say about the efficiency and effectiveness of the project?	
• Do you participate in the Project Board or in the Interinstitutional Support Committee? If so, how do you evaluate the performance of these instances?	
Work planning	
• Have there been delays in the beginning and implementation of the project? If so, what justifies them?	
• Are work planning processes based on results?	
Financing and co-financing	
• Does the project have adequate financial controls, including reports and planning, that allow management to make informed budget decisions and allow for timely cash flow?	

<ul style="list-style-type: none"> <li>• Does the project team meet regularly with all co-financing partners to align annual funding priorities and work plans?</li> </ul>	
<ul style="list-style-type: none"> <li>• Was there efficient planning and financial management?</li> </ul>	
<ul style="list-style-type: none"> <li>• Is co-financing being used strategically to help project objectives?</li> </ul>	
Consistency in the delivery of climate financing with other multilateral entities (GCF project only)	
<ul style="list-style-type: none"> <li>• Is there coherence and complementarity on the part of the project with other local climate change actors? Interventions?</li> </ul>	
<ul style="list-style-type: none"> <li>• To what extent has the project complemented other ongoing local initiatives (by stakeholders, donors, governments) on climate change adaptation or mitigation efforts?</li> </ul>	
Monitoring and evaluation systems at the project level	
<ul style="list-style-type: none"> <li>• How do you rate the M&amp;E function of the project?</li> </ul>	
<ul style="list-style-type: none"> <li>• Are they aligned or integrated with national systems?</li> </ul>	
<ul style="list-style-type: none"> <li>• Are they efficient, do you need additional tools?</li> </ul>	
<ul style="list-style-type: none"> <li>• How are the perspectives of women and men involved and affected by the projects monitored and evaluated? How is the participation of the relevant group (women, indigenous, others) in the projects monitored and their impact on them?</li> </ul>	
Stakeholder involvement	
<ul style="list-style-type: none"> <li>• Project management: Has the project developed and explored the necessary and appropriate partnerships with direct and indirect stakeholders?</li> </ul>	
<ul style="list-style-type: none"> <li>• Country-led participation and processes: do local and national government actors support the objectives of the project? Do they continue to play an active role in making project decisions that support their efficient and effective implementation?</li> </ul>	
<ul style="list-style-type: none"> <li>• Participation and public awareness: To what extent did the participation of community associations / municipal authorities and central level authorities contribute to progress in achieving the objectives of the project?</li> </ul>	
<ul style="list-style-type: none"> <li>• What has been the role of the GCF besides being the funder?</li> </ul>	
<ul style="list-style-type: none"> <li>• What were the main technical contributions of UNDP to project activities?</li> </ul>	
Communications	

• Is communication regular and effective?	
• Are there key actors left out of communication? Are there feedback mechanisms?	
• Review the external communication of the project: Have appropriate means been established to express the progress of the project and the expected impact on the public? Is there a presence on the web? Has the project implemented awareness campaigns?	
• Has the effectiveness of the communication been measured?	
<b>Sustainability</b>	
Financial risks for sustainability	
• What is the probability that financial and economic resources are not available when the GCF assistance ends?	
Socio-economic risks for sustainability	
• Are there social or political risks that could compromise the sustainability of the project results? What is the risk that the level of ownership of the actors is insufficient to allow the results / benefits of the project to be maintained?	
• Are the main stakeholders aware of the benefits of the ongoing project? Is there enough public / stakeholder awareness to support the long-term objectives of the project?	
Institutional framework and governance risks to sustainability	
• Do the legal frameworks, policies, structures and governmental processes present risks that could compromise the sustainability of the project's benefits?	
Environmental risks for sustainability	
• Is there an environmental risk that could compromise the sustainability of the project results?	
<b>Country Ownership</b>	
• To what extent are the projects aligned with national development plans, national action plans on climate change or sub-national policies, as well as the projects and priorities of national partners?	
• At this point in the execution of the project, do you think there is adequate local ownership and leadership?	

<ul style="list-style-type: none"> <li>• Were the perspectives of the people affected by the decisions and results of the project received information and consulted by the people responsible for the project?</li> </ul>	
<b>Gender Equity</b>	
Design phase	
<ul style="list-style-type: none"> <li>• Is the project proposed to improve the status and position of women?</li> </ul>	
<ul style="list-style-type: none"> <li>• Are objectives related to changes in gender relations identified?</li> </ul>	
<ul style="list-style-type: none"> <li>• Are objectives related to autonomy, empowerment, visibility or assessment of women identified?</li> </ul>	
<ul style="list-style-type: none"> <li>• Are there goals aimed at achieving greater social participation of women?</li> </ul>	
<ul style="list-style-type: none"> <li>• Do the activities promote the participation of men and women equally?</li> </ul>	
<ul style="list-style-type: none"> <li>• Are there activities that reproduce traditional gender roles or, on the contrary, do activities seek to “disarm” traditional roles?</li> </ul>	
<ul style="list-style-type: none"> <li>• Are the projects based on data disaggregated by gender by population-statistics?</li> </ul>	
<ul style="list-style-type: none"> <li>• Are financial resources / project activities explicitly allocated to allow women to benefit from project interventions?</li> </ul>	
Implementation phase	
<ul style="list-style-type: none"> <li>• Were equal relationships between men and women promoted during the activities?</li> </ul>	
<ul style="list-style-type: none"> <li>• Are there lessons in gender equality?</li> </ul>	
<ul style="list-style-type: none"> <li>• At the time when decisions regarding the intervention were made, was the opinion of men and women considered?</li> </ul>	
<ul style="list-style-type: none"> <li>• Did the decision spaces have male and female representatives?</li> </ul>	
<b>Monitoring phase</b>	
<ul style="list-style-type: none"> <li>• How has the project contributed to improving the status and position of women?</li> </ul>	
<ul style="list-style-type: none"> <li>• Has the social assessment of women before the intervention changed? (training related to income improvement).</li> </ul>	
<b>Evaluation phase</b>	
<ul style="list-style-type: none"> <li>• Has progress been made in greater women's autonomy?</li> </ul>	

<ul style="list-style-type: none"> <li>• Has progress been made in greater empowerment of women?</li> </ul>	
<b>Innovation in results areas</b>	
<ul style="list-style-type: none"> <li>• What role have the projects played in the provision of "thought leadership", "innovation" or "additional climate finance unlocked" for climate change adaptation / mitigation in the projects and country context?</li> </ul>	
<b>Unexpected results, both positive and negative</b>	
<ul style="list-style-type: none"> <li>• How has been the capacity of the projects to adapt and evolve based on the continuous lessons learned and the changing development landscape?</li> </ul>	
<ul style="list-style-type: none"> <li>• Can you observe unintended or unexpected positive or negative effects as a result of project interventions?</li> </ul>	
<ul style="list-style-type: none"> <li>• What factors have contributed to the unwanted results, products, activities, results?</li> </ul>	
<b>Replication and Scalability</b>	
<ul style="list-style-type: none"> <li>• What are the lessons learned from the project, failures / opportunities, losses to date? What could have been done better or different?</li> </ul>	
<ul style="list-style-type: none"> <li>• How effective were the exit strategies and approaches to gradually eliminate the assistance provided by the projects, including contributing factors and limitations?</li> </ul>	
<ul style="list-style-type: none"> <li>• What are the key factors that will require attention to improve the prospects for sustainability, scalability or replication of project results / products / results?</li> </ul>	

## 6.4 Rating Scales

<b>Progress Towards Results Rating Scale: (a score for each result and for the objective)</b>		
6	Highly Satisfactory (HS)	The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as “good practice”.
5	Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
4	Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
3	Moderately Unsatisfactory (MU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
2	Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
1	Highly Unsatisfactory (HU)	El objetivo / resultado no ha logrado sus objetivos intermedios, y no se espera que logre cualquiera de sus objetivos al final del proyecto.
<b>Project Implementation &amp; Adaptive Management Rating Scale: (a global score)</b>		
6	Highly Satisfactory (HS)	Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as “good practice”.
5	Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
4	Moderately Satisfactory (MS)	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
3	Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
2	Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
1	Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.
<b>Sustainability Rating Scale</b>		
4	Likely (L)	Negligible risks to sustainability, with key outcomes on track to be achieved by the project’s closure and expected to continue into the foreseeable future.

3	Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review.
2	Moderately Unlikely (MU)	Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on.
1	Unlikely (U)	Severe risks that project outcomes as well as key outputs will not be sustained.

## 6.5 Interim Evaluation mission itinerary

Tuesday, November 19, 2019		
Time	Location	Subject
09:30 – 16:30	Quito	Meeting with PROAmazonía. Induction Each component should prepare a PPT with a similar structure that indicates the scope of the component, its most important achievements and challenges now.
Wednesday, November 20, 2019		
09:30 – 12:30	Quito	Meeting between the gender specialist who supports the consultancy, and the UNDP gender specialist.
14:00 – 17:00		Meeting to review cross-cutting themes of the program prior to field visits.
Thursday, November 21, 2019		
07:00 – 09:00	Antisana	Transfer from Quito to the FONAG intervention zone.
09:00 – 11:30		Tour of the intervened areas with support of PROAmazonía.
14:00 – 16:30	Quito	Meeting at the FONAG offices to review progress and current status of your intervention.
Friday, November 22, 2019		
07:00 – 09:30	Oyacachi	Transfer to FONAG intervention zone.
09:30 – 12:30		Visit to the FONAG area intervened with PROAmazonía.
14:00 – 16:30	Quito	Transfer to Quito.
Monday, November 25, 2019		
09:30 – 12:30	Quito	Meeting with the UGP.
Afternoon	Cuenca	Transfer from Quito to Cuenca.
Tuesday, November 26, 2019		
07:30 – 10:30	Cuenca	Meeting at the offices of FONAPA, presentation.
10:30 – 17:30		Visit to the Cutín Association, with whom FONAPA works.
Wednesday, November 27, 2019		
08:00 – 11:00	Loja	Transfer from Cuenca to Loja.
11:30 – 13:00		Meeting with the UTPL.
14:30 - 17:00		Meeting with FORAGUA
Thursday, November 28, 2019		

07:00 – 10:00	El Pangui	Transfer Loja – El Pangui.
10:00 - 12:00		Meeting with the territorial table of El Pangui.
12:00-13:30	Panguintza	Transfer El Pangui- Panguintza
14:30 - 16:30		Visit to APEOSAE (collection center).
16:30- 18:30	Loja	Return to Loja.
<b>Friday, November 29, 2019</b>		
06:30 – 08:30	El Pangui	Transfer from Loja to El Pangui.
08:30 – 13:00		Visit to intervention areas of FORAGUA.
14:00 – 16:00	Loja	Visit to restoration farms with FORAGUA.
16:00-18:00		Return to Loja
<b>Saturday, November 30, 2019</b>		
06:30 – 08:30	Paltas	Transfer Loja- Paltas
08:30 – 13:00		Visit to the restoration areas of Bosque Seco
14:00 – 16:00	Loja	Meeting with Mancomunidad Bosque Seco in their offices.
16:00-18:00		Return to Loja
<b>Sunday, December 1, 2019</b>		
	Gualaquiza	Transfer to Gualaquiza
<b>Monday, December 2, 2019</b>		
09:00 – 12:00	Gualaquiza	Visit ATPA farms in the morning.
13:30 – 17:00	Macas	Transfer from Gualaquiza to Macas (the trip is 4 hours).
<b>Tuesday, December 3, 2019</b>		
08:30 – 10:30	Macas	Meeting with GAD Provincial de Morona Santiago.
10:30 – 12:30		Meeting with GAD Cantonal de Macas.
14:00 – 16:30		Provincial management of MAG.
<b>Wednesday, December 4, 2019</b>		
08:30 – 08:45	Sevilla Don Bosco	Transfer from Macas to Seville Don Bosco
08:45 – 11:00		Meeting on life plans with the Sevilla Don Bosco community.
11:00 – 12:00	Chiguaza (cantón Huamboya)	Transfer to farm of woman coffee farmers. (Mrs. Ernestina).
12:00 – 13:00	Sevilla Don Bosco (ASUMAAM Association)	Visit to a woman's coffee farm. (Irene Tiwi)
14:30 – 16:30	Puyo	Transfer to Puyo
<b>Thursday, December 5, 2019</b>		
08:30 – 10:30	Puyo	Meeting with STCTEA.
10:30 – 11:00	Shell	Transfer from Puyo to Shell.

11:30 – 13:30		Visit to the forest control center in Mera.
15:00 – 16:30	Puyo	Meeting with GAD Provincial Pastaza.
<b>Friday, December 6, 2019</b>		
08:30 – 10:30	Puyo - Huamboya	Visit to GAD for PDOT.
10:30 – 13:00	Carlos Julio Arosemena Tola	Tsatsayacu Association (CCSN).
14:30 – 17:30	Tena	Transfer to Tena.
<b>Saturday, December 7, 2019</b>		
08:00 – 09:30	Río Guacamayos Community	Transfer from Puyo to the Río Guacamayos community.
09:30 – 12:30		Visit to the Community of Río Guacamayos.
12:30 – 13:00	Wamaní Coquiwa Community.	Transfer from Río Guacamayos to Wamaní.
13:30 – 16:30		Visit to the whole community.
16:30 – 18:00	Tena	Transfer from Wamaní to Tena.
<b>Monday, December 9, 2019</b>		
08:00 – 08:30	Archidona	Transfer from Tena to Archidona.
08:30 – 10:30		Wiñak collection center (CCSN).
10:30 – 12:00		Waylla Kuri Association.
12:00 – 12:30	Tena	Transfer from Archidona to Santa Rita.
14:00 – 15:30		Visit Santa Rita collection center.
15:30 – 17:00		Visit Kallari collection center.
<b>Tuesday, December 10, 2019</b>		
07:30 – 09:30	Loreto	Transfer from Tena to Loreto.
09:30 – 11:30		Visit to ASOSUMACO (CCSN), may include visit to farms.
11:30 – 13:00	El Coca	Transfer from Loreto to El Coca.
15:00 – 17:00		Visit to AGROECOCAFÉ, may include visit to farms.
<b>Wednesday, December 11, 2019</b>		
08:30 – 09:30	Joya de los Sachas	Transfer from El Coca to Joya de los Sachas.
09:30 – 11:00		Visit to INIAP.
11:30 – 13:30		Palma Advisory Council Meeting.
14:30 – 16:30		Visit to two palm farms.
16:30 - 17:30	El Coca	Transfer of Joya de los Sachas to El Coca.
<b>Thursday, December 12, 2019</b>		
08:30 – 10:30	El Coca	Meeting with the cantonal planning table of Orellana.
11:00 – 13:30		Visit to the forest control center in El Coca.

15:00 – 17:00		Meeting with the Provincial GAD of Orellana.
<b>Friday, December 13, 2019</b>		
07:30 – 08:30	Shushufindi	Transfer from El Coca to Shushufindi.
08:30 – 09:30		Meeting with the cantonal GAD.
09:30 – 10:30	Lago Agrio	Transfer from Shushufindi to Lago Agrio.
10:30 – 12:30		Meeting with Provincial GAD.
14:30 – 16:00	Cascales	Meeting with GAD Cascales.
16:00 – 17:30	Lago Agrio	Transfer to Lago Agrio.
<b>Saturday, December 14, 2019</b>		
08:30 – 10:30	Lago Agrio	Meeting with APROCEL (traceability)
13:00 – 14:00	Quito	Transfer to Quito.
<b>Monday, December 16, 2019</b>		
08:30 – 10:30	Quito	Meeting with the Assistant Secretary of Livestock Production.
10:30 – 11:30		ATPA
11:30 – 12:30		Coffee and Cocoa Program.
12:30 – 13:30		FAO
14:30 – 15:30		Assistant Secretary of Family and Peasant Agriculture.
15:30 – 16:30		MAG focal point for Sustainable Palm.
<b>Tuesday, December 17, 2019</b>		
09:00 – 10:00	Quito	Meeting with RR and Manager of PROAmazonía.
10:30 – 12:30		Meeting with PROAmazonía, UNDP, and RTA UNDP Panamá GCF and GEF.
14:30 – 16:30		Meeting with delegates of Creciendo con su Negocio e Iniciando con su Negocio.
<b>Wednesday, December 18, 2019</b>		
08:30 – 09:30	Quito	Socio Bosque Program
10:00 – 11:00		National Program of National Reforestation.
11:00 – 13:00		Assistant Secretary of Climate Change.
14:30 – 15:30		Assistant Secretary of Natural Heritage.
15:30 – 16:30		National Forest Directorate.
<b>Thursday, December 19, 2019</b>		

08:30 - 10:30		Possible meeting with the UNDP Gender Specialist, with the participation of UN Women and the PROAmazonía Gender Specialist)
10:30 - 13:30		Feedback meeting with the consultant about the evaluation visit.
End of the evaluation visit.		

## 6.6 List of persons interviewed

Interviewed	Institution	Association with the project / Observation
Adrián Tello	Consortio Centro	Técnico
Adriana Santos	MAE - Orellana	Coordinadora PN
Agustín Jimpskitk	GADPMS	
Alcides Ron	APROCEL	Joven Dirigente
Alexander Anguniarca	MAE-Morona S	
Alexandra Fischer	PNUD	RTA GEF
Alexandra Garces	PROAmazonía	Técnica en conservación
Alfonso Buxens	PNUD	
Alicia Ruiz	GADPMS	
Amparo Arivias	ONU Mujeres	Coordinadora proyecto
Amy Greenwood	PNUD	
Ana Gabriela Torres	FAO - PROAmazonía	Técnica en Procesos y Automatización
Ana Valverde	PROAmazonía	Especialista C2
Andrea González	GAD El Pangui	Técnica
Andrés Oleas	FONAPA	
Ángel Jaramillo O.	FORAGUA	Coordinador Técnico
Ángel Peralta C.	ETAPA EP	
Ángel Shiguango	GAD Shushufindi	Analista de Ambiente
Angela Álvarez	Subsecretaría de Agricultura Familiar y Campesina	
Arturo Paredes	GADM Santa Clara	Coordinador DOT
Augusto Salazar	Waylla Kuri	Presidente
Bruno Guay	PNUD	Especialista técnico (global)
C. Huatatoca	Centro Kichwa Río Guacamayos	Socia
Carlo Ruiz	PNUD	Coordinador
Carlos Martínez	MAE - Pastaza	
Carlos Yanza	MAG-Morona S	
Carolina Morocho	UTPL	Técnico de campo UTPL
Christian Arévalo	MAG PRCC	
Christian Chacha	MAE - Pastaza	Responsable UPNP
Christian Velasco	FAO - PROAmazonía	Especialista Forestal
Claudia Chiriapo	FORAGUA ST	Técnica
Claudio Koyap	Asociación Sevilla Don Bosco	PROAmazonía
Clea Paz	PNUD	Asesora técnica regional

Cornelio Espín	Asociación La Cayua	Presidente
Cristina Collaguazo	INIAP-EECA	Compras Públicas
Cristina Guevara Rodríguez	PROAmazonía	Técnica
Cristina Pinto	PROAmazonía	Coordinadora Unidad 3 Manejo Forestal Sostenible
Cristina Tituaña	Socio Bosque	
Cristóbal Albuja S.	UCUENCA	
Daniel Buenaño	PROAmazonía	Técnico Agrícola
Daniel Carpio	GAD Morona	Técnico Ordenanza Territorial
Daniel Zumba	IERSE	
Darío C.	PNUD	Consultor
David Salazar	Asociación Wiñak	Responsable
Denisse Sánchez	MAG-PROAmazonía	Especialista Punto Focal
Dennis Sotomayor	INIAP-EECA	
Diego Aguirre G.	Mancomunidad Bosque Seco	Proyecto Restauración Ecosistémica/ bio- emprendimientos
Diego Bastidas	MAG-SPP	Técnico
Domingo Huatatoca	Centro Kichwa Río Guacamayos	
Eduardo Guilcapi	MAE - Pastaza	Abogado
Eduardo Puenchera	GAD Morona	Técnico Ordenanza Territorial
Eduardo Toral	FONAPA	Secretario Técnico
Elver Iván Aguilar	PROAmazonía	Técnico de territorio C3
Evelyn García	PROAmazonía	Técnica en M&E
Fausto Delgado	GADPMS	
Fernanda González	PNUD	Oficial
Fernanda Proaño	PROAmazonía	Técnica
Fernanda Pazmiño	FONAG	Técnica PACHS
Fernando Aguirre	GAD Orellana	
Fernando Flores	GADM Pastaza	Analista
Fernando Pinel	PNUD	Asistente de programa
Flavio Pani	GADPMS	
Francisco Gordillo	FORAGUA ST	Secretario Técnico
Francisco Torrez	GAD Morona	Dirección Planificación
Fredy Andi	Santa Rita	Coordinador Juventud
Gabriela Celi	FAO - PROAmazonía	Técnico en Monitoreo Comunitario
Gabriela Espinosa	UTPL	Técnico UTPL
Gabriela Pinto	PNUD	Asociada del programa GEF

GAD Gualaceo	Gloria Águila	
GAD Municipal Sigsig	Luisana Cabrera	
Geovanny Loza	ETAPA EP	
Gina Procel	PROAmazonía	Técnica
Giovanny Pucha Cofrep	Subsecretaría de Agricultura Familiar y Campesina	
Gladis Shiguango	Santa Rita	Coordinadora Mujer y Familia
Guadalupe Velasco	APROCEL	Asistente Administrativo
Guillermo Cadena Navas	FAO - PROAmazonía	Técnico Consultor Diseño Web e Implementación
Gustavo Jaramillo	PROAmazonía	Técnico OT
Gustavo Torres	GAD El Pangui	Técnico
H. Edwin	GADPS	Jefe PDOT
Harley Barrionuevo	GAD Orellana	Vice prefecto
Henry Ávila	CUTIN	Promotor ambiental
Hermógenes Zambrano	GAD Orellana	
Hernán Narváez	GAD Pachicutza	Vocal
Huatatoca	Centro Kichwa Río Guacamayos	Socio
Ignacio Andy	Santa Rita	Coordinador Salud
Isabel Suarez	PROAmazonía	GAD Cantonal PROAmazonía
Iván Barba	MAG-Morona S	
Iván Palacios	GAD Morona	Técnico PCDOT
Iván Ruiz Cueva	FORAGUA	Técnico
J. Quintana	PROAmazonía	Especialista
Jara Molina Rubio	PNUD	Pasante
Javier Barragán	INIAP-EECA	Analista de Tesorería
Javier Garbay	GAD Morona	Coordinador PCDOT
Javier Tandazo	APROCEL	Administrador
Jeny Andi	Santa Rita	Coordinadora Economía y Desarrollo
Jilmar Capelo	MAE - Orellana	Director
Johanna Benavides	PROAmazonía	Coordinadora
Jorge B. Nawech	Presidente Asociación Sevilla Don Bosco	PROAmazonía
Jorge Garrido	GADMSED	Jefe de OT
Jorge Ojeda	Rex Parks	Administrador
José Andrés Molina	EMAPAL EP	
José Arturo Santos	PNUD	Especialista técnico regional
José Manuel Sonaguaray Clibri	CUTIN	Promotor ambiental
Joy Woolfson	MAG-ATPA	Gerente ATPA Co-ejecutor

Juan Carlos González	PROAmazonía	
Juan Coloma	MAG	
Juan Francisco Bermeo	PROAmazonía	Especialista Técnico en Ganadería
Juan Javier Aguirre	FAO - PROAmazonía	Especialista Planes de Manejo
Juan Manuel García S.	UTPL	Coordinador
Juan Pablo Castillo	MAG	Director Distrital Zamora Chinchipe
Juan Pablo Fajardo	MAE - Sucumbíos	Director Provincia
Juan Sinchi	GAD Morona	Técnico Ordenanza Territorial
Karina Oramorro	CUTIN	Coordinadora
Karla Aguilar	GADM Pastaza	Administradora Territorial
Kety Cerda	Asociación Tsatsayaku	Secretaria
Laura Shiguango	Centro Kichwa Río Guacamayos	
Lenin Castillo	Mancomunidad Bosque Seco	Proyecto Restauración Ecosistémica
Lenin Tungui	Asociación Sevilla Don Bosco	PROAmazonía
Leonardo Bustos	Secretaria de la Amazonia	Analista
Lesley Pscanta	CTC Oyacachi	Coordinadora del Centro de Turismo Oyacachi
Lisandro Moshicindo	Asociación Sevilla Don Bosco	PROAmazonía
Lorena Acosta	PROAmazonía	Especialista
Luis E. Castillo	GAD Morona	Unidad Ordenanza Territorial
Luis Mejía	AACPA	
Luna Delerue	FONAG	Encargada de reportes PROAmazonía
M. Merino	GAD Morona	Unidad Ordenanza Territorial
Ma. Eguiguren	FAO - PROAmazonía	Técnico en Fortalecimiento de Capacidades y Comunicación
Magdalena Muñoz	PROAmazonía	Técnica
Manuel Jesús Uzhca Camas	CUTIN	Promotor ambiental
Marco Antonio Torres Salazar	GAD Orellana	Jefe de Planificación
Marco Grefa	Asociación Wiñak	Coordinador General
Margarita Alvarruiz	PSB - MAE	
Margoth Elizalde	GAD Orellana	PROAmazonía
María Belén Herrera	FAO - PROAmazonía	Coordinadora FAO - PROAmazonía
María Cecibel Ponce	MAE - Pastaza	Directora
Mauricio Flores	GADPMS	

Miguel Abad	PROAmazonía	Técnico Forestal de Campo
Miguel Cabrera	PROAmazonía	Técnico Plataforma
Miguel Guzmán	MAG	
Miguel Ulloa	Mancomunidad Bosque Seco	Proyecto Restauración Ecosistémica
Miryani Guarnizo		
Mónica Costa	UTPL	Técnico UTPL
Natalia García	PNUD	Técnica de proyecto
Noelia Jover	PNUD	Asesora Técnica Regional
Nora Ramon L.	APEOSAE	Gerente
Omar Delgado	UDA-IERSE	
Orlando Guañuna	PROAmazonía	Técnico
Oswaldo Osejos	Corpo Sucumbíos	Coordinador
Pablo Toledo	MAE - DNF	
Paloma Morazo	PNUD	Especialista en programa de país
Patricia Serrano	PROAmazonía	Coordinadora
Patricio Jaramillo	PROAmazonía	Técnico
Patricio Narváez	Waylla Kuri	Presidente Agrup. Sachakuri
Patricio Saravia	PROAmazonía	Técnico
Paul Ochoa	PROAmazonía	
Paul Pasquel	GAD Orellana	Director
Paulina Angulo	PROAmazonía	Coordinadora
Pedro R.	INIAP-EECA	
Pierre-Yves Guedez	PNUD	RTA GCF
Pio Bravo	Gobierno Provincial de Sucumbíos	
Priscilla Merino	PNUD	Asistente
Rene Capa (Representante de la Sra. Carmen Capa)	Beneficiario	Beneficiario del Proyecto de Manejo de la Restauración Ecosistémica
Rodrigo Torres	PROAmazonía	Técnico
Romel Encarnación	GAD El Pangui	
Rosa Huatatoca	Centro Kichwa Río Guacamayos	Socia Activa
Rosario Alvarado	Centro Kichwa Río Guacamayos	
Rosendo Castillo	APROCEL	Directivo
Ruth Pauker	GAD Orellana	
Sandra Bosh	ONU Mujeres	Especialista de programa
Santiago Cortez	PROAmazonía	Técnico
Santiago Huatatoca	Centro Kichwa Río Guacamayos	Secretario
Santioso Marquina	CUTIN	Promotor ambiental

Sara Luaces	PNUD	Participación Virtual
Saúl J.	INIAP-EECA	Administrador Técnico
Sebastián Valareto	PSB - MAE	
Seneida Andy	Santa Rita	Presidente
Servio Bastidas	INIAP-EECA	Analista Semillas
Soledad Quintana	PROAmazonía	Técnica
Tania Velastegui	Directorio ST	Directora Técnica
Tatiana Carvajal	PROAmazonía	Técnico PDOT
Verónica Estrella	PROAmazonía	Coordinadora
Verónica Guamán C.	UCUENCA	
Verónica Moreno	PROAmazonía	Técnica en comunicación
Vicente Cáceres	DNF	
Vicente Medina	APEOSAE	Presidente
Vicente Solorzano	Mancomunidad Bosque Seco	Coordinador de la MBS/Apoyo técnico y metodológico
Vilma Huatatoca	Centro Kichwa Río Guacamayos	Socia Activa
Vladimir Morocho Z.	UTPL	Técnico UTPL
Walter Espinoza Ordoñez	AGPOPZACHINEP	
Wilson Arias	GAD El Pangui	Concejal
Ximena Villazón	ST CTEA	Analista Plan
Zari Arévalo Bayron	MAG	Técnico
Zulema Zabala	GAD Morona	Técnico Ordenanza Territorial

## 6.7 List of documents reviewed

	Name	Received (YES/NO)	Notes
Annex 1	PIF	YES	
Annex 2	UNDP Initiation Plan	YES	
Annex 3	Project Document	YES	
Annex 4	Environmental and Social Screening results	YES	
Annex 5	PROAmazonía Project Inception Report	YES	
Annex 6	All Annual Project Reports (APRs)	YES	
Annex 8	Quarterly progress reports and work plans of the various implementation task teams	YES	
Annex 9	Audit report	YES	
Annex 10	Oversight mission reports	YES	
Annex 11	All monitoring reports prepared by the project	YES	
Annex 12	Financial and Administration guidelines used by Project Team	YES	
Annex 13	Indicators Matrix	YES	
Annex 14	Project operational guidelines, manuals and systems	YES	
Annex 15	UNDP country/countries program document(s)	YES	
Annex 16	Minutes of the Project Steering Committee Meetings and other meetings	YES	
Annex 17	UNDP Ecuador Gender Equality Strategy	YES	
Annex 18	Guide on the incorporation of gender in UNDP programs and projects in Ecuador 2019	YES	
Reunion_14_10_2019	Minutas del comité de gestión y comité directivo	YES	
Reunion_14_10_2019	Cadenas de resultados 2019	YES	
TdR Anexo B	Pautas en el contenido del MTR	YES	

	Guía para realizar revisiones de medio término de proyectos financiados por el PNUD y el FMAM.	YES	
	Informe Técnico Producto M&E 04 2018	YES	
	Organigrama PROAmazonía 30/06/2019	YES	
	POA PROAmazonía 2019-2020 & 2019-2020	YES	
	POA Cronograma GCF 05/2018	YES	
	PROAmazonía Informe Semestral Jul-Dic 2019	YES	
	Manual Operativo ATPA 2017	YES	
	FAA PNUD Estrategia de sostenibilidad con énfasis en el componente 2	YES	
	FAA Grant GCF-UNDP FP019	YES	
	Plan de mejora de la finca 06/11/2019	YES	
	Propuesta Ficha de Diagnóstico Agrícola 03/06/2019 SCC	YES	
	Propuesta Ficha de Diagnóstico Pecuaria 03/06/2019 SCC	YES	
	PROAmazonía informe apoyo a MAG enero 2020	YES	
	Propuesta aceleración y mejora calidad 20190613	YES	
	Acta 01 Delivery 12/03/2019	YES	
	Acta Avance PROAmazonía 07/2019, 09/2019 & 12/2019	YES	
	Estado Componentes 07/2019, 08/2019 & 09/2019	YES	
	PROAmazonía Hitos 2018	YES	
	Documento Cadena Resultados 2019	YES	
	Mapa Áreas Priorizadas 2018	YES	
	Modelo Gestión 28 PDOT	YES	
	Informe Priorización Áreas 2018	YES	
	Guía PDOT Provincial 2019	YES	
	Guía PDOT Parroquial 2019	YES	
	Guía PDOT Cantonal 2019	YES	
	Herramienta Cambio Climático PDOT	YES	
	TdR Consorcio PDOT Amazonía Norte	YES	
	TdR Consorcio PDOT Amazônia Centro	YES	
	TdR Consorcio PDOT Amazonia Sur	YES	
	Informe Técnico MAG MAE Lavazza	YES	

	TdR Construcción Posición País Final	YES	
	Reglamento Fondos Concursables	YES	
	Propuesta Técnica ICSN	YES	
	Procedimiento SOPs PNUD 2019	YES	
	Informes Trimestrales	YES	
	Informes Anuales	YES	
	Informes Donantes	YES	
	Convenios PROAmazonía	YES	
	Acuerdos PROAmazonía	YES	
	Diagnostico Mujeres Amazónicas	YES	
	Estrategia Genero 2019	YES	
	Resumen Salvaguardas 2017 & 2019	YES	
	Impacto de políticas	YES	

## 6.8 Signed UNEG Code of Conduct form

### Evaluators/Consultants:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

### Interim Evaluation Consultant Agreement Form

Agreement to abide by the Code of Conduct for Evaluation in the UN System:

Name of Consultant: \_\_\_ Javier Jahnsen \_\_\_\_\_

Name of Consultancy Organization (where relevant): \_\_\_\_\_

**I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.**

Signed at \_\_\_ La Paz Bolivia \_\_\_ (Place) on \_October 14, 2019\_\_\_\_\_ (Date) Signature:



## 6.9 Signed Interim Evaluation final report clearance form

**Midterm Review Report Reviewed and Cleared By:**

**Commissioning Unit**

Name:   Mónica Andrade  



Signature:

Date:   19/02/2020  

**UNDP-GCF Regional Technical Advisor**

Name:   Noelia Jover Molero  



Signature:

Date:   19/02/2020  

**UNDP-GCF Principal Technical Advisor**

Name: Tim Clairs



Signature:

Date: 20/02/2020

## **6.10 GCF Proposed Indicators Framework**

Annexed in separate file: GCF\_Proposed\_indicators\_Framework.xlsx

## **6.11 Audit Trail**

Annexed in separate file: Audit\_trail\_GCF\_04\_2020.docx

## 6.12 Comments on proposed indicators

OBJECTIVE OF PROJECT OR OUTCOME	INDICATOR	PROPOSED INDICATOR	COMMENT
<p>IMPACT AT THE FUNDING LEVEL M9.0 Better management of lands and forests.</p>	<p>Number of hectares of land or forest under improved and effective management that contribute to reductions in CO2 emissions (cumulative, from the PSB, ATPA and Water Funds).</p>	<p>Instead of cumulative, it is proposed that they be additional hectares, so as not to cause confusion. There are some 4 later indicators that would not be independent, in a way they would be repeated</p>	<p>If the indicator stays cumulative, there would not be any problem as it is straightforward how to calculate and measure the progress for a given period.</p> <p>When additional hectares are being proposed, the difference from one period to the next one is the cumulative value. It is not clear to the evaluator what is the actual change.</p>
<p>IMPACT AT THE PROJECT LEVEL Outcome 4: Implementation of enabling instruments to reduce the drivers of deforestation and their associated emission</p>	<p>Number of enabling systems and instruments available.</p>	<p>b) The SNMB is institutionalized and linked to the Information System of the Ministry of Agriculture and the Forest Traceability System</p> <p>c) The SIS is operational and generating information to prepare information summaries periodically</p> <p>d) FREL was submitted to the UNFCCC in the year 2020 and was evaluated and the REDD + Technical Annex</p>	<p>What is proposed to rephrase is the additional PRODOC text (column C of annex G) not the indicator.</p>

		<p>was presented to the UNFCCC together with the BUR</p> <p>e) The Sustainable Environmental Investment Fund (FIAS) is operational and manages REDD + funds</p>	
PROJECT PRODUCTS: 2.1 Provision of incentives for the transition period towards sustainable production.	Area (ha) supported by ATPA and Area (ha) that implements measures compatible with REDD+.	45,000 hectares supported by MAG that implements measures compatible with REDD+ (The same hectares supported by MAG are considered as hectares that implement sustainable production measures compatible with REDD +)	First, a target is set in the indicator, secondly, the explanation that considers the number of hectares supported by MAG is the justification to replace ATPA, given that the authority is at the Ministry level, it makes more sense.
	# of additional beneficiaries supported by ATPA thanks to the GCF.	# of indirect beneficiaries of the transition to sustainable production	In the proposed indicator, please insert whether it is by ATPA or MAG.
	# and% of MIF plans that integrate provisions to reduce deforestation.	# and% of farm management plans (ATPA, other areas of MAG, producer associations or certifiers) that integrate the provisions to reduce deforestation.	It should be enough to have the percentage.  It is understood that the indicators relate to the project interventions only, thus it is not clear what is the purpose of mapping other areas covered by MAG.
	Level of financial sustainability of farms supported by ATPA (IRR),	Level of financial sustainability of farms	Only the entity is redefined.

	where current and future farm expenditures and income are determined, and economic indicators such as NPV and IRR are improved.	supported by MAG (TIR), where current and future expenses and income of the farms are determined, and economic indicators such as VAN and TIR improve.	
PROJECT PRODUCTS: 4.1 Support for the implementation of the Warsaw Framework for REDD+ and other operational processes.	The SIS is operational.	The SIS is operational and provides transparent information on how safeguards are addressed and respected, through summaries of information.	It is understood that once a System is operational, its objective is to generate timely and quality information. The specificity related to safeguards is supposed to be the only part/portion of the information that the system will generate.  It should remain as originally stated.
	The SNMB is institutionalized.	The SNMB is institutionalized and provides official information on forest dynamics at the national level	Same as above
	# of annual meetings of the national REDD + platform.	At least 4 annual meetings of the REDD + Working Group and 1 local replication process during the project implementation period (2019, 2020, 2021, 2022)	A target is set for the proposed indicator and one local replication is understood that is a consequence of the annual meetings.
PROJECT PRODUCTS: 4.2 Operationalize the financial	The system to manage REDD+ actions and measures is institutionalized.	The REDD + action and action management system is operational	When a system is operational it generates information. Adding technical and financial information would be redundant.

architecture of the REDD+ Action Plan.		and provides technical and financial information on the implementation of the REDD + PA	
	The New Environmental Fund is operational.	The Sustainable Environmental Investment Fund (FIAS) is operational and managing REDD + funds	If the purpose of the Environmental Fund is to manage REDD+ funds, then it is redundant.