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Resilient nations.*

## **FINAL REPORT**

# **“Sustainable Development of the Ecuadorian Amazon: integrated management of multiple use landscapes and high value conservation forests”**

PIMS: 5606

Atlas Project ID/Award ID number: 00100780

Atlas Output ID/Project ID number: 00103570

GEF Project ID: 9055

## **Mid Term Review**

Ecuador: Amazon, 5 Cantons: Francisco de Orellana, Shushufindi, Taisha,  
Morona y Nangaritza.

Implementing Partner: Ministry of Agriculture and Livestock (MAG)

Accredited Entity: United Nations Development Programme (UNDP)

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## Acronyms and Abbreviations

AGROCALIDAD	Ecuadorian Agency for Agricultural Quality Assurance
AME	Ecuadorian Association of Municipalities
ATPA	Agenda for Productive Transformation of the Amazon
ART	Articulation of Territorial Networks Initiative-UNDP
CAF	Development Bank of Latin America
CAT	Technical Advisory Committees
COMAGA	Consortium of Amazonian and Galapagos Municipalities
COMAFORS	Corporation for Sustainable Forest Management
COMEX	Ministry of Foreign Trade
CONAFIPS	National Popular and Solidarity Finance Corporation
CONFENIAE	Confederation of Indigenous Nationalities of the Ecuadorian Amazon
CONGOPE	Autonomous Provincial Government Consortium
CPAP	Country Program and Action Plan
CSO	Civil Society Organization
CTEA	Special Amazonian Territorial Circumscription
DNP	Director Nacional del Proyecto
EAP	Economically Active Population
ECORAE	Institute for Eco-development of Ecuadorian Amazon Region
ERC	Evaluation Resource Center
ETP	Project Technical Team
FAO	Food and Agriculture Organization
FFLA	Futuro Latinoamericano Foundation
GAD	Decentralized autonomous governments
GCF	Green Climate Fund
GoE	Government of Ecuador
GEF	Global Environmental Facility
GHG	Greenhouse gas emissions
GIS	Geographical Information Systems
GPS	Geographic Positioning System
HVCFs	High Value Conservation Forests
IEPS	Institute of Popular and Solidary Economy
IKIAM	IKIAM Amazonian Regional University
INB	National Biodiversity Institute
INIAP	National Agricultural Research Institute
M&E	Monitoring and Evaluation
MAE	Ministry of Environment
MAG	Ministry of Agriculture and Livestock
MICSE	Coordinating Ministry for Strategic Sectors
MINTUR	Ministry of Tourism

MIPRO	Ministry of Industry and Production
MTR	Mid-Term Review
MUL	Multiple Use Landscapes
NGO	Non-Governmental Organization
NIM-supported	National Implementation Modality with UNDP support
NTFPs	Non-timber Forest Products
PANE	State Natural Heritage Areas Sub-system
PB	Project Board
PDOT	Development and Territorial Planning Plans
PIR	Project Implementation Report
PMU	Project Management Unit
POPP	Programme and Operations Policies and Procedures- UNDP
PPR	Project Progress Reports
PSB	Socio-Bosque Program
REDD+ Programme	Programme on Reducing Emissions from Deforestation and Forest Degradation
ROAR	Results-Oriented Annual Report
RSPO	Roundtable for Sustainable Palm Oil
SACRE	Achuar System for Conservation and Ecological Reserves of Ecuador
SAF	Forestry Administration System
SAT	Early warning system
SBAA	Standard Basic Assistance Agreement
SDG	Sustainable Development Goals
SDSN	Sustainable Development Solutions Network
SENECYT	National Education, Science and Technology Secretariat
SENPLADES	National Planning Secretariat
SESP	Social and Environmental Screening Procedure
SFM	Sustainable Forest Management
SIN	National Information System
SLM	Sustainable Land Management
SOPs	UNDP Standard Operating Procedures
UCG	Management Committees Unit
UEA	Amazonian State University
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 Mid-Term Review of the Project "Sustainable Development of the Ecuadorian Amazon: integrated management of multiple use landscapes and high value conservation forests", 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 GCF Project "Priming Financial and Land Use Planning Instruments to Reduce Emissions from Deforestation". Both Projects are complementary and together they contribute to the overall objectives of the PROAmazonía Program.

The purpose of this evaluation is to analyze and assess progress towards the achievement of the Project's 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 covered a period of two and a half years of Project execution (May 2017-December 2019), in which the Ministry of Agriculture and Livestock (MAG) has been implementing the Project together with interested parties. As of December 31, 2019, the Project has expended 29% of its budget (US\$ 3,676,075 / US \$ 12,462,550), during which 45% of the Project's planned duration has elapsed. The evaluation methodology was implemented through 4 phases: (1) Document review and preparatory work; (2) Field work; (3) Information Analysis; and (4) Preparation of final reports.

## Project Information Table

Table 1: Project Information Table

<b>Project Title</b>	"Sustainable Development of the Ecuadorian Amazon: integrated management of multiple use landscapes and high value conservation forests".		
<b>UNDP Project ID (PIMS #)</b>	PIMS 5606	<b>PIF approval date</b>	27/09/2016
<b>Atlas Project ID/Award ID number</b>	00100780	<b>CEO approval date</b>	
<b>Atlas Output ID/Project ID number</b>	00103570	<b>Project Document (ProDoc) Signature Date (date project began)</b>	<b>Estimated</b>
			01/06/2017
			<b>Actual</b>
			22/05/2017
<b>GEF Project ID</b>	9055	<b>Project manager hiring date</b>	<b>Estimated</b>
<b>Country</b>	Ecuador		
			15/09/2017
		<b>Actual</b>	
			1/12/2017
<b>Region</b>	Latin America and the Caribbean	<b>Inception Workshop date</b>	8/09/2017
<b>Focal Area</b>	Multifocal	<b>Midterm Review completion date</b>	February 2020
<b>GEF Focal Area Strategic Objective</b>	Biodiversity, Integrated Landscapes, Sustainable Land Management	<b>Estimated closing date</b>	31/12/2022
<b>Trust Fund</b>	GEF		
<b>Executing Agency</b>	United Nations Development Programme		
<b>Executing / Implementing Entity</b>	Ministry of Agriculture and Livestock (MAG)		
<b>Project Financing</b>			
	GCF Grant	US\$ 12,462,550 (excluding fees)	
	UNDP TRAC resources	US\$ 0	
	<b>(1) Total Budget administered by UNDP</b>	<b>US\$ 12,462,550</b>	
<b>Parallel Co-Financing</b>			
	UNDP	US\$ 1,000,629	
	Government	US\$ 34,347,440	
	NGO	US\$ 3,600,000	
	Private Sector	US\$ 1,986,008	
	Academia	US\$ 4,453,804	
	International Development Bank	US\$ 3,950,470	
	<b>(2) Total co-financing</b>	<b>US\$ 49,338,351</b>	
	<b>(3) Grand-Total Project Financing (1) +(2)</b>	<b>US\$ 61,800,901</b>	



## **Project Description**

The objective of the Project is to catalyze the transformation of land use planning and management in the Ecuadorian Amazon (CTEA) by building a governance and sustainable production framework based on a landscape approach and optimizing ecosystem services and livelihoods. The Project, with its four components, proposes solutions to an existing model of weak multilevel governance for sustainable management and production in landscapes due to weak coordination between the bodies and institutions that share the responsibilities of managing forests and land. The institutionalization process of the Provincial and Cantonal Decentralized autonomous governments (GADs) has little continuity and its capacity is still limited, especially in the components of climate change and sustainable deforestation-free production.

Additionally, attempts are being made to close the gap about the existing limitations in terms of access to markets, credits and incentives that promote deforestation-free supply chains, and access to markets for sustainable products, either raw materials or Non-Timber Forest Products (NTFPs).

## **Project Progress Summary**

The following table presents the respective progress at the time of the evaluation, together with its associated products and activities, and indicative goals. The classification scale is included in [Annex 6.4](#).

**Table 2: MTR Ratings & Achievement Summary Table**

Measure	MTR 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 national policies and laws, with the strategic priorities of donors, and with the specific needs of the intervention area.</li> <li>▪ PROAmazonía is the first program that follows 100% the Warsaw Pact guidelines by REDD+ from the United Nations Framework Convention on Climate Change (UNFCCC).</li> <li>▪ The program is associated and integrated to additional funding from the Green Climate Fund (GCF) donor, as well as to the work from two key ministries (Ministry of Environment and Ministry of Agriculture and Livestock). This is widely recognized internationally.</li> <li>▪ The Global Environmental Facility (GEF) priorities to work under an integral approach for preserving biodiversity, sustainable development, and territory planning.</li> <li>▪ The project is aimed at addressing, through tools and concepts, the allocation and administration of land, in order to achieve environmental, social and political objectives, and challenges. In addition, due to the principles assumed by the Project, such as continuous and multidimensional learning and the multiple actors, this constitutes the propitious scenario to include the gender and intercultural approach in a transversal way between the central, provincial, cantonal and parochial actors.</li> <li>▪ The implementation of the project is based on mechanisms and tools that are objectively measurable and that facilitate contribution to the compliance of plans, policies and regulations established in the country, in accordance with what is established in international conventions on climate change and sustainable development.</li> </ul>
<b>Progress Towards Results</b>	Average Achievement Rating: <b>4/6</b> (Moderately Satisfactory)	<ul style="list-style-type: none"> <li>▪ Most of the results and the outcomes of the indicators are on the way to being achieved.</li> <li>▪ At the time of the Mid-Term Review, it was evident that, for each result and expected outcome, there is a set of activities that are being implemented.</li> <li>▪ Regarding Component 2 and its indicator 2.4 and 2.5, the activities were started following a delay; therefore, they require more frequent supervision to ensure the achievement of their objectives, and to contribute to the achievement of the results and outcomes of the project.</li> </ul>
	<b>OUTCOME 1</b> Achievement Rating: <b>5</b> (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, biodiversity, and REDD+ in national public policies, and in the main management instruments at the Provincial and Cantonal GADs level, in addition to the communities, towns and nationalities, will be reached. The Citizen Assemblies and Cantonal Participation Councils will also be reached out to in order to join the Development and Territorial Planning Plans (PDOTs).</li> <li>▪ The expected results of the approved PDOTs will be achieved through the proper implementation of them.</li> </ul>

<p><b>OUTCOME 2</b> Achievement Rating: <b>4</b> (Moderately Satisfactory)</p>	<ul style="list-style-type: none"> <li>▪ In the expected result that emphasized access to markets, credits and incentives for a sustainable production of the main products in Multiple Use Landscapes (MULs) and Landscapes with high conservation value in the CTEA, most of the indicator goals are on their way to being achieved, excluding indicators 2.4 and 2.5, previously mentioned.</li> <li>▪ Regarding indicator 2.2, the Roundtable for Sustainable Palm Oil (RSPO) certification activity is delayed. The approach and engagement of palm producers has room for improvement in order to adhere to the certification process. In this sense, the inter-institutional committee for monitoring sustainable palm - CISPS decided to work on the jurisdictional certification scheme that will be published in March 2020.</li> </ul>
<p><b>OUTCOME 3</b> Achievement Rating: <b>4</b> (Moderately Satisfactory)</p>	<ul style="list-style-type: none"> <li>▪ The achievement towards the objective of implementing at the landscape level of sustainable practices in commercial production and livelihoods, in line with the conservation and restoration of High Value Conservation Forests (HVCFs) has not achieved the defined targets for the mid-term indicators. However, it has been possible to identify a set of activities under implementation that, upon completion, will contribute to the established targets.</li> <li>▪ In indicator 3.1 numeral b), related to the RSPO certification, it is necessary to improve the awareness and the engagement of producers in order to achieve the expected outcome.</li> <li>▪ An activity that can give value to many other activities, not only in component 3, is the development and implementation of the Community Monitoring system.</li> <li>▪ The implementation and tracking of the Community Monitoring system that is already designed and has great potential to give value to many of the activities, and can be adopted as a strategic function.</li> <li>▪ The FAO-UNDP agreement has been signed, and currently there are 8 identified pilot communities, as well as a conceptual model of community monitoring, which was foreseen in the project document (PRODOC) to start in the second quarter of year 2.</li> </ul>
<p><b>OUTCOME 4</b> Achievement Rating: <b>4</b> (Moderately Satisfactory)</p>	<ul style="list-style-type: none"> <li>▪ The progress towards the results through the activities proposed for the dissemination of lessons learned and the Monitoring and Evaluation (M&amp;E) is delayed. What defines the quality of the M&amp;E system is the collection of data, aggregation, analysis and timely dissemination to all the actors involved, in one way or another, in the management of the program. It is evident that the Project Management Unit (PMU) should improve its information dissemination system. In good practice, the development and implementation of an M&amp;E System occurs in Year 1.</li> <li>▪ A very important activity that is transversal in the Program, is the Gender and Interculturality strategy and its incorporation into the Program, which was initiated late, under the technical responsibility of UN Women. This activity has important breakthroughs, including the School for Leadership for indigenous women, the study of the gender gap in the Amazon, and the current study of Social and Environmental Impact that will define a Gender Plan with specific actions.</li> <li>▪ Another activity that has been implemented is the Training Program on Indigenous Territorial Governance with the IKIAM University.</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 great challenge that consists of integrating the organizational work cultures of two Ministries (the Ministry of Environment and the Ministry of Agriculture and Livestock), for which a Program Coordination Unit with Program support has been established with the support of the United Nations for Development (UNDP).</li> <li>▪ Despite having a Process Manual, the adaptive processes of the ministerial teams and the PROAmazonía have been subject to changes in authorities, altering work dynamics and not always following what is established in the Manual, causing variations between what has been planned and the actual results.</li> <li>▪ At the strategic work level, both the Board of Directors and the Management Committees must carry out their meetings in a more strategic way at a technical level, since there has been a greater emphasis on administrative work.</li> <li>▪ At the design level of the organizational structure of PROAmazonía, the provincial level management demonstrates that a more decentralized organizational structure would have been more effective.</li> <li>▪ About the M&amp;E System the methodology is found to be robust, the dissemination of information has a lot of room for improvement.</li> <li>▪ The role of the UNDP Country Office focuses more on the administrative, rather than technical aspects due to the number of processes to be carried out in the year, however, it should be noted that there is also technical support in monitoring the project, reviewing the ToRs, inputs for reports technicians, assistance in strategic planning, consulting, among others.</li> </ul>
<p><b>Sustainability</b></p>	<p>Achievement Rating: <b>3/4</b> (Moderately Likely)</p>	<ul style="list-style-type: none"> <li>▪ Political and social risks are identified, which can affect the continuity of the results of the Program and its beneficiaries.</li> <li>▪ From the perspective of strategic planning (the results chain or theory of change) the activities of PROAmazonía and its products obtained with the necessary added value will contribute to the sustainability and the positive effects, which, based on evidence, will be the proof of its success. Moreover, they contributed to the establishment of capacities for coordination at multiple levels, and the joint planning and coordinated implementation of public policies and intervention in the CTEA.</li> <li>▪ At the Ministerial level, the total association of the Program is still a pending task, which represents a risk to ensure that the vision and results of the Program are maintained in the short, medium and long term. Greater ownership can be achieved at the central and provincial levels with a better communication strategy.</li> <li>▪ Consequently, more work is needed for Ministries to own the work of the Program and allow the Inter-ministerial Worktables to go beyond the life of the Program.</li> <li>▪ Ensuring the quality in the management of inputs to PROAmazonía products improves the chances of success and ensures the sustainability of the results. The probability of replicability and scalability at the producer level will be possible when the income of the producers' increases with the new productive practices adopted as a result of the interventions of PROAmazonía, and these practices are disseminated with other communities.</li> </ul>

		<ul style="list-style-type: none"><li>▪ It remains a challenge to replicate and finance interventions, such as those of the PROAmazonía Program, with the resources of the Republic of Ecuador, which in the current economic situation is not very likely, since a fiscal adjustment plan has been implemented to reduce the public deficit.</li></ul>
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## Concise summary of conclusions

### Project Strategy

- The Project is consistent with the 6 objectives and programs of the GEF<sup>1</sup>. It is a Project that catalyzes the strategy of the Government of Ecuador. It is aligned with the country's international commitments. From its design, it has the challenge of establishing inter-ministerial work at the program governance and at the technical level, supported by a Coordination Unit that implements the technical and fiduciary processes with the support of the UNDP Country Office.
- Accurately identifies the existing problems and barriers that need to be addressed with the interventions. It should be noted that the GEF and GCF Projects are complementary and contribute to achieving the overall objectives of the PROAmazonía Program. It is important to mention that the National Project Management changed from the Under-secretariat for Livestock Production to the Vice Ministry of Agricultural Productive Development.
- Institutional decentralization is a good opportunity for good practices to be developed and implemented, supported by the new guidelines and regulations issued by the PLANIFICA Secretariat with support from the Program in planning the use of territory, land, and natural resources.
- Ensuring greater empowerment of the objectives and vision of the Program by the Ministries and local governments replicating the results of the Program would considerably improve the sustainability of the interventions. Implementing a strategy to disseminate information on the advancement and progress of activities will strengthen the associations of the different entities and actors in relation to the Program.
- In some of the indicators, a lack of precision is identified, such as the transition to sustainable production systems, landscape degradation, restoration with low resources, sustainable forest management, and high conservation value, for this reason, this group of indicators was reviewed and adjusted.
- The Capacity Building indicators are limited to being only quantitative, so qualitative indicators should be added. Including ex-ante quality criteria in training and strengthening activities in a formal and measurable way will add value to the results chain.
- The replacement of the work strategy with Farm Management Plans of the Amazon Transformation Agenda Initiative (ATPA) through the Field Schools strategy is a great opportunity to deliver non-monetary incentives while training the selected farmers.

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<sup>1</sup> The Objective 4 Biodiversity Focal Area Introduce biodiversity conservation and sustainable use in productive landscapes and seascapes and production sectors, Program 9 Administration of the Human-Biodiversity Interface; Focal Area Land Degradation Objective 3 Integrated landscapes: Reduce pressures on natural resources from competing land uses in larger landscapes, Program 4 Increase sustainable land management through the landscape approach; and Sustainable Forest Management Objective 1 Sustained forest resources: Reduce pressures on forests with high conservation value, addressing the causes of deforestation (Source: PRODOC).

## **Relevance**

- The Theory of Change proposed and defined in the PRODOC is completely valid, since it emphasizes on the main problems to be solved in the geographic areas and targeted beneficiaries. The project is intervening in three landscapes (north, center and south of the Amazon). Although each has its own characteristics, they reflect the problems of the CTEA.
- 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.
- One of the strengths and challenges of this Program is the integration between the Ministry of Environment and the Ministry of Agriculture.
- The ministerial teams should identify areas for replicability and scalability that are aligned with national and local policies and strategies.

## **Efficiency and Effectiveness**

- The Project has been graded with ‘intermediate progress’. This is based on products, planned results and expected Mid-Term results, and a physical financial indicator (42% of progress elapsed time vs 29% of executed budget for the duration of the Project from 22/05/17 to 31/12/22).
- It is evident that the processes for the elaboration and approval of the activities do not correspond to what was agreed and described in the “Manual of Processes, Governance and Implementation” of the Program.
- The changing of authorities, which is an inevitable political risk, has been the determining factor for inefficiencies in technical and administrative processes, affecting the management of the Project Management Unit of PROAmazonía and the Program itself.
- The review of the technical processes by the ministries could be more efficient and strategic to optimize timelines, and to demand PROAmazonía to guarantee the quality of processes and products. It is expected that with the change of UNDP in its Standard Operating Procedures (SOPs), the procurement mechanisms for goods and services will be more agile.
- The reallocation of resources for personnel and consultancies between lines must follow the limit ceilings established in the PRODOC, which is 10% between components and 5% for new budget lines. For a new activity to be eligible as a rule, it must prove that it aligns with the objectives of a certain component by contributing to achieving the objectives of that component. Should the following deviations occur, which must always be linked to the scope of the Project indicators and without affecting the scope of the rest of these, project team and UNDP Country Office will seek prior approval from the Central Office

and the UNDP Office of Policy and Program Support (BPPS) / GEF team to ensure accurate reporting to the GEF:

- Budget re-allocations among components in the project budget with amounts involving 10% of the total project grant or more;
- Introduction of new budget items that exceed 5% of original GEF allocation;
- Project Management Costs (PMC) cannot exceed the approved amount;
- Direct project costs (DPC) must be included in the PMC (under the budget line 64397 for Staff and 74596 for the project services) and cannot exceed the approved amount.

### Progress Towards Results

- In general, the Project has demonstrated important progress towards the results across all components, except for component 2, which is associated with tax incentives and credit lines.
- Progress does not always depend on the technical capabilities of the Project team, but also on the commitment and ownership of the implementing partners.

**Table 3: Main Progress Towards Component Results**

Components	Progress Towards Component Results
<b>Component 1</b> Intermediate progress	<ul style="list-style-type: none"> <li>● Cooperation agreements with the Technical Secretariat of the CTEA.</li> <li>● Progress in the implementation of the activities and agreements signed within the framework of the governance of the Program.</li> <li>● Analysis of the current situation of 5 cantonal PDOTs and 5 parish PDOTs and technical assistance.</li> <li>● Collection of data referring to Local Information Systems in the GADs.</li> </ul>
<b>Component 2</b> Relative progress	<ul style="list-style-type: none"> <li>● Strategic plan for the sustainable palm platform nationwide.</li> <li>● There is a roadmap with BanEcuador and progress in the automation of the information generated by ATPA - MAG.</li> <li>● Generation of a road map with pilot communities and start of the assistance process for bio-entrepreneurship projects.</li> </ul>
<b>Component 3</b>	<ul style="list-style-type: none"> <li>● Signing of the MAE-MAG-UTPL agreement.</li> <li>● Signing of the FAO-UNDP inter-agency agreement.</li> <li>● Implementation of the management effectiveness tool in three protective forests.</li> <li>● Preparation of the Field Schools (ECA) proposal.</li> </ul>
<b>Component 4</b>	<ul style="list-style-type: none"> <li>● Agreement signed with UN Women and implementation of the agreed work plan.</li> <li>● Validation and implementation of the Capacity Building Strategy.</li> <li>● Development of the Training Program on Indigenous Territorial Governance.</li> </ul>



Delays, relative progress	<ul style="list-style-type: none"> <li>• Generation of a process to collect information to record inputs on the lessons learned, their systematization and dissemination with delay.</li> </ul>
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### **Project Implementation and Adaptive Management**

- The Project had a delay of 7 to 10 months between its establishment and the beginning of implementation.
- The project has the capacity to adapt.
- The evaluation team identified an intermediate level of the financial management of the Project. According to the latest progress report, in the month 30/72 (42% implementation), the Project has executed US \$ 3,676,075 / US \$ 12,462,550 i.e. 29% of its budget.
- The strong support of the UNDP regional office, the climate and forest team and the Regional Technical Advisor on issues of involvement in international networks, as well as political management during visits to Ecuador, has led to the involvement of the Ministries (MAE and MAG) in the dissemination of the achievements of Ecuador with regard to reducing deforestation, and its relationship with sustainable production.
- The dissemination of information is a fundamental aspect to be improved and strengthened.
- Not having a properly implemented communication strategy weakens the visibility of the actions in an integral manner.

### **Sustainability**

- Political risks are always present, since the changes of authorities can affect the continuity of the results of the program and its beneficiaries.
- The lack of dissemination of information on the advancement and progress of activities at its different stages causes the Ministry teams to disassociate and to not always be well informed, which also represents a high risk for the results and vision of the program to be maintained in the short, medium and long term.
- The difficulty of the economic situation in the Republic of Ecuador translates into the need for public-private alliances or international cooperation to find additional sources of financing that can contribute to the continuity or scalability of the results that are being achieved.

### **Country Ownership**

- At the Project Management Unit (PMU) level, there is a good level of commitment and ownership. At the authorities and Ministry teams' level, an intermediate level of ownership of the activities of the Project is identified.

- At the Provincial and Cantonal GADs level, more engagement is needed. The fact that the Project is being executed by the MAG and with the responsibility of MAE, and that it is also part of the PROAmazonía program, gives it a national profile and not exclusively as an international cooperation effort.
- It is pertinent to clarify that the role of the UNDP in supporting the National Implementation takes place at the request of the Government / Implementing Partner, and that UNDP, in this case through a Project Management Unit, provides administrative and technical services for the implementation of the activities related to 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 implement tasks that cannot be managed by the existing mechanisms of the implementing partner, the UNDP is responsible for the provision of services, including their quality and exactness, requiring effective mechanisms to facilitate efficiency in management.

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

- The PROAmazonía program is considered as a pioneering and innovative initiative, which is in line with the strategies of the REDD+ Action Plan (AP).
- Ecuador is a pioneer country in the definition of sustainable and deforestation-free production and the government is working to disseminate this effort and to consolidate commercial alliances that will continue supporting this model.
- Since this is the first Forest and Soil Management Project, it is a good opportunity for it to be replicated not only in other countries, but also in Ecuador.

### **Main achievements and limitations by Results**

#### **Positive results**

- The Territorial Tables and the Planning Tables achieve close relationships between the GADs.
- Based on the work and methodology of the Field Schools (ECAs), the MAG can update its approach to technical assistance from the central level and replicate it at the national level.
- Implementation of outreach strategies with the new authorities to guarantee the continuity of the Project processes.
- The implementation of the National Consultation Guide (CPLI), considered a good practice within the Project.
- The methodological design, regulations and financial administrative procedures for the implementation of the Project under the competitive funds' mechanism have been

positive. PROAmazonía has been a pioneer generating synergy between MAE and MAG, and the basis for the implementation of other fund initiatives with other donors.

- The joint decision-making between the MAE and MAG Ministries has enhanced their work and coordination. This joint work has allowed an excellent positioning of the country and the Program at the international level.
- It has been possible for the Ministry of Agriculture to become more empowered about the need to work under the deforestation-free production approach and to promote it in its "Premium and Sustainable" strategy.

### **Limitations to Results**

- The focus of the Management Committees in 2019 has been mainly on administrative matters, adjustments and approvals of procurement plans and changes to the POA.
- 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 perhaps not effective in all provinces.

### **Gender Equity**

- In a timely and transversal manner, the Project integrates gender and intercultural considerations. Likewise, the interventions carried out lead to obtaining results with a determined and concrete impact, with the implementation of mechanisms and tools that are objectively measurable and that help to comply with the plans, policies and regulations established in the country.
- With the support of UN Women, the mainstreaming work is addressed, developing appropriate tools and mechanisms and considering the diversity of the cultural, social and economic realities of the Amazon.

### **Replication and Scalability**

- Through the M&E System, it is possible to systematize the good practices that provide and added value and that are being developed and implemented in the focus area of the Project.
- To date, the guidelines for the development of Territorial Planning and Development Plans (PDOT), which are now binding on all GADs, are standing up.
- Based on the work and methodology of the field schools, the MAG can update its technical assistance approach from the central level and replicate it at the national level.

## **Recommendations Summary**

**Recommendation 1 -Component 1:** Continue the collaboration and technical work with the PLANIFICA Secretariat and the CTEA Technical Secretariat to ensure that the supervision and monitoring of the implementation of PDOTs is carried out properly.

**Recommendation 2 -Component 2:** Review and adjust the road map with BanEcuador and, from that, redouble efforts to achieve the agreed objectives, in addition to analyzing other strategies that facilitate the identification and development of green credit lines.

**Recommendation 3 -Component 2:** It is necessary to review and update the milestones and goals of the activities of Roundtable on Sustainable Palm Oil (RSPO) certification, and progress towards their achievement in a comprehensive manner. A promotion and awareness strategy need to be carried out with PROAmazonía beneficiary producers of palm to proactively involve them and adhere to the certification.

**Recommendation 4 -Component 2:** It is necessary to ensure that all technical assistance activities from the outset are known to most legal partners. Similarly, the consulting team must have a strategy and the criteria for participation, also considering the gender approach. In this same direction, clear ground rules are needed to ensure the commitment and ownership of the associates, in order for both the technical assistance process and the final product to add value to their forms of production and commercial linkage, which will allow beneficiaries to generate higher income and therefore greater sustainability.

**Recommendation 5 -Component 3:** Establish and define the association of the information generated between the subsystems. Both the Community Forest Monitoring System and the pilot system of farm boundaries can provide relevant information to be integrated into the Program's M&E System. Aligning Information Systems is a good practice to complement their information for better strategic planning, implementation and for the systematization and reporting of good practices.

**Recommendation 6 -Component 4:** It is recommended to keep the UN Women approach with disaggregated information to ensure data availability with quality and timeliness, and thus avoid the information gap that occurred at the beginning of the Program.

**Recommendation 7 -Component 4:** The implementation of market studies, as well as the action plans that identify specific business opportunities and market access for women and indigenous peoples, should take advantage and develop their own logic, based on their knowledge.

**Recommendation 8 -Component 4:** Assessment of the current state of implementation of the M&E System plan vs. actual in terms of: i) software ii) hardware and iii) personnel trained in its administration. In this way, it can be ensured that the Project management is supported by a results-oriented computing tool, generating information and disseminating it more efficiently and effectively.

**Recommendation 9 -Component 4:** Implementation of UNDP SOPs in replacement of the operational processes section of the Program Process Manual. This will also give agility to the implementation and will facilitate greater use of the technical capabilities of the PMU and strengthen the strategic role of the Ministries as Implementing Partners.

**Recommendation 10 -Cross-cutting:** Review and adjust the structure of the provincial teams and include the position of Technical Coordination for each region.

**Recommendation 11 -Cross-cutting:** In order to improve the sustainability of the interventions, it is recommended that when approving a certain strategic product, the Management, the National Directorates and specialists make an analysis supported by a checklist that verifies the criteria of efficiency, effectiveness, and the effects to which it will contribute, in addition to analyzing its sustainability. This checklist can be attached to the minutes of the Management Committee meeting for the corresponding period to demonstrate that the monitoring and evaluation role contributes to ensuring the achievement of the expected results and products.

**Recommendation 12 -Cross-cutting:** Establish a strategy to socialize and agree on key actions to implement all the recommendations presented in this evaluation with the Ministries.

## 2. Introduction

### **Purpose of the Mid Term Review and objectives**

This document presents the final report of the Mid-Term Review (MTR) of the Project “Sustainable Development of the Ecuadorian Amazon: integrated management of multiple use landscapes and high value conservation forests” within the Amazon Comprehensive Program of Forest Conservation and Sustainable Production (PROAmazonía), financed by the Global Environmental Facility (GEF) and the Government of Ecuador.

The purpose of the Mid-Term Review 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 Mid-Term Review also reviewed the Project strategy and its risks to sustainability.

The specific objectives of MTR are to measure the coherence of the Project management with the objectives of the Global Environmental Facility (GEF), 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 Project 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 Mid-Term Review of the GCF Project *“Priming Financial and Land Use Planning Instruments to Reduce Emissions from Deforestation”*. Both Projects are complementary and conform the Amazon Comprehensive Program for Forest Conservation and Sustainable Production - PROAmazonía.

### **Scope and Methodology**

The methodology applied is based on 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).

Annex 6.13 presents a diagram of the evaluation flow of the PROAmazonía Program, which includes the phases of the Mid-Term Review of this Project.

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 Mid-Term Review. Table 8

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:

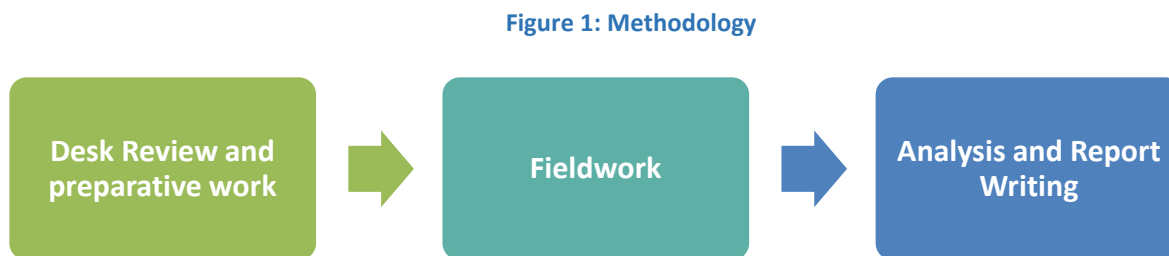
- Compared and analyzed the status of the indicators within the annual project performance report and its baseline with the value reached until the Mid-Term Review, comparing with the target set for that period.
- Identified persistent barriers to achieving the Project objectives.
- Identified ways in 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 mentioned in the PRODOC regarding:

- Project progress monitoring based on the results management platform.
- Update of the risk register in ATLAS.
- Project Implementation Reports (PIR 2018 and 2019) and project progress reports (including project reports to UNDP and PROAmazonía partners).
- Reports delivered to UNDP and the Project Board.

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



*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. The consulting team of the MTR 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.

### **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.

The following points were considered for the data analysis:

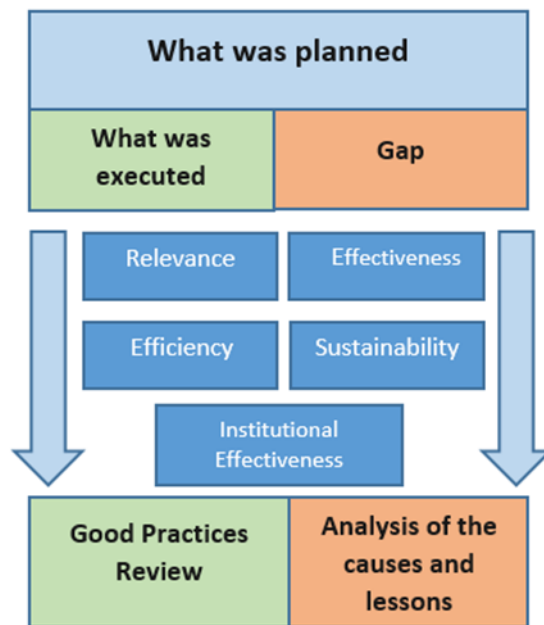
- Comparison of the baseline values of the indicators of each of the project results and the values observed until the Mid-Term Review of the Project.



- 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 2 in order to analyze the information collected by fully describing and addressing key aspects of the evaluation.

Figure 2: Conceptual framework for information analysis

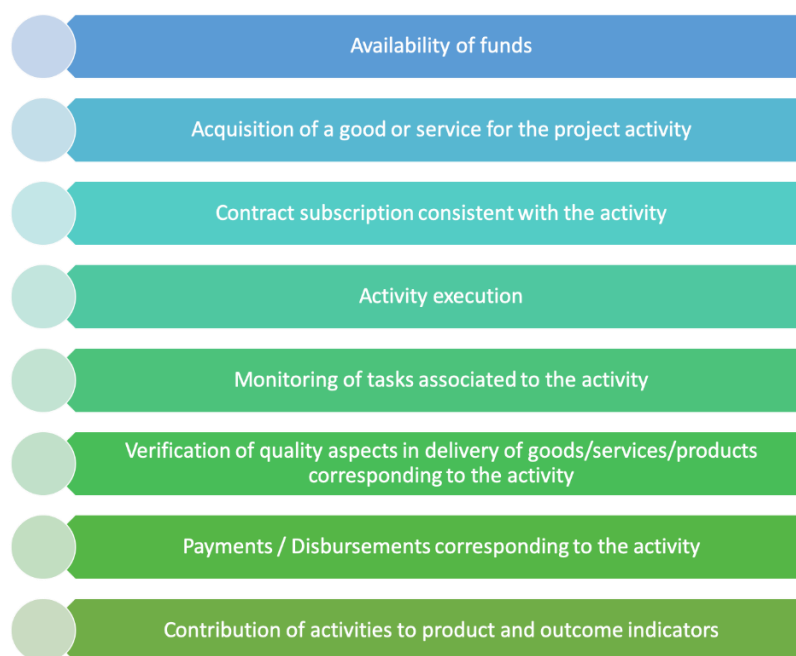


Source: Own elaboration based on the requirements of the terms of reference.

### Plan of Action (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 3 presents the analysis model that was used for this purpose.

**Figure 3: Analysis model**



*Source: Own elaboration*

### **Structure of the MTR 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 "Sustainable Development of the Ecuadorian Amazon: integrated management of multiple use landscapes and high value conservation forests", establishes the approaches of integrality and landscape. The project is aimed at addressing, through tools and concepts, the allocation and administration of land, in order to achieve environmental, social and political objectives and challenges. In addition, due to the principles assumed by the Project, such as continuous, multidimensional learning and multiple actors, this is the appropriate scenario to include the gender and intercultural approach in a transversal way. These principles guarantee, at all stages of the Project, sustainability and compliance with the proposed goals of comprehensive management. Also, because it is aimed at landscapes, it focuses on defined territories, thus the interventions it carries out lead to results with specific and determined impact. For this, the implementation is based on mechanisms and tools that are objectively

measurable, and that help to contribute to the fulfillment of plans, policies and regulations established in the country, in accordance with what is established in the international conventions on climate change and sustainable development.

In this context, the Project includes the following objective, scope and means to achieve compliance:

**Table 4: Objectives, scope, and means and ends**

OBJECTIVE	SCOPE	MEANS AND ENDS
Catalyze the transformation of land use planning and management in the Ecuadorian Amazon (CTEA) by building a governance and sustainable production framework based on a landscape approach and optimizing ecosystem services and livelihoods.	The Project will develop an enabling framework with an integrated approach towards sustainable management and production in MULs of the Ecuadorian Amazon.	It will be implemented by incorporating the landscape approach at different levels of government, coordinating the national development objectives with the objectives of the different provinces.
	Capacity building for coordination at multiple levels.	It will optimize the joint planning and coordinated implementation of public policies and intervention in the CTEA.
	The strengthening of dialogues and decision-making mechanisms.	Incorporation of landscape approach and environmental sustainability criteria in land use planning and development.
	Strengthening the regional applicability of regulations.	It will facilitate the implementation of interventions, at landscape level, and promote its replication, thus ensuring future expansion of production without compromising biodiversity and ecosystem functioning, while contributing to the creation of deforestation-free supply chains.
	Knowledge management to support sustainable production and landscape management.	

The Project is structured in 4 components with the corresponding definition of results to be achieved, as well as the gender strategies it intends to address, which are shown in the following table:

Table 5: Results and strategies of inclusion of the gender and intercultural approach

RESULTS	GENDER AND INTERCULTURALITY
<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 special Amazonian territorial circumscription (CTEA):</p>	
<ul style="list-style-type: none"> <li>▪ Actions will be implemented at a systemic level (national and sectoral levels) aimed at central and decentralized governments (provinces, cantons and parishes), to strengthen institutional actors in the development of governmental, financial and market frameworks, for the sustainable production and management of MULs, and the delivery of global environmental benefits through results 1 and 2.</li> <li>▪ Encourage access to markets, credits and incentives for the sustainable production of the main products in the Landscapes of Multiple Use and High Conservation Value of the CTEA.</li> <li>▪ The Project will support the incorporation of a landscape approach for multiple environmental benefits at different levels of government, allowing coordination of national development objectives with objectives at different provincial levels.</li> <li>▪ At the central level, the Project will support capacity building for multi-level coordination among public actors with responsibilities in the sustainable development of the CTEA, to optimize joint planning and coordinated implementation of public policies, and to improve efficiency and effectiveness of government interventions in the CTEA, under a landscape approach.</li> <li>▪ In community control and surveillance, they are also working with a gender approach.</li> </ul>	<p><b>i) <u>Incorporation of a gender</u></b> and intercultural approach in PDOTs.</p>
	<p><b>ii) <u>Training</u></b> of the members of the Territorial Platform in gender and intercultural approaches.</p>
	<p><b>iii) <u>Promotion</u></b> of the participation of the <b><u>Gender Equality Council</u></b>, in charge of national gender policies, in the territorial articulation platform.</p>
	<p><b>iv) <u>Training programs</u></b> for the MAE, MAGAP, GADs and other key public entities, with a gender awareness <b><u>module for the empowerment of family groups and organizations</u></b>, in order to raise awareness about the <b><u>division of roles and better distribution</u></b> of workloads between men and women, and that show the way women, especially those in indigenous groups, use their time.</p>
	<p><b>v) <u>The promotion of the participation of women in the planning and decision-making processes</u></b> in the Territorial Articulation Platform (40% participation of women and 60% participation of villages).</p>
	<p><b>vi) Development of an <u>edu-communication strategy, with content and materials adjusted to family realities, ethnicities and respect for local cultural practices</u></b> and traditional knowledge.</p>
	<p><b>vii) <u>Evaluations and studies that will include methodologies</u></b> for the breakdown of information by <b><u>gender, age, ethnicity (for the evaluation of population statistics)</u></b>, family income, number of women and youth, population characteristics, number of men and women head of household, role</p>

	<p>of family members in the productive systems and functions of indigenous families located in critical areas for conservation.</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>	
<ul style="list-style-type: none"> <li>▪ Commercial relations between producers and buyers of sustainable products, at national and international level, will be promoted to stimulate the supply and demand of sustainable coffee, cocoa, oil palm and livestock, and thus access the differentiated markets for these products. This will include the establishment of Regional Platforms for Sustainable Value Chains for the mentioned items.</li> <li>▪ The second component of the approach will focus on strengthening incentives for the SFM and SLM, through the development of systems and capabilities to optimize their access, distribution and use of the conservation incentive of the Socio-Forest Program (SBP) for the integral conservation, restoration, sustainable production and use of biodiversity, thus improving access and benefit sharing, and ensuring the conservation of ecosystem services at landscape level. It will also promote access to the recently established "Incentives for sustainable forest management" of the MAE in protective forests. In addition, modeling of income distribution systems for other SFM incentives will be supported.</li> <li>▪ The third component of the approach involves the greening of finance for commercial producers of coffee, cocoa, oil palm and livestock, in order to stimulate the adoption and dissemination of best practices. The Project will establish <b><u>alliances with financial institutions</u></b> that provide loans to the productive sector in the CTEA. This includes collaboration with institutions that finance the production of selected agricultural products through training programs, to support these institutions in the development of investment packages. In this way, it seeks to finance a production of deforestation-free commercial products, as well as the methods for the evaluation of productive practices subject to</li> </ul>	<p>It will integrate <b><u>gender considerations and intercultural matters</u></b>, through:</p> <p><b><u>i) Promotion of the participation of women</u></b> and indigenous peoples in platforms and dialogue tables for market access (at least 35% women and 60% men)</p> <p><b><u>ii) identify specific business opportunities</u></b> and market access for women and indigenous towns, through market and feasibility research and management plans.</p> <p><b><u>iii) develop a competitive fund</u></b> mechanism, with an emphasis on women and youth, to support new initiatives for income generation through the sustainable use of biodiversity products.</p> <p><b><u>iv) Specific training in gender and interculturality</u></b> for staff of financial institutions.</p> <p><b><u>v) Special lines of credit for women and for indigenous men and women.</u></b></p> <p><b><u>vi) Promotion of the participation of women in the elaboration of Socio Bosque investment plans</u></b> and the identification of specific activities for the conservation, restoration, sustainable production and sustainable use of biological diversity, which generate socio-economic benefits for women.</p>

<p>financing in AVCs or according to the level of land degradation in the area. In the case of small producers and communities without access to credits, the Project will support the development of microcredit lines and modalities adapted to these beneficiaries, in order to allow them access to these financing modalities and sustainable production activities.</p>	
<p><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>	
<ul style="list-style-type: none"> <li>▪ The Project will be supported by the lessons and experiences learned from the MAG and MAE Projects and programs (e.g. the Agenda for the Productive Transformation of the Amazon - ATPA of the MAGAP, the Aroma Coffee and Cocoa Fine Reactivation Project, the Sustainable Livestock Project; GADs and technical assistance programs for producers), allowing to generate direct social and environmental benefits and new experiences for the improvement of its implementation, <b><u>moving from a sectoral approach to an intersectoral and integrated approach to landscape management</u></b> . Through training, technical assistance and support for economic and market incentives, developed.</li> <li>▪ The Project will promote a change of attitude of the productive sector, to allow a change from current (non-sustainable) production practices in the CTEA towards sustainable practices of forest and land management, thus ensuring the continuous supply of services Ecosystems necessary for the production and development of deforestation-free supply chains.</li> <li>▪ Regarding the intervention in the field, the Project will take into account the System for monitoring the change of land use and expansion of the agricultural frontier, of MAG, which allows measuring the impacts of the actions foreseen by</li> </ul>	<p><b>Outcome 3</b> will integrate a gender and intercultural approach through several strategies:</p> <ul style="list-style-type: none"> <li>i) Guidelines on best practices and training and technical assistance programs, prepared based on a gender and intercultural approach.</li> <li>ii) Promotion of equal participation of women and indigenous peoples in training, meetings and technical assistance.</li> <li>iii) Promotion of the participation of men and women in technical assistance teams, preferably in mixed teams to create an environment conducive to the integration of the gender and intercultural perspective.</li> <li>iv) Training and technical assistance will consider the work schedules of the producers and their families for minimal interference with the daily tasks of men and women, and thus ensure their participation in organized activities. Given that indigenous women are in charge of traditional Ajas and Chakras, it is important to take into account that training and technical assistance in these cases will be given by female technicians and local promoters, respecting their worldview and traditional knowledge, favoring dialogue and implementing the principle of "learning by doing".</li> </ul>

<p>the Project to reduce deforestation and properly use natural resources, and support local initiatives that arise following an integrated approach to sustainable supply chains.</p>	<p><b>v)</b> SFM and NTFP management plans will consider gender and intercultural issues, including traditional knowledge, cultural uses of forests and intercultural dialogue, and will incorporate activities specifically aimed at women (e.g., training, specific business opportunities and value-added initiatives).</p>
	<p><b>vi)</b> The equal participation of men and women in business opportunities of NTFPs.</p>
	<p><b>vii)</b> Women's access to incentives and credit lines for sustainable production, added value generation and alternative livelihoods (aquaculture, apiculture, sustainable tourism).</p>
	<p><b>viii)</b> The exchange of visits to groups of women and youth on successful experiences.</p>
<p><b>Component 4:</b> Dissemination of lessons learned, monitoring &amp; evaluation</p>	
<ul style="list-style-type: none"> <li>▪ The Mid-Term Review (MTR) will be executed between the second and third Project Implementation Report, and the final evaluation (FE) will be prepared by independent evaluation teams, and compiled in the reports.</li> <li>▪ Outcome 4 will also allow the consolidation of best practices and lessons learned throughout the course of implementation and will support the dissemination of experiences and lessons learned at regional, national and other Amazonian countries.</li> <li>▪ Specialist online communities will be used, such as the Sustainable Development Solutions Network (SDSN) in the Amazon, UNDP-Team-works and UNDP-exposure platforms, corporate websites of UNDP at national, regional and global levels, and government platforms, mainly the website and newsletters of the MAE. This will ensure the access of a broad group of community actors to information on the experiences, failures and successes of the Project. The M&amp;E of the Project.</li> </ul>	<p><b>Result 4</b> consists of the Monitoring and Evaluation transversal also to the gender component of the Project. It will include reports on best practices and lessons learned, and at least one related to gender.</p>

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

The Government of Ecuador has identified the potential of the Amazon region, supported by the large amount of goods and services of its ecosystems, to achieve institutional changes, harmonizing the development and conservation of global wealth and from a change in the productive matrix of the country that involves simultaneous and progressive approaches to current production models, towards a diversified economy guided by knowledge and innovation.

There are still barriers that must be addressed as a priority, mainly, because weak multilevel governance models for sustainable landscape management and production continue to prevail. Therefore, multi-sectoral dialogue and coordination with the bodies and institutions with whom the responsibility for managing forests and land is shared must be strengthened. It is necessary to optimize the coordination between national institutions and Decentralized Autonomous Governments (GAD), at the provincial, municipal and parish levels, to improve existing capacities, in order to develop and implement plans and standards that harmonize development with the conservation of the CTEA.

Provincial and cantonal leadership is required to improve the coordination and planning of the different interventions that reach both levels, to optimize the support of Programs such as PROAmazonía. There is an articulation between the MAG, MAE and GADs, which follow national policies and guidelines according to their functions and roles. The GADs, with whom they generate the planning according to the guidelines and policies, are operationalized by the local actors.

Another limiting factor is the lack of access to markets due to weak productive alliances, in turn restricting access to credits and incentives that promote deforestation-free supply chains, and access to markets for sustainable products, whether of raw materials or NTFPs. This is because, although the potential exists, both the level of productivity and competitiveness are still in a primary stage because traditional forms of production, association and commercialization prevail. Issues such as traceability, certification schemes are still incipient practices and producers need more training to take advantage and generate greater value in the production and marketing link. Regarding NTFP, the existing information is very little, so it must be generated, and then think about credits to producers or productive alliances.

The current reality is that the practice of sustainable production is not necessarily understood as advantageous, not only for the environment but for the generation of greater value in what is produced, in a sustainable and deforestation-free manner. For example, the practice of livestock does not have a land use planning, on the contrary, it is characterized by having a traditional system of extensive production, which degrades the soil and its pastures.



Another barrier that should be considered is the fact that sustainable forest management is not realistic with small producers, since large land areas should be considered. Therefore, indigenous communities are key actors, but are not yet considered in technical norms drafts.

By overcoming these barriers, PROAmazonía will promote a model of sustainable management of forests and land use in the Amazon, which will contribute to the strategic development of a landscape and eco-system approach to territorial planning, which will be supported by a legal and political framework, and by local and regional institutions with better coordinated and integrated functions from the planning process, decision making, monitoring, and supported by computer tools that provide better supervision. The development of financial and incentive instruments to adopt the practices of sustainable land use, in the most important areas with forest cover, and the strengthening of the capacities of the different actors and producers for the implementation of the model, will allow to establish a more sustainable model.

## **Project Description and Strategy**

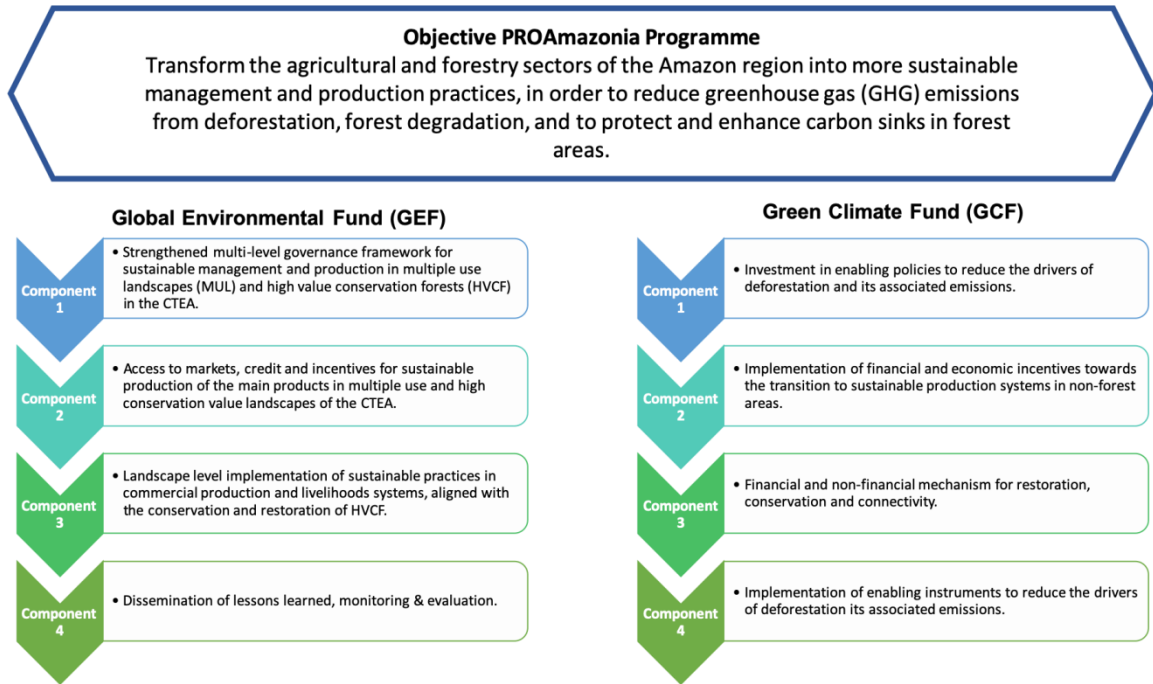
### **PROAmazonía Program**

This project together with the Project *Priming Financial and Land Use Planning Instruments to Reduce Emissions from Deforestation* (PIMS #5768), constitutes the PROAmazonía Program, an initiative implemented by the Ministry of Agriculture and Livestock (MAG), the Ministry of Environment (MAE), 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.

Both Projects contribute with their components and outcomes to the superior objective of PROAmazonía. There is a complementarity between the components of both projects, that at the same time are managed together. The following figure describes the components of both projects:

Figure 4: Illustration of PROAmazonía components



Source: Based on ToR information

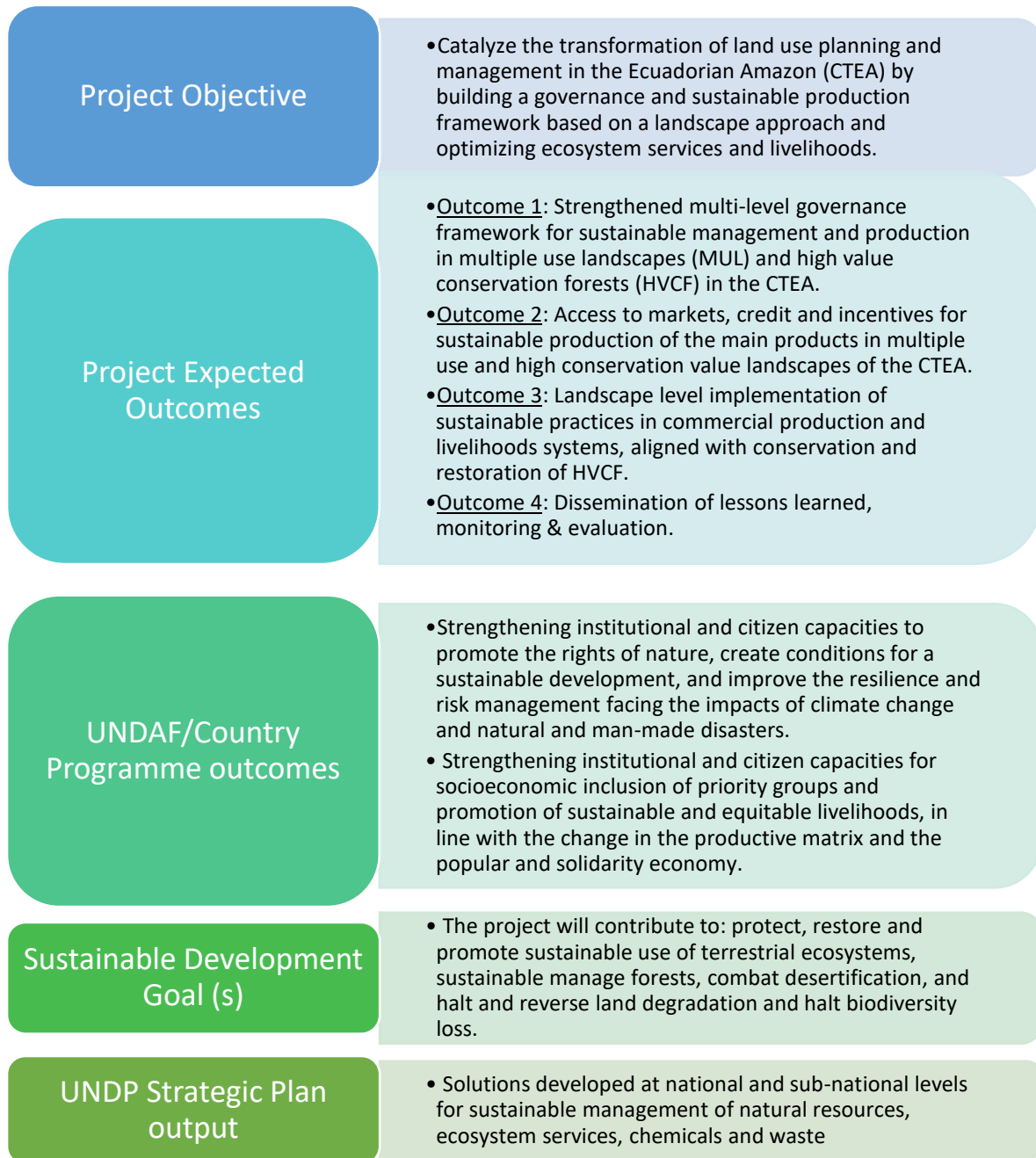
The PROAmazonía Program is a collaborative initiative designed to be executed in 5 years, with a financial allocation of US\$ 12,462,550 and US\$ 41,172,739 from the GEF and the GCF, respectively. Additionally, it has an in-kind contribution from the Government of Ecuador through the budgets of each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

***Project Sustainable Development of the Ecuadorian Amazon: integrated management of multiple use landscapes and high value conservation forests***

The objective of the Project, which has a duration of 6 years, is to catalyze the transformation of land use planning and management in the Ecuadorian Amazon (CTEA) by building a governance and sustainable production framework based on a landscape approach and optimizing ecosystem services and livelihoods.

The expected results of the project are consistent with the United Nations Development Assistance Framework in its outcomes 4 and 5, the UNDP Country Strategic Plan in its products 1.3, the National Biodiversity Strategy and Action Plan of the MAE, and the Amazon Productive Transformation Agenda of the MAG (ATPA), as well as with the Country Program Action Plan. Figure 5 presents the expected outcomes of the project.

Figure 5: Project expected outcomes



### Project Implementation Arrangements

The Project is being implemented under the National Implementation Modality 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 Agriculture and Livestock, and is funded by the Global

Environment Facility. The National Project Management passed from the Undersecretariat of Livestock Production to the Vice Ministry of Agricultural Productive Development.

As is the norm in most Projects, PROAmazonía has a governance structure and implementation arrangements defined in a precise manner in the PRODOC, where it is established that the Project will be closely coordinated as a National Program integrated with the GCF Project “Priming Financial and Land Use Planning Instruments to Reduce Emissions from Deforestation”. The Project Implementing Partner is the Ministry of Agriculture and Livestock (MAG), who is responsible for compliance with national regulations and the agreement with the GEF. Likewise, the MAG will coordinate with the Responsible Parties for the Project: Ministry of the Environment (MAE) and other partners, whose roles are described in the Program Process, Governance and Implementation Manual. This Manual defines and replicates the levels of authority established in the PRODOC, which has:

- **Project Board (PB)<sup>2</sup> of the project:** instance of greater authority and hierarchy, having the highest level of analysis and decision-making about management and achieving results. It consists of the highest authority, the MAE, MAG, and UNDP, or its high-level delegate and will be chaired by the MAE. It is responsible for reaching consensus on management decisions. The Project Board meeting provides feedback on each co-executing partner's submissions, revises 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. In addition, several focal points reported that the preparation for the Project Board meeting is their main source of information of Project activities, including activities approved and implemented under the POA.
- **Management committee:** consists 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 UNDP and the Secretariat is exercised by the Program Manager.
- **UNDP:** implementing agency that, through the Energy and Environment area, provides technical assistance, monitoring and fiduciary management, and the quality assurance of the Project throughout its management.

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<sup>2</sup> 2018 Process Manual, chap. 2.2.1, page. 10.

- **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.

## Project timing and milestones

Table 6: 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>	Agosto 2017	08/09/2017
<b>Inception Workshop Report</b>	Within two weeks after the Inception Workshop	October 2017
<b>Standard UNDP monitoring and reporting requirements as described in the UNDP POPP (Program Policies and Procedures and Operations)</b>	Biannual, Annually	Biannual, Annually
<b>Monitoring of indicators in the project results framework</b>	Annually	Annually
<b>Project Implementation Report (PIR)</b>	Annually	Annually
<b>NIM audit according to UNDP audit policies</b>	Annually	Annually
<b>Project Board meetings and annual planning workshops</b>	Annually	Annually
<b>Supervision missions</b>	Annually	Annually
<b>GEF mid-term tracking tool</b>	Before the Mid-Term Review	
<b>Mid-Term Review</b>	Mid 2020	October 2019-February 2020 <sup>3</sup>
<b>GEF final tracking tool</b>	Before the Final Evaluation	

<sup>3</sup> In coordination with the Management Committee and approval of the Regional Technical Advisers, it was decided to join the consultancy to be one for the Program, including GEF and GCF, therefore, the date of GEF that was established in the PRODOC had to be advanced.

GEF learning missions/site visits	To be determined	
Final Evaluation	At least 3 months prior to the Project's operational closure	
Project closure	31/12/2022	

## Main stakeholders

Table 7: Main stakeholders of the project

Partner	Responsibilities
<b>Ministry of Agriculture and Livestock (MAG)</b>	Project implementing partner. Its function is to lead the Amazon Productive Transformation Agenda (ATPA) and the Coffee and Fine Aroma Reactivation Program (PRCC) and palm and oil production. Member of the Steering Committee, the Technical Committee and the Project Working Groups. The National Project Management passed from the Undersecretariat of Livestock Production to the Vice Ministry of Agricultural Productive Development. Co-financier of the Project. Together with the MAE, summon the actors to participate in the planning and implementation processes of the Project. Also, to lead the implementation of the Project in coordination with MAE, SENPLADES and the GADs.
<b>Ministry of Environment (MAE)</b>	Party responsible for the Project through the National Biodiversity Authority, in coordination with the Sub-secretaries of Climate Change (SCC) and Environmental Quality and the active participation of the Socio Bosque Program. Member of the Executive Committee chairs the Technical Committee and the Working Groups. Co-financier of the Project. Convene the actors to participate in the planning and implementation processes of the Project. Co-lead the implementation of the Project in coordination with MAGAP, SENPLADES and the GADs. The national direction of the project is delegated to the Undersecretariat of Climate Change.
<b>Technical Secretariat Plan Ecuador (ex SENPLADES)</b>	Member of the Technical Committee and of the Project Working Groups. Co-financier of the Project. The Project coordinates with the SENPLADES Zonal Coordinators in activities related to the development and updating of PDOTs, creation of an online tool to articulate the different PDOTs and life plans, and capacity building related to these issues.
<b>Ministry of Foreign Trade (MCE)</b>	Participate in the Regional Platforms for Sustainable Supply Chains of coffee, cocoa, palm oil and livestock. Participate in the development of action plans of the platforms and identify and promote alliances with buyers of sustainable products.
<b>Ministry of Tourism (MINTUR)</b>	Participate in the Territorial Articulation Platforms (Product 1). The Project coordinates with MINTUR to identify sustainable tourism opportunities and initiatives with the Achuar communities in the Central Amazon, which will be promoted through the GAD Development Agency of the Taisha canton (Result 2).
<b>Decentralized Autonomous Governments (GAD): provincial, communal and parish</b>	Participate in the update of PDOTs, including REDD+ provisions, and of the articulation of the different levels of PDOTs. Beneficiaries of 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.

<b>Ecuador Strategic Public Company</b>	Be part of the Territorial Articulation Platform (Result 1). Important to ensure support for the Project's goals, given the great magnitude of these funds in the region.
<b>National Biodiversity Institute (INB)</b>	Participate in the promotion of knowledge networks to document best practices and lessons in the CTEA; in the development of management plans for NTFPs and feasibility studies for loans, to small producers, in order to generate added value in NTFPs, and will lead the Working Group on Timber, Non-Timber and Biodiversity Products.
<b>Socio Bosque Program (SBP)</b>	The Project will coordinate actions with SBP to develop options to optimize the use of incentives for conservation on community lands, to promote the activities of SFM, SML and sustainable production.
<b>Institute for the Eco-development of the Ecuadorian Amazon Region (ECORAE)</b>	Beneficiary of the capacity development program for planning and management, based on a landscape approach, and for incorporating such an approach into the improvement of the internal planning processes of the CTEA; Member of the Territorial Articulation Platform.
<b>Council of Provincial Governments of Ecuador (CONGOPE)</b>	Co-financier of the Project. Participate in the Territorial Articulation Platform and in the design and implementation of training and training programs.
<b>Association of Ecuadorian Municipalities (AME)</b>	Co-financier of the Project. Participate in the design and implementation of training programs, providing its web platform for course development; providing technical assistance to parish GADs, for the elaboration and monitoring of Territorial Planning Plans and the generation of ordinance models.
<b>National Secretariat of Higher Education, Science, Technology and Innovation (SENESCYT)</b>	Guest at the Round Table on NTFPs; Support knowledge management.
<b>Cantonal Council of Citizen Participation and Social Control</b>	They will participate in the strengthening of the Cantonal System of Citizen Participation. They will accompany the process of creation and / or strengthening of citizen assemblies and local planning councils.
<b>Public Banking</b>	Participate in the Territorial Articulation Platform. Receive training on sustainable finance; participate in the review 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 so that they can access financing.
<b>Universities and Research Centers</b>	Co-financier of the Project. Participate in the knowledge networks and the Territorial Articulation Platform, carrying out feasibility studies, as well as in the Round Table of Wood, Non-timber and Biodiversity Products. Participate in the design and implementation of training programs for technicians, producers and communities.
<b>Organizations of Indigenous Nationalities</b>	They will participate in the planning, implementation and monitoring processes of Project activities; they will contribute to the mainstreaming of gender and intercultural strategies; rescue and incorporation of traditional knowledge related to forest management, NTFPs, sustainable agricultural production, biodiversity conservation.
<b>Women and Youth Groups</b>	Invited to participate in the Territorial Articulation Platform. Beneficiaries of the training and technical assistance programs of the Project, as well as of the competitive funds to finance the projects of production and commercialization of NTFPs.

<b>NGOs</b>	Support the development and updating of PDOTs. Invited to participate in the Regional Platforms for Sustainable Supply Chains and in the Round Table for Timber, Non-Timber and Biodiversity Products.
<b>Guilds and productive associations</b>	Be part of the Territorial Articulation Platform, in Local Development Agencies, and participate in participatory processes for the development of cantonal and parochial PDOTs. Participate in the Regional Platforms of Sustainable Supply Chains. Participate in development processes of manuals and guidelines on sustainable production; in training and exchange of experiences on sustainable production, best practices and certification schemes; in the dissemination of information on sustainable production and other issues of the Project, towards its members and associates; and in the promotion, replication and escalation of lessons.
<b>Companies (buyers, producers and exporters of raw materials)</b>	Participate in the Regional Platforms of Sustainable Supply Chains, according to their areas of expertise and work. Contribute to the development of policies and regulations for the purchase of sustainable products from the CTEA, as well as modify its purchasing policies to favor the acquisition of said products.
<b>Development Bank of Latin America (CAF)</b>	Provide advice on the development of training programs on sustainable finance issues, aimed at public and private banking technicians, as well as technical assistance for the review of credit portfolios for the incorporation of environmental considerations.
<b>National Private Banking and solidarity and popular finance institutions</b>	Beneficiaries of training in sustainable finance. Review your loan portfolios for the incorporation of environmental sustainability criteria. Disseminate information on new credit lines and sustainable production, as well as provide technical assistance to producers to promote access to financing.
<b>Corporation for Forest Management (COMAFORS)</b>	Participate in the development of regulations and training in sustainable forest management SFM; in the development of feasibility studies on NTFPs; in the Working Table of Timber, Non-Timber and Biodiversity Products; and in supporting the update of Protective Forest Management Plans.
<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.

## 4. Findings

### 4.1 Project Strategy

#### Project Design

According to the interviewees and based on the document review, it is evident that the Project is completely aligned with the relevant sector strategies, as well as with the legal framework and sector policies. Specifically, the Project is consistent with:

- National Biodiversity Strategy and its Action Plan (ENBPA).
- Priorities in mitigating the effects of climate change and reducing pressure on forest resources.



- National REDD+ Action Plan 2016-2025 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 the focus on gender
- National Development Plan “Plan for Good Living” (2013-2017).
- The Sustainable Development Goals (SDGs): SDG 15 (Terrestrial Life).
- National climate change strategy (2012-2025).
- “Reverdecer Ecuador” Program.
- Amazon Productive Transformation Agenda (ATPA).
- Development and Territorial Planning Plans (PDOT).

The interviewees stated that the Project responds correctly to national priorities in terms of biodiversity, sustainable forest management, adaptation, and mitigation of climate change, efforts to reduce GHG emissions, risks caused as a consequence of those emissions, and socio-economic and environmental vulnerability of rural populations considering these effects.

In addition to the relevance of the Project about the national strategies, the interviewed actors provided information on the aspects of its design. In this sense, although some interviewees considered that the design had an adequate approach, given that it includes the actors that would be involved and those who could benefit from the results, others stated that the approach was partial, since in many cases the most relevant actors were not taken into account, such as producer organizations. Moreover, the need to give greater emphasis to the actions and articulation of provincial and cantonal GADs (Decentralized Autonomous Governments) was raised, as they are key partners for their participation in each province, as well as for the mandate that they have.

### **Identified risks**

According to the UNDP rules and procedures, there is a recurrent monitoring of the risks identified in the PRODOC under the Risk Management chapter that are registered in the UNDP ATLAS System, and in the annual PIRs. The PRODOC has identified, in a precise manner, seven risks of political, institutional, Socio-economic, economic and environmental nature. These include i) the lack of political will, ii) commitment of the different institutional authorities, iii) high turnover of personnel of the Ministries at their different levels (authorities and technical personnel), iv) electoral processes that affect current policies and v) change of actors in the CTEA, vi) budgetary restrictions vii) extreme weather situations, and viii) difficulty of access to remote areas of the intervention areas, among others. The UNDP team is required to analyze and assess the risks.

### **Approach from the gender and interculturality perspective**

The conceptual design has a very direct focus and approach to gender and intercultural issues throughout its entire cycle, and in a transversal manner, in the activities of the different components, ensuring that the role and participation of women and their organizations in the spaces generated by the project, which will contribute to greater empowerment as social and economic actors.

### **Results Framework/Logframe**

The Project Results Framework assumes that the achievement of the defined and proposed objectives depends largely on the will and, above all, on the leadership of national and autonomous institutions, as well as on the direct beneficiaries, to address and overcome weaknesses and identified problems, which result in inefficiencies, overlapping of actions and loss of opportunities for intersectoral collaboration. The set of indicators defined in the results framework meet the criteria for SMART indicators, some of the indicators required the definition of the baseline so that the planning of the expected processes and products would have more precise monitoring, measurement and evaluation during the implementation of regular work plans. The PROAmazonía team carried out a review and proposed changes to some indicators they consider necessary and appropriate to the context during the same implementation.

Although the objectives and results of the project are relevant to the national and local situation, during the interviews it was stated that some indicators are not 100% realistic, as they do not directly depend, or are not under the authority of the MAG and or the MAE. Among these indicators are those related to the access to green credit lines and tax incentives, special plans that do not exist in the country, and the indicator that refers to restoration with GAD, but does not have a financial incentive that allows its implementation.

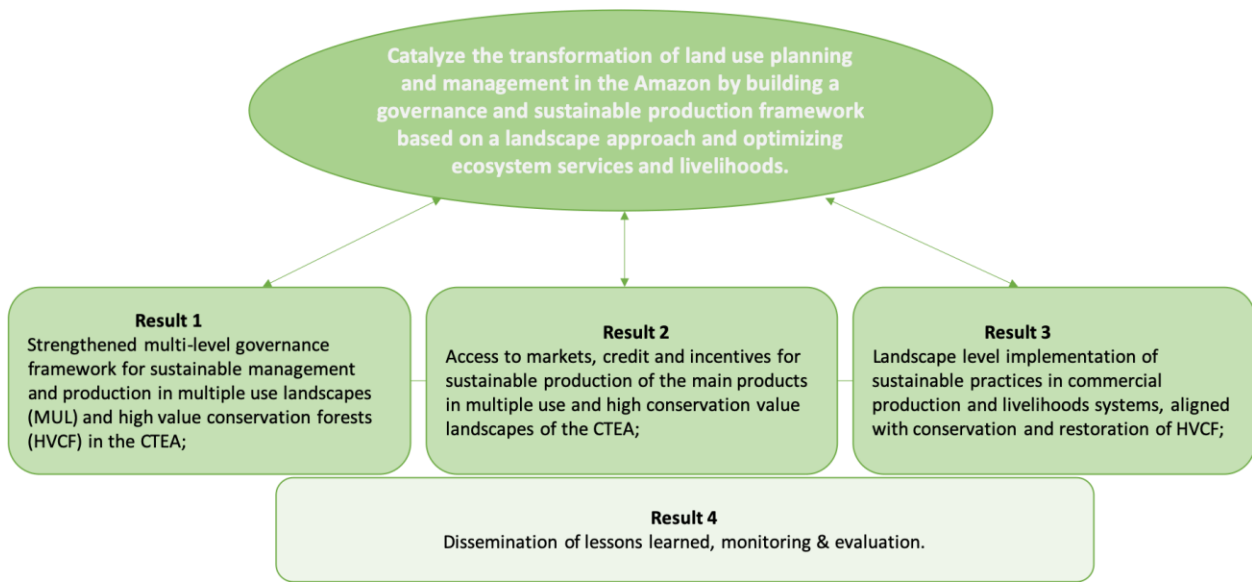
The results framework of the Project was adjusted for some indicators between the Project's inception and the Mid-Term Review, and [Annex 6.10](#) includes the adjustments made to the indicators already approved by UNDP / GEF (which do not reduce their level of ambition).

The different activities within the four components have been strategically defined and at the time of the Mid-Term Review, the Theory of Change approach is completely valid. To address the problems identified before the intervention, integral solutions are proposed that are based on the active and proactive participation of the key actors of the autonomous public institutions, actors of the private sector and of civil society, and proposes interventions that allow to move towards a management and sustainable production of the territories of the CTEA, where the interventions are being focused, which propose the development of policies, plans and strategies for participation that strengthen inter-institutional and intersectoral coordination through

greater dialogue and consensus; the strengthening of the capacities of national and provincial actors, the promotion of sustainable production practices, long-term conservation and restoration, and protection of the global and local wealth of the CTEA and access to financing schemes through green credit lines.

The objective of the Project and its expected results (Figure 6) respond to the problems identified and in the following sections describe their progress.

**Figure 6: Project Objective and Results**



#### 4.2 Progress Towards Results

The Project is organized around its 4 main components. The following table presents the respective progress 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 8: Progress towards outcomes analysis

Project Strategy/ products	Indicator	Baseline value	Level on the first PIR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
<b>OUTCOME 1: STRENGTHENED MULTI-LEVEL GOVERNANCE FRAMEWORK FOR SUSTAINABLE MANAGEMENT AND PRODUCTION IN MULTIPLE USE LANDSCAPES (MUL) AND HIGH VALUE CONSERVATION FORESTS (HVCF) IN THE SPECIAL AMAZONIAN TERRITORIAL CIRCUMSCRIPTION (CTEA)</b>								
1.1 National multi-sectorial coordination and policy strengthened to support sustainable production in MULs.	Level of institutional capacity improvement of 7 institutions for sustainable planning and management in MULs, in a coordinated and articulated manner, measured through the UNDP capacity scoring matrix. Score Rating: 0 Inefficient 1 Good 2 Very good 3 Excellent	MAE: 1 MAGAP: 2 GAD Orellana: 1 GAD Shushufindi: 1 GAD Taisha: 1 GAD Morona: 2 GAD Nangaritza: 1	No progress was reported in the first PIR.  In terms of GADs in the Amazon, no progress was reported since the activities were carried out in the territory as of July 2018.	MAE: 1 MAGAP: 2 GAD Orellana: 2 GAD Shushufindi: 1 GAD Taisha: 1 GAD Morona: 2 GAD Nangaritza: 1	MAE: 3 MAGAP: 3 GAD Orellana: 3 GAD Shushufindi: 2 GAD Taisha: 2 GAD Morona: 3 GAD Nangaritza: 2	MAG:2 MAE:2 GAD Orellana: 1 GAD Shushufindi: 1 GAD Taisha:1 GAD Morona:2 GAD Nangaritza:1	<b>On track to being achieved</b>	The following activities are ongoing:  - Methodology on the level of improvement of institutional capacities analyzed and updated to be used at the time of the Project Mid-Term Review. This was done through a consultancy and the final product was the "Survey report updated to measure institutional capacities starting with MAE and MAG".
1.2. Land-use planning strengthened by multi-sectorial dialogue & decision-making mechanisms.	Number of Planning and Land Use Planning Instruments that incorporate, landscape approach, HVCFs, biodiversity and ecosystem services, with a gender and	a) 5 PDOTs that do not include environmental, gender, or intercultural	a) 0 b) 0 c) 1 Interministerial agreement signed for Sustainable Palm Oil with	a) 5 updated, approved and disseminated b) 5 elaborated, approved and disseminated c) 2 MAE-MAG Interministeri	a) 5 PDOTs implemented b) 5 PDOTs implemented c) 2 Interministerial agreement	a) 0 Cantonal PDOT updated. b) 0 elaborate parochial PDOT. c) 1 national regulations	<b>On track to being achieved</b>	The following activities are ongoing:  a and b: Analysis of the current situation of 5 cantonal PDOTs and 5 parochial PDOTs prioritized by PROAmazonía.

Project Strategy/products	Indicator	Baseline value	Level on the first PIR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
	<p>intercultural approach, in 5 cantons of approved, socialized and implemented intervention landscapes:</p> <p>a) Updated cantonal PDOT.  b) Elaborated parochial PDOT.  c) National regulations in support of sustainable production in MULs.  d) Local ordinances that protect natural resources (forests, water, biodiversity, wildlife) with a landscape approach.</p>	<p>considerations  b) 0  c) 0  d) 3</p>	<p>national scope.  d) 1  The municipal ordinance for the protection and restoration of water sources in El Pangui, Zamora Chinchipe, was approved through the creation of ecological areas for municipal conservation and sustainable use. The ordinance covers an extension of 31,605.28 ha.</p>	<p>all Agreements approved and disseminated  d) 8  Ordinances approved and disseminated</p>	<p>successfully implemented  d) 10  Ordinances implemented</p>	<p>in support of sustainable production in MULs.  d) 4 local ordinances that protect natural resources (2 ordinances in this quarter).</p>		<p>Technical assistance for the update of 5 development plans and territorial planning, 5 proposals for the use and management of the rural land of production and protection of the cantons: Shushufindi, Orellana, Morona, Taisha and Nangaritza; guaranteeing the mainstreaming of criteria of climate change, conservation and sustainable production.</p> <p>c) Proposal for identification of areas that require assessments of AVC and BACC at the national level, evaluation of areas of AVC and BACC between landscapes (north, center and south of the Amazon and in the southern dry forest</p> <p>d) 5 ordinances in total have been finalized and approved that protect natural resources (forests, water, biodiversity, wildlife) with a landscape approach:  - Ordinance for the protection and restoration</p>

Project Strategy/ products	Indicator	Baseline value	Level on the first PIR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
								<p>of water sources, fragile ecosystems, biodiversity and environmental services of the Palanda canton through the creation and management of municipal conservation and sustainable use areas.</p> <ul style="list-style-type: none"> <li>- Ordinance for the protection and restoration of water sources, fragile ecosystems, biodiversity and environmental services of the canton of Pangui through the creation and management of areas of municipal conservation and sustainable use.</li> <li>- Municipal ordinance: Sozoranga Canton, for the protection and restoration of water sources, fragile ecosystems, biodiversity and environmental services through municipal protection and sustainable development areas (APDSM).</li> <li>- Substitute Ordinance: El Pan Canton: for the protection and restoration of water sources, fragile ecosystems, biodiversity and environmental services</li> </ul>

Project Strategy/ products	Indicator	Baseline value	Level on the first PIR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
								through municipal protected areas. - Canton Sigsig municipal ordinance: for the protection and restoration of water sources, fragile ecosystems, biodiversity and environmental services.
1.3 Decentralized institutional structures strengthened for management and surveillance of sustainable production in MULs.	Level of direct participation of women and members of indigenous nationalities in the planning and management of MULs and HVCFs on a regular and democratic basis:  a) Percentage of women in Citizen Assemblies, Cantonal Planning Councils and Territorial Articulation Platform.  b) Percentage of members of nationalities that participate in Citizen Assemblies,	The members are mostly men	No progress reported.	a) At least 25% b) At least 40%	a) At least 40% b) At least 60%	a)34% women. b) 0 percentage of members of nationalities	<b>On track to being achieved</b>	The following activities are ongoing:  - The citizen assemblies and the cantonal planning councils are participatory processes for the update, implementation and monitoring of the PDOTs, in this sense for this period technical assistance has been given to the Cantonal GAD of Pastaza for the realization of 5 popular councils in the framework of the PDOT update where 219 women participated. This improves the possibilities of mainstreaming criteria of climate change, conservation and sustainable production.

Project Strategy/ products	Indicator	Baseline value	Level on the first PIR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
	Cantonal Planning Councils and Territorial Articulation Platform.							
1.4 Local surveillance and monitoring systems.	Level of Agreement of the Territorial Articulation Platform on a participatory model of multi-level governance involving the central, provincial, cantonal and parish levels, with a focus on MULs and HVCFs. (The Territorial Articulation Platform will develop a Territorial Priorities Document).	0	No progress reported.	1 Territorial Priorities Document based on the landscape approach and an Action Plan with a budget and funding sources agreed and approved	1 Platform Action Plan funded and implemented (> 80% compliance with planned articulation actions)	0 platform action plan created.	<b>On track to being achieved</b>	<p>The following activities are ongoing:</p> <p>Proposals for an Action Plan for strengthening provincial territorial planning platforms in Sucumbíos, Orellana, Napo, Pastaza, Morona Santiago and Zamora Chinchipe.</p> <p>PROAmazonía is supporting and advising the Technical Secretariat of the CTEA to develop a proposal for a platform for intersectoral participation in the Amazon and an action plan for its articulation.</p>
1.5 Knowledge management program for sustainable production and landscape	Knowledge Management Program for sustainable production and landscape management.		<i>(not established or not applicable)</i>		a) Establishment and Operation of Knowledge Networks.	a) Approaches with universities b) Yes, strategy developed.	<b>On track to being achieved</b>	<p>The following activities are ongoing:</p> <p>a) Linking with higher education institutes such as UTPL, CATIE, IKIAM to implement part of the capacity building strategy on issues such as conservation,</p>



Project Strategy/products	Indicator	Baseline value	Level on the first PIR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
management.					<p>b) Education communication strategies.</p> <p>c) Connection between Ecuadorian SDSN networks in the Amazon.</p> <p>d) Support for the articulation of Land Use Information Systems. (From the MAG it is suggested to involve more in these subjects the CGINA and CGPGE, land use information system).</p>	<p>c) It doesn't exist yet.</p> <p>d) It doesn't exist yet.</p>		<p>sustainable production, forest management, sustainable, non-timber forest products and climate change.</p> <p>With IKIAM an international seminar was organized on the impact of public policies in reducing deforestation, which took place on June 25 and 26, 2019 in Quito. This event was organized with support from MAE, MAG and UNDP.</p> <p>b) Elaborated education communication strategy, which includes in its first phase a CAP (Knowledge, Attitudes and Practices) analysis to identify the needs of the target audience, which will then be served through specific radio, video, and scheme products of trainer of trainers. The strategy is expected to be implemented through a long-term agreement - LTA.</p> <p>c) No progress is reported until the mid-term review.</p>

Project Strategy/ products	Indicator	Baseline value	Level on the first PIR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
								<p>Literal d)</p> <p>Technical assistance for the technical and operational design for the creation, consolidation / strengthening of SILs based on the needs and limitations identified in the diagnosis of the current situation, in the 5 prioritized cantonal GADs of the GEF Project: Shushufindi, Orellana, Morona, Taisha and Nangaritza; In addition, the network of information managers at the cantonal and provincial level of Morona Santiago has been formed, with the proposal of horizontal linking (network of managers) and vertical (interoperability / information exchange).</p>
<b>OUTCOME 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</b>								
2.1 Regional Platforms for Sustainable	Level of agreement by the Regional Sustainable Supply Platforms on sustainable	0	Progress has been made in the creation of the	5 Regional Action Plans for Sustainable Supply Chains (cocoa, coffee,	5 Regional Action Plans for Sustainable Supply	a) Coffee: 0. b) Cocoa: 0. c) Palm oil: 1 national action plan	<b>On track to being achieved</b>	<p>The following activities are ongoing:</p> <p>Preparation of a basic document on productive</p>

Project Strategy/ products	Indicator	Baseline value	Level on the first PIR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
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 producers.	production approaches for the CTEA, including deforestation-free supply chains, certification standards, best environmentally friendly practices and land-use planning based on the approach of landscape.		sustainable palm worktable (platform). RSPO certification is being worked on to formalize the commitment of this sector to produce sustainable palm without deforestation and there is an Interministerial agreement for sustainable palm. The Interinstitutional Committee will organize the Sustainable Palm Technical	livestock, palm, forest products) with budget and agreed funding sources.	Chain (cocoa, coffee, livestock, palm, forest products) implemented (> 80% compliance with planned actions).	implemented and in 35% of compliance d) Livestock: 0. e) Non-timber forest products: 0.		<p>advisory councils to support the design of local articulation spaces as a stage prior to the formation of regional coffee and cocoa platforms. Of this, there are territorial tables in Morona Santiago and Zamora Chinchipe for inter-institutional articulation on cocoa, coffee and livestock issues.</p> <p>c) Established sustainable palm platform (CISPS) and with an action plan with a budget of USD1.4 million for the duration of the Project.</p> <p>The action plan approved by MAE and MAG and began its execution (35% compliance, with 10 activities completed, 26 with progress and 19 still to be initiated).</p> <p>At the level of the provinces of Orellana and Sucumbíos, the advances of the CIPS are socialized with the local actors (extractors, producer groups, GADS, MAE, MAG) and their participation in the</p>

Project Strategy/ products	Indicator	Baseline value	Level on the first PIR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
			Committees in the territory to include the entire REDD+ framework.					national spaces relevant to this crop is encouraged.  d) Livestock platform: the local tables of Morona and Zamora have been strengthened, its formation is expected to finish in 2020. The livestock specialist will join in the second half of 2020.
2.2 Regional Action Plans for Sustainable Supply Chains coffee, cocoa, oil palm and livestock to access markets for deforestation free products.	Increase in the volume of commercialized production of the 3 landscapes that responds to sustainable production criteria, measured by:  a) Sales volume of verified Amazonian establishments that incorporate good practices; certified through the registration system of the agricultural / farm production unit.  b) Volume of products entering	a) 2-3% of products from the 3 selected landscapes have organic certification. A minimum percentage is Fair Trade certificate (in Taisha canton)  b) Baseline in year 1	a) 0 b) 0	a) 10% b) 20%	a) 30% b) 30%	a) 0 sales volume. (baseline 2019)  b) 0 volume of products. (baseline 2019)	<b>Not on track to being achieved</b>	The following activities are ongoing:  The Action Plan for the Palm Oil Platform was built in a participatory manner in November 2018, was approved by the CISPS in a meeting in February 2019, and is underway.  739 ha certified as organic, producing 209 tons of varied agricultural products in Taisha.  14,895 ha of RSPO certified palm oil, producing 204,922 tons of fresh fruit clusters in Shushufindi. This represents 37% of production in the Amazon region.

Project Strategy/ products	Indicator	Baseline value	Level on the first PIR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
	the national market that comply with certifications of good or ecological practices, evidenced in the MAG statistics.							Up to the time of the Mid Term Review 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 of literal b was not determined. However, it is necessary to highlight that in the four commodities, prioritized in relation to the change in land use in the Amazon (coffee, cocoa, palm and livestock), roadmaps have been prepared.
2.3 Market access for timber, non-timber and biodiversity products in Central and Southern Amazon.	Increase in the volume of NTFP produced in the framework of the Socio-Bosque program that meets the demand of the Wood, Non-Timber and Biodiversity Forest Products Working Group, measured through:  a) Percentage of increase in investment plans of collective and individual partners	a) SBP investment plans allocate 23% of the funds to productive activities (agriculture, ecotourism and community funds), 37% to health and education, 22% to	a) 0 b) 0	a)10% b)10%	a) 25% (measured by MAE statistics).  b) 35% (the Project will promote the sustainable use of NTFPs by the beneficiary communities of the PSB).	a) 0 percentage increase in investment plans of SBP partners.  b) 0 NTFP directed to the national market based on management plans.	<b>On track to being achieved</b>	The following activities are ongoing:  In February 2019, the MAE-MAG-UTPL agreement was signed for the investigation of NTFP, development of management and market plans for 4 NTFPs, the creation of the Round Table and the strengthening of the communities and local actors' capacities in the central landscapes and south.

Project Strategy/ products	Indicator	Baseline value	Level on the first PIR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
	<p>of the SBP that include NTFP ventures with management plans.</p> <p>b) Volume of NTFPs directed to the national market from the use based on management plans.</p>	<p>conservation (zoning, signaling, park ranger salaries, equipment and training) and 18% to organizational strengthening.</p> <p>b) Tbd in year 1</p>						<p>Mechanism of competitive funds for NTFP in implementation.</p> <p>Strengthening of the Socio Bosque Project using investment incentives in a strengthening program for 8 bio enterprises in Sucumbíos. The contest was launched for the non-reimbursable financing of proposals to promote entrepreneurship related to the sustainable use of NTFP in the GEF cantons. It was published on May 20 and closed on July 20, 2019. 13 selected bio-enterprises</p> <p>Methodology 'Starting with your Business' in implementation.</p> <p>In 2019 there was a predisposition of the new Socio Bosque Management to work NTFP with the Socio Bosque beneficiaries.</p>
2.4 Strengthened credit systems for deforestation	Number of hectares of HVCFs in community and indigenous lands conserved through	a) 0 b) 0	a) 1740 integrated farm management plans and		a) 376.460 (North: 56.122 has Central: 41,085 has	a) 6,268 hectares have been reported by ATPA that	<b>Not on track to being achieved</b>	<p>The following activities are ongoing:</p> <p>In the country, NTFPs are being initiated and</p>

Project Strategy/ products	Indicator	Baseline value	Level on the first PIR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
n free production in HCVFs	<p>incentives (in protective forests and SBP areas) measured by:</p> <p>a) Hectares in protective forests that have management plans that have incorporated comprehensive ATPA farm plans (for SLM).</p> <p>b) Hectares of SBP forests that have investment plans that include SFM and SLM.</p>		<p>37,849 hectares for the 3 landscapes of the project.</p> <p>b) 0</p>		<p>South: 279,253 has)</p> <p>b) 55.783 (North: 51.442 has; Central: 1.693 has; South: 2.648 has)</p>	<p>have Comprehensive Farm Management Plans.</p> <p>b: 0 ha.</p>		<p>strengthened, as well as the generation of information necessary to propose green credit lines.</p> <p>The agreement with SBP implies the strict conservation of the forest, so the SFM understood as timber use is not possible, so alternatives that respond and contribute to the result must be sought.</p> <p>There is a Cooperation Agreement between MAE and BanEcuador to make possible the financing of activities free of deforestation and sustainable production, which must be reviewed in scope and progress.</p> <p>The review and adjustment of the Technical Guide for the preparation of investment and accountability plans of the Socio Bosque Project was carried out to include bio-entrepreneurship activities.</p>
2.5	Degree to which financial institutions	<p>a) 0</p> <p>b) 0</p>	<p>a) 0</p> <p>b) 0</p>	a) 5 financial institutions	a) The 5 financial	a) 0 financial institutions.	<b>Not on track to</b>	The following activities are ongoing:

Project Strategy/ products	Indicator	Baseline value	Level on the first PIR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
Incentives strengthened for SFM and SLM	<p>have incorporated environmental sustainability criteria in their portfolios of credit products for the CTEA, measured by:</p> <p>a) Number of financial institutions that incorporate environmental considerations in their portfolio of credit products for the CTEA.</p> <p>b) Percentage of its portfolio of credit products that insert environmental considerations.</p> <p>c) Number of officials of financial institutions that receive training in sustainable finance and interculturality.</p>	c) 0	c) 0	<p>review their loan portfolios and incorporate environmental considerations.</p> <p>b) 10%</p> <p>c) 60</p>	<p>institutions have implemented new financial products with environmental considerations.</p> <p>b) 25%</p> <p>c) 120</p>	<p>b) 0 percentage.</p> <p>c) 0 officials of trained financial institutions.</p>	<b>being achieved</b>	<p>Roadmap with Rabobank to start a pilot with organizations selected by PROAmazonía. To date, there is the prequalification of ASOSUMACO in Rabobank, and the financing application form is being developed.</p> <p>Actions related to the indicator have been identified, however, no progress has been identified in the indicator, and there is a high risk that it will not be completed until the end of the Project.</p> <p>The scope of the indicator's goals depends on other actors and are outside the authority of MAE and MAG.</p>
<b>OUTCOME 3: LANDSCAPE LEVEL IMPLEMENTATION OF SUSTAINABLE PRACTICES IN COMMERCIAL PRODUCTION AND LIVELIHOODS SYSTEMS, ALIGNED WITH THE CONSERVATION AND RESTORATION OF HVCF</b>								



Project Strategy/ products	Indicator	Baseline value	Level on the first PIR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
3.1 Sustainable production and environment-friendly practices in coffee, cocoa and oil palm to improve connectivity in MUL and HCVFs, and complementary livelihood options in the Northern Amazon landscape.	Surface of 3 pilot landscapes that incorporate good environmentally friendly practices, following the manuals and guidelines, and based on landscape, gender and intercultural approaches: a) Number of hectares of coffee and cocoa in the North Amazon with land management, integrated pesticide management, improved agrochemical management, among others. b) Number of hectares of palm oil in the North Amazon under certification schemes. c) Number of hectares covered by management plans for 4 species of	a) 0 b) 0 c) 0 d) 0 e) 0	a) 0 b) 0 c) 0 d) 0 e) 0	a) 2.115 b) 4.178 c) 28.453 d) 9.188 Total: 43.934	a) 6.044 b) 11.936 c) 94.845 d) 26.250 e) 33.571  Total: 172.646	a) Beneficiaries of 577 hectares of coffee and 1,001 hectares of cocoa in the north of the Amazon with strengthened capacities in orientation of best practices as the first step for implementation on their farms.  b) 14,895 hectares of palm oil certified by the RSPO, of which 9,465 hectares are currently produced by DANEC.	<b>On track to being achieved</b>	The following activities are ongoing:  Definition of the ECAS methodology as an implementation strategy in the field of actions.  a) Contributions of training in the theme of coffee for collection centers prioritized by the program. Additionally, MAG has been strengthened in the implementation of the Organizational Diagnostic-DIO methodology.  b) Regarding the connectivity indicators through agro-silvopastoral systems, the methodology has been designed which was approved by the Undersecretary of Livestock Production. Additionally, we have worked on the definition of silvopastures, which will support the achievement of the goals of these indicators. "  c) NTFP research to generate management

Project Strategy/ products	Indicator	Baseline value	Level on the first PIR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
	<p>NTPF in the Central Amazon.</p> <p>d) Number of hectares under livestock production in the South Amazon with soil recovery practices, incorporation of native forest and fruit trees, live fences, pasture management, among others.</p> <p>e) Number of hectares of High Conservation Value Forests AVCs conserved through agreements with small, medium and large producers.</p>					<p>c):0 hectares of NTPF management.</p> <p>d) 800 ha of livestock production.</p> <p>e) 0 ha of preserved HVCFs.</p>		<p>plans through the agreement with the UTPL, is under implementation. There is no NTPF with management plans, therefore the information is being generated from scratch.</p> <p>e) Definition of High Conservation Values approved by MAE and MAG, as well as the definition of prioritized areas. This process is carried out through a consultancy that applies the methodology of the High Conservation Values Network.</p>
3.2 Sustainable livestock production and environment-friendly practices to improve connectivity and restore degraded	Degree of adoption of agro-silvopastoral systems in the 3 selected landscapes that allow connectivity and landscape structure, measured through the average Euclidean distance to the nearest patch of remaining natural	a) ATPA expects to intervene 30% of the area occupied by pastures between 2015-2018 in 5 provinces	a) 0 b) 0	a) 10% b)10%	a) 30% b) 35% (The project will promote the incorporation of coffee and cocoa trees based on agroforestr	a) 0 % b) 0%	<b>On track to being achieved</b>	<p>The following activities are ongoing:</p> <p>The national preliminary livestock strategy was developed and presented in the second quarter of 2019.</p> <p>In June 2019, the delegation of the National Directorate of the Program in the MAG was changed, and now the</p>

Project Strategy/ products	Indicator	Baseline value	Level on the first PIR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
lands in MUL and HCVFs in the Southern Amazon landscape, and sustainable forest and NTFP management in the Kutuku Shaimi Protective Forest (Southern Amazon portion).	vegetation weighted by the patch area, evidenced by: a) Increase in the number of hectares under agroforestry systems in the process of being established in pastures or lands that are already deforested. b) Increase in the number of hectares that include live fences with native forest species in livestock areas.	(247,736 Ha) b) Baseline for year 1			y systems, and grassland will promote the recovery of degraded soils and connectivity).			<p>Undersecretary of Livestock Production is the official delegate for PROAmazonía.</p> <p>Progress has been made regarding agro-silvopastoral systems and live fences under Component 2.</p> <p>Continuity of the FAO-UNDP agreement to update the management plan for the Kutuku Shaimi protective forest and the 4 NTFP market. There is a team in charge of the update and a proposal for forest zoning for validation with the communities.</p> <p>The UTPL is conducting the investigation of NTFPs within the Protective Forest. The tool has been applied in 3 protective forests, including the Kutuku Shaimi, it should be noted that the project does not have an economic incentive for restoration, so the report will focus on the number of hectares under ecological practices, which have a</p>

Project Strategy/ products	Indicator	Baseline value	Level on the first PIR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
								direct effect on reducing degradation.
3.3 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.	Level of reduction of land degradation in the 3 selected landscapes, evidenced through the change in the functions of ecosystems in areas under restoration, measured through the restoration reports of GADs that include: i) geo-referencing of the areas for restoration identified; ii) number of hectares to be restored; iii) identification of owners; iv) programming of restoration activities; v) technical information on maintenance and management of the area under restoration (survival and replacement ratios).	46,650 Ha of degraded land in the 3 selected landscapes, based on a map of coverage and another of land use capacity	0	a) 20%	a) 40%	a)0% (reduction of land degradation recorded)	<b>On track to being achieved</b>	<p>The following activities are ongoing:</p> <p>In February 2019, the MAE-MAG-UTPL agreement was signed for the investigation of NTFP, development of management and market plans for 4 NTFPs, the creation of the Round Table and the strengthening of the communities and local actors' capacities in the central landscapes and south.</p> <p>Once the management and market plans are available, technical training and assistance will begin.</p> <p>It is important to mention that a major limitation is that the project does not have an economic incentive for restoration, thus the report will focus on the number of hectares under ecological tactics, which have a direct effect in reducing degradation.</p>

Project Strategy/products	Indicator	Baseline value	Level on the first PIR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
3.4 Sustainable forest and NTFP management in Kutuku Shaimi Protective Forest (Southern portion of the Amazon).	<p>Degree of improvement in sustainable forest management and biodiversity management of the Kutuku-Shaimi Protective Forest, measured through:</p> <p>a) Increase in the management effectiveness score for the measurement of Protective Forests: management and planning; monitoring and follow up; environmental communication; education and participation; biodiversity management; Public use and tourism.</p> <p>b) Number of hectares of protective forests managed under SFM and biodiversity criteria</p>	<p>a) 0 b) 193,737 Ha of Kutuku Shaimi, located in the Central and South landscape, selected without management according to the criteria of SFM and biodiversity c) 0 d) 0</p>	<p>a) 0 b) 0 c) 0 d) 0</p>	<p>a) Tool for measuring the effectiveness of management, developed with a baseline, with goals and pilots with the Commonwealth of Kutuku Shaimi) 15% (29.060 Ha) c) 10% d) 10%</p>	<p>a) Implementation of the tool for measuring management effectiveness. Increase in the management effectiveness score b) 35% (67.808 has) c) 35% d) 35%</p>	<p>a)0 b)0 hectares. c)0 percentage increase. d)0 percentage increase.</p>	<p><b>On track to being achieved</b></p>	<p>The following activities are ongoing:</p> <p>In 2019, a consultancy service has been hired to develop an application and platform for ATPA farms, the process has taken more than a year and still does not start since MAG has requested some adjustments before signing the contract.</p> <p>Tool (forms for gathering information) for measuring the effectiveness of the management of adjusted and applied protective forests in the Kutuku Shaimi forest, and additionally in the protective forests of Pañacocha and Altos del Río Nangaritza, which are also found in the priority areas of the 3 landscapes GEF.</p> <p>The implementation is carried out with the support of field technicians in the Amazon provinces. An annual measurement is planned to monitor the score obtained.</p>

Project Strategy/ products	Indicator	Baseline value	Level on the first PIR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
	<p>established in management plans.</p> <p>c) Percentage of the increase in the number of forests with collection permits granted by MAE based on special management plans.</p> <p>d) Percentage of the increase in the number of Comprehensive Forest Management Plans authorized by MAE.</p>							
3.5 Producers-support systems for upscaling at watershed level.	Number of small, medium and large producers (including women and members of indigenous nationalities) who have improved their knowledge, attitude and practices for the implementation of best practices for biodiversity conservation, reducing soil	5.164 (Base survey to determine the level of knowledge , attitude and practices, to be developed in year 1)	0	1,807 (at least 20% of women and youth and 50% members of indigenous nationalities) have improved their knowledge, attitude and practices with respect to	5,164 (at least 30% of women and youth 50% of members of indigenous nationalities) have improved their knowledge, attitude and	1,132 producers (direct beneficiaries of ATPA), in the GEF intervention zone, that have begun the process of implementing best practices in sustainable	<b>On track to being achieved</b>	<p>The following activities are ongoing:</p> <p>The direct beneficiaries who are improving their knowledge, attitude and practices are 725 men and 407 women. Of the 1,132 producers, 473 consider themselves part of a 41.8% indigenous nationality.</p>

Project Strategy/ products	Indicator	Baseline value	Level on the first PIR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
	degradation in MULs of the 3 selected landscapes (measured through surveys and including disaggregation by gender).			what is established in the baseline	practices with respect to what is established in the baseline	agro productive systems, based on their Integrated Management Plans. A survey must be carried out before the end of the year.		
<b>OUTCOME 4: DISSEMINATION OF LESSONS LEARNED, MONITORING &amp; EVALUATION</b>								
4.1 Project M&E system operational and generating periodic reports.	Degree of implementation of the Project and achievement of results (percentage of budget execution).		To date (June 2018), the project has a budget execution of 5.2% of the total project budget and 14.41% of the budget established for the first year of implementation (July 2017 to June 2018).	35%	100%	29% programmatic progress, and for the percentage of budget execution	<b>On track to being achieved</b>	The following activities are ongoing:  During 2019, the consultancy was carried out to substantially improve the program's M&E system, reviewing each indicator in detail and in a consultative manner, to have all the details of how to measure it, who measures it, etc., and applying a software, that includes the testing phase and training of personnel to use it.

Project Strategy/ products	Indicator	Baseline value	Level on the first PIR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
								There is a monitoring and evaluation system for the program in the process of testing prior to its implementation.
4.2 Mid-Term Review and Final Evaluation.	Mid Term Review and Final Project Evaluation.		The mid-term review will be prepared midway through the implementation of the project in 2020.	1 (MTR)	1 (Final Evaluation)	Mid-Term Review in process	<b>On track to being achieved</b>	In November 2019, the Mid-Term Review of the program began, and it is planned to end in March 2020
4.3 Knowledge products, best practices and lessons learned published and disseminated.	Number of publications on best practices and lessons learned (at least related to gender issues)		0	5 (1 report of lessons learned in integrated management of MULs; 1 report on case studies of Regional Platforms; 1 report on Methodologies for the Articulation of the Amazon Territory and 1 report with edu	4 (1 report, systematizing the lessons learned from the Project; 1 report on lessons learned by the Regional Platforms; 1 report with case studies on sustainable production , with a	1 document about lessons learned.	<b>On track to being achieved</b>	The following activities are ongoing:  In 2020, the experience capitalization methodology will be implemented by the specialist in knowledge management of the program, to identify and systematize the processes and methodologies implemented and document the progress and changes, to facilitate the extraction of lessons learned at the end of the program.



Project Strategy/products	Indicator	Baseline value	Level on the first PIR	Mid-Term Target	Final Target	Reached value on the Mid-Term	Achievement Classification	Justification for the classification
				communication materials; 1 report on the incorporation of the approach of gender and interculturality in sustainable production)	gender and intercultural approach; 1 report with manuals and guidelines for best practices			This activity is planned for the last year of program implementation, in addition to the preparation of 4 reports specified for the target.

Source: PRODOC, PIR 2018 & PIR 2019, Semiannual report Jun-Dec 2019

### **Core Indicators Analysis**

Table 8 presents in detail the analysis of each of the indicators and their status. Most of them are on the way to be achieved, and a few need a rethinking of their approach so that they are achieved. From the M&E perspective, the results chain from the level of input, process/activity, and product stages depend on the quality and efficiency with which the contracts are managed. A good definition of the terms of reference/scope, a competitive selection process, and the administration of the contracts with a competent professional level would guarantee to obtain the right quality products/deliverables that would add value to the results chain to obtain the expected effects each component.

The present report contains recommendations that should contribute to improving the performance of the implementing team and the coordination with the ministerial teams at both the central and provincial levels, supported by authorities committed to the objectives of the Program.

In short, it is up to the implementers to do quality management to achieve the expected goals. The PRODOCs of the PROAmazonía Program objectively identify the risks and externalities that can affect the proper implementation of the project. These should be monitored and reported on time to reduce the risks that could affect a regular implementation of the project.

Annex 6.11 contains the document that analyzes the core indicators, which was carried out within the project team, with the support of the UNDP monitoring/supervision unit. The document was reviewed by the external evaluation team, and it is attached to this report with comments on each one of them.

### **Positive effects**

Among the positive effects resulting from the interventions of the Project, there are the Territorial Tables and the Planning Tables, which promote an articulation between different territorial levels, achieving close relationships between the GAD. In these spaces for dialogue, the participants can articulate their requirements and identify their common problems in relation to sustainable and deforestation-free production, and to subsequently seek solutions and work collaboratively determine the actions to be taken.

PROAmazonía supported PLANIFICA (ex SENPLADES) in the development of the new guidelines for the elaboration of the PDOTs that include criteria of climate change, conservation and sustainable production. These new guidelines have been adopted at the national level.

One of the most important landmarks in the PDOTs framework was the change of local authorities that took place in May 2019. This change required that outreach strategies had to be carried out again with the new authorities to guarantee the continuity of the Project processes. There were also approaches with the MAG and MAE GADs and District Directorates to achieve intervention and ownership at the local level. The guidelines for the elaboration of the PDOTs that were supported by PROAmazonía are required for official application at the 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 the GAD Pastaza and the German Society for International Cooperation (GIZ) to be involved in the application of the guide in processes outside of the Program.

The Project has ensured that more than 100,000 ha are protected through local GAD ordinances, establishment of a Women's Cocoa and Coffee Table, empowerment of various authorities in planning, deforestation-free production, including the Premium and Sustainable strategy that promotes crops free from deforestation, the Inter-institutional Committee for Monitoring Sustainable Palm (CISP), implementation of field schools under MAG's work methodology, updated PDOT guides, legally-sourced timber, new regulations against deforestation, implementation of the free and informed prior consultation, etc.

Under to the management of the Program, the Ministry of Agriculture has been able to adopt the deforestation-free concept and promulgate this in its "Premium and Sustainable" strategy. These guidelines must be included in the agricultural public policy that is currently under reform.

Thus, it can be stated that PROAmazonía has created an opportunity to establish and strengthen technical work between both Ministries at the central and provincial levels.

### **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 of authorities and the high turnover of officials, which results in less empowerment and ownership of the program and delays in the implementation of planned activities. On the other hand, there is limited delegation and the processes become more bureaucratic, both technical and administrative-financial, which creates bottlenecks and causes delays.

- The second challenge relates to a highly centralized approach to project management, which means the organizational structure has a weak level of decentralization. The approach of several of the activities of the components is not implemented in an integral manner, which affects the products and final outcomes.
- The third challenge corresponds to the implementation of the monitoring and evaluation function oriented to the results of the Project. Since there are no baselines for some indicators, the measurement of progress with respect to the results of the Project is difficult. Some indicators do not yet have information on the calculation of their baseline, resulting in the designing of information and its collection from scratch and in many cases, to make them realistic and viable, a re-adjustment of the indicators has been implemented.
- The fourth challenge corresponds to the complexity of the project issues, the limitation in the definition and the limited knowledge of the objectives of the Project by the implementing partners, and the limited delegation by the Ministries to execute processes. This makes it difficult to implement the activities, since they must first correct the issues rather than making the global strategy visible.
- The fifth challenge refers to the dissemination and visibility of the achievements of Project as an Ecuadorian government project among the key actors at the national level. During the field visit of this Mid-Term Review, around 80% of the interviewed people refer to PROAmazonía as a UNDP project and do not recognize it as a project of the national government (MAE and MAG). Therefore, it is necessary to update and implement the program's communication strategy to effectively disseminate its objectives and achievements.
- The last challenge refers to the delay in the consulting contracting processes in some cases and the lack of timely information which have caused discomfort in the GADs and in the Ministries. However, this situation has been managed and clarified in the territory by the PROAmazonía teams. Another challenge discussed by some of the interviewees is that there is too much delay in the administrative contracting processes, which has generated a certain amount of discontent among local actors. In this sense, for example, two authorities (provincial prefects) have indicated that the hiring and commencement of consortium work has taken longer than originally reported, as well as the delivery of some inputs.

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

#### **Management Arrangements**

The following paragraphs refer to the implementation approaches adopted by the PROAmazonía Program including the performance of the implementation arrangements, associations and

general performance of the Program management, as well as the technical aspects, administrative or financial restrictions. This section also highlights some of the challenges in the implementation and how partners such as the MAE and MAG can rely on the Project Management Unit to achieve greater efficiency in the remainder of the Project and thus better respond to the current challenges and ensure an effective exit strategy.

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 Project 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.

### **Performance of the Implementation Unit**

According to the organizational structure, the Manager has the support of coordinators for each of the components, together with teams at the central and provincial level. PROAmazonía has a performance evaluation system based on professional merit, in addition to having followed a competitive evaluation and selection process also based on professional merit and experience that is applied by the UNDP Human Resources System. In general, it can be determined that the general performance has had an improvement over time. However, and as previously mentioned, the performance of the PMU would have been more efficient with a more decentralized organizational structure, also with a level of authority according to the substantive processes to be implemented in the geographical areas of intervention. This observation would be more in line with the reality of the GADs and with a delegation that the MAG and MAE should have considered and approved for their provincial delegates, something that is quite complex and difficult to achieve in a highly centralized state.

Little presence of the component coordinators has been identified due to the administrative workload that takes time away from the technical aspects of their role. A greater presence of the coordinators and specialists of commodities in the place of interventions at the provincial level is necessary. Similarly, it has been observed that comprehension and clear association between the activities of the different components is lacking.

In addition, the frequent change at the authorities' level, as well as little delegation for decision-making, has hindered the procedure indicated in the Manual. In this sense, technical-administrative processes cannot be carried out efficiently, since the incoming authorities are

unaware of the institutional agreements and centralize the approvals again. Therefore, this affects the cycle time of the activities included in the POA. In this sense, all the processes of elaboration and technical review supported by the specialist team of the Project Management Unit (PMU) of PROAmazonía, and in the respective Ministries, are taken into a second place and the processes defined at the institutional level are distorted.

According to the Manual of Processes, Governance and Implementation, the Manager has the authority level to execute different processes once they have been 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 the UNDP-Country Office 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 considered to not be operating efficiently mainly at the provincial level since there is an imbalance between the structure of the technical team at the central level and the structure of the technical team at the provincial level. Additionally, isolated practices have been developed between the component teams, leading to delays and inefficiencies in the implementation of the activities of the Project. 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 become lost in the Ministerial bureaucracy.

In addition, the level of technical and administrative /procurement information available to the technical team in the provinces are limited. This is reflected in their low level of awareness of the Terms of Reference for several 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 UNDP is very good, however, there are areas for improvement in terms of implementation issues, tools, guidelines, and more support at the provincial level. A greater involvement with the partners in the territory is required in order to have more direction, and it was observed that UNDP initially did not estimate the high number of processes required for the full 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.

It should be noted that the UNDP involvement expands a comparative advantage in several aspects. A first point is related to its vast experience in the administration and implementation of GEF Projects, in addition to being very well positioned in Ecuador as a provider of technical assistance. This has allowed launching of the Project and a process of evaluation, selection and hiring of a wide team of professionals and administrative personnel at the central and provincial levels, which, in the opinion of different actors, is a solid technical team that for the most part have proven to be suitable.

Moreover, the UNDP office in Ecuador 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. Experience in program and project management also provides a comparative advantage that reduces the risk of mismanagement, as well as having an international network of experts in the field. Another of the comparative advantages of UNDP is the approach to international platforms for dialogue on agricultural production free of deforestation. Another valued aspect of UNDP engagement is the fact that it has opened the door for Ecuador to adhere to the global sustainable livestock agenda, as well as to participate in international events. Finally, the prestige of this agency within the United Nations System stimulates the interest of collaborating with the actors of private companies in Ecuador and internationally.

In reference to the ministries, the interviewees 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 Project. Likewise, 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, and at the same time there is a procurement plan that is approved and executed together with the POA. The governance mechanism is more complex since it involves actors from the two Ministries in the approval process of the POAs. The critical route of the processes is beyond the control of the Management Unit, reducing the efficiency of 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.

The Project has a delay of at least 7 to 10 months in its implementation, in part due to the amount of time it took to establish the PMU and the extensive team of technicians and administrative staff that constitute the PROAmazonía team, as previously mentioned. To this is added the difficulty of finding technical staff with specific profiles and leadership experience, which has been the case of the livestock specialist, where the call for applicants had to be opened multiple times due to the lack of suitably qualified specialists. To the conformation of the team, there is also the difficulty generated by the constant changes of authorities that, as also mentioned above, delayed the processes.

## **Finance and co-finance**

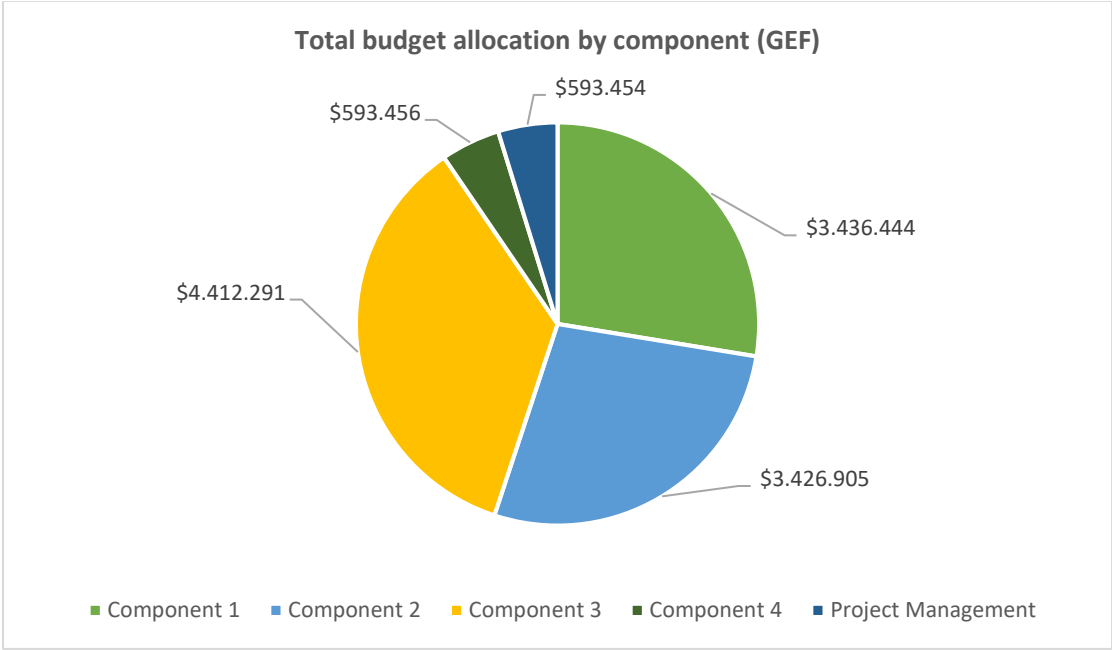
Based on the financial analysis for the years 2017 to 2019, the gap between what was planned, executed and committed is closing. The evaluation team observed an intermediate level of the Project's financial management. According to the last progress report, in the month 30/72 (45% of implementation), the Project has executed US \$ 3,656,075 / US \$ 12,462,550, equivalent to 29% of its budget. This indicates that, for the remaining life of the Project, 71% of the budget, - equivalent to US \$ 8,806,475.36- must be planned and executed, to which must be added the balance of the GCF project, which is a signal that should improve the efficiency in the critical path of the processes, otherwise, the life of the Project will be insufficient to fully execute the pending budget.

The Project has reoriented many of the activities that were initially planned to be implemented via consulting services (procurement processes), now managing them through financing agreements / covenants (use of UNDP programmatic tools), and in turn UN-UN agreements. 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 expected quantity and quality (current agreements with 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.



The following figures present the budget (initial and adjusted<sup>4</sup>) compared to the actual executed amounts from 2017 to 2019.

Figure 7: Percentage of budget allocation according to component



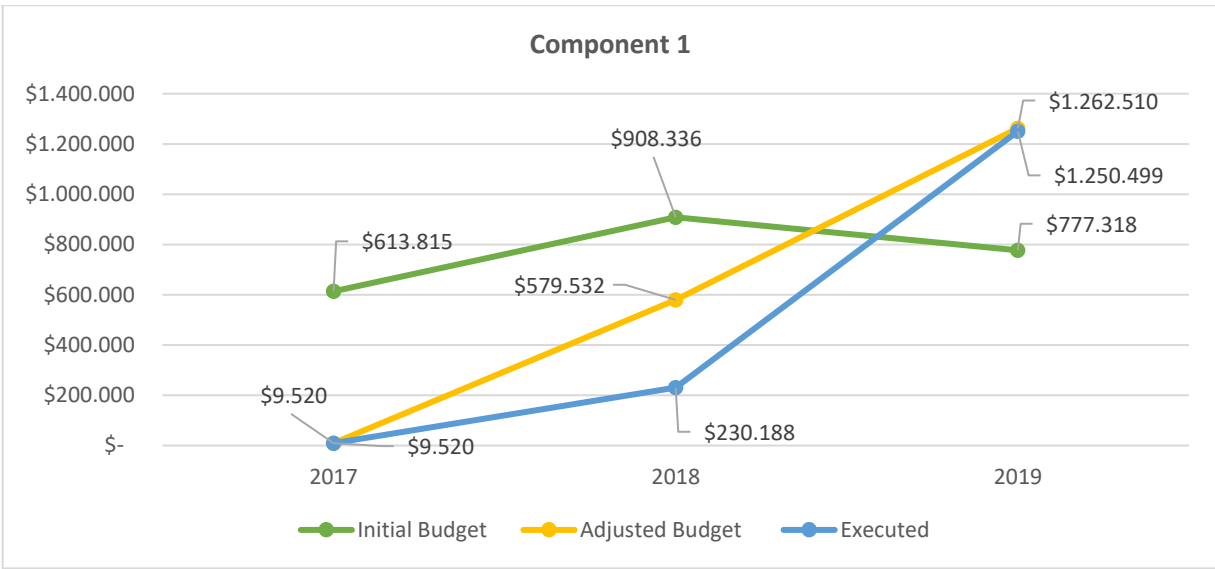
Source: PRODOC

**Component 1**

The following figure presents the PRODOC budgets, revised budgets for each year and the amounts executed between 2017 and 2019 for Component 1. The amounts of the revised budget and amount executed are below the PRODOC budget for each year, with a significant difference between the two for the year 2017 and 2018. Compared to the revised budget, the amount executed was almost the same in 2017 and 2019. In 2019, the amount executed, and the revised budget exceeded the PRODOC budget.

<sup>4</sup> The adjusted budget is approved by the Steering Committee in August/September of every year.

**Figure 8: Component 1 PRODOC budgets and revised budgets compared to the amounts executed**

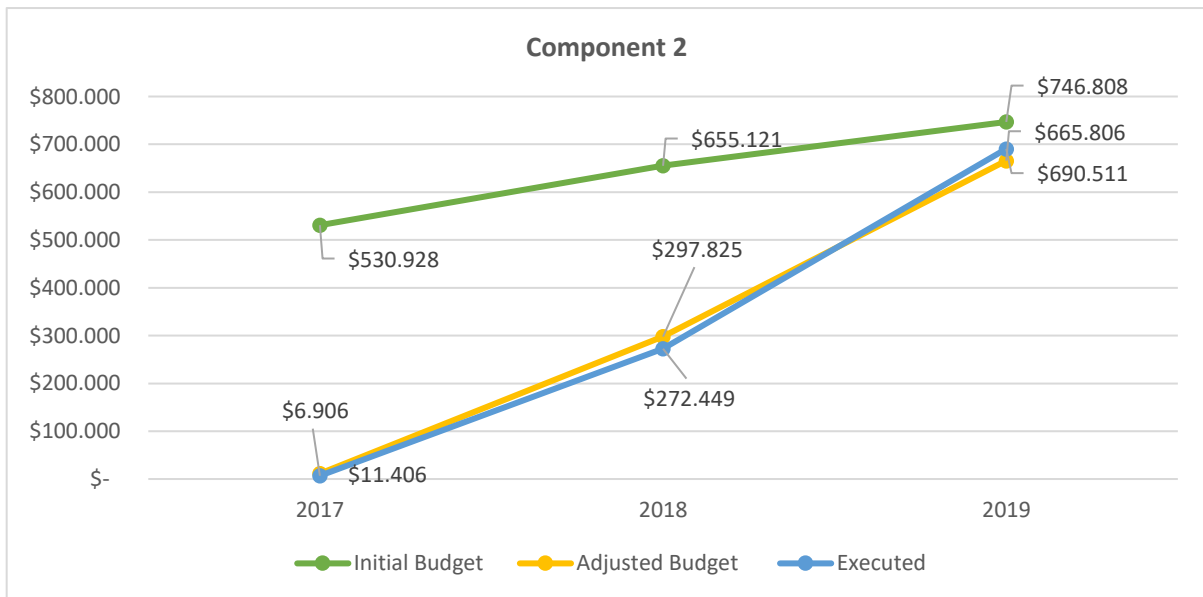


Source: 14\_02\_2020\_Ejecucion\_GEF\_xls & PRODOC

**Component 2**

Figure 9 presents the PRODOC budgets, revised budgets for each year, and the amounts executed between 2017 and 2019 for Component 2. The amount executed per year was below the PRODOC budget and there was a significant difference. Compared to the revised budget, the amounts executed were almost the same between 2017 and 2019.

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

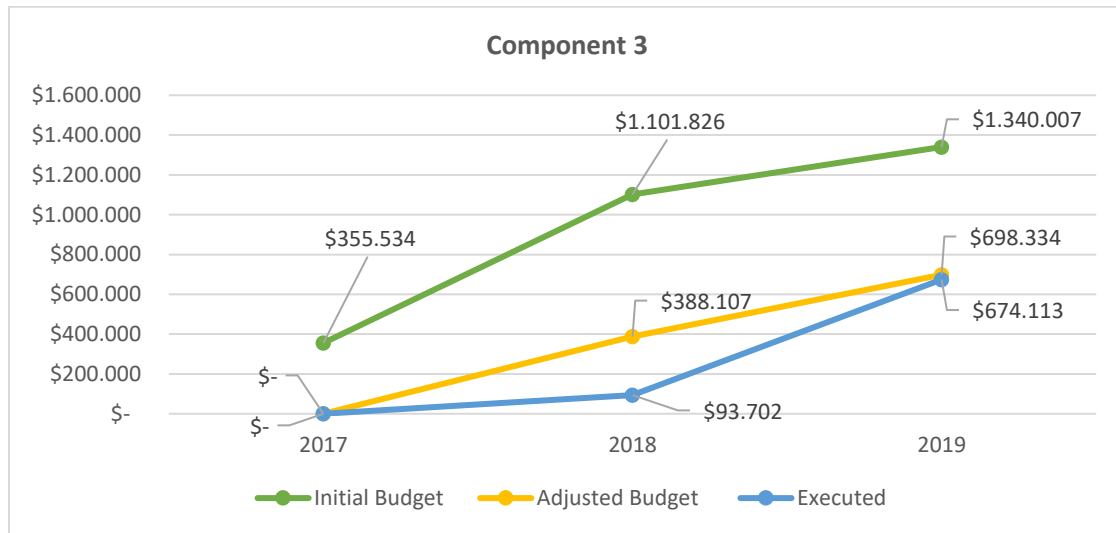


Source: 14\_02\_2020\_Ejecucion\_GEF\_xls & PRODOC

### Component 3

Figure 10 presents the PRODOC budgets, revised budgets for each year, and the amounts executed between 2017 and 2019 for Component 3. The amounts executed per year were below the PRODOC budget and there was a significant difference. Compared to the revised budget, the amount executed was almost the same in 2019.

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

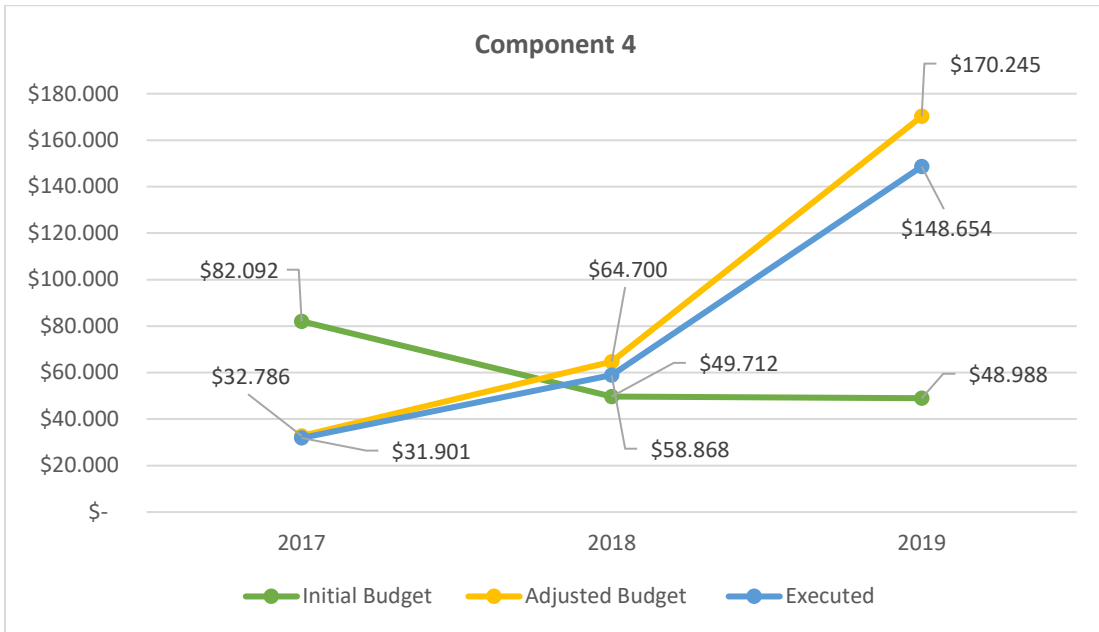


Source: 14\_02\_2020\_Ejecucion\_GEF\_xls & PRODOC

### Component 4

Figure 11 presents the PRODOC budgets, revised budgets for each year, and the amounts executed between 2017 and 2019 for Component 4. The amounts executed per year were above the PRODOC budget for the years 2018 and 2019 where there was a significant difference. In 2017, the amount executed was below the PRODOC budget. Compared to the revised budget, the amount executed was almost the same between 2017 and 2019.

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

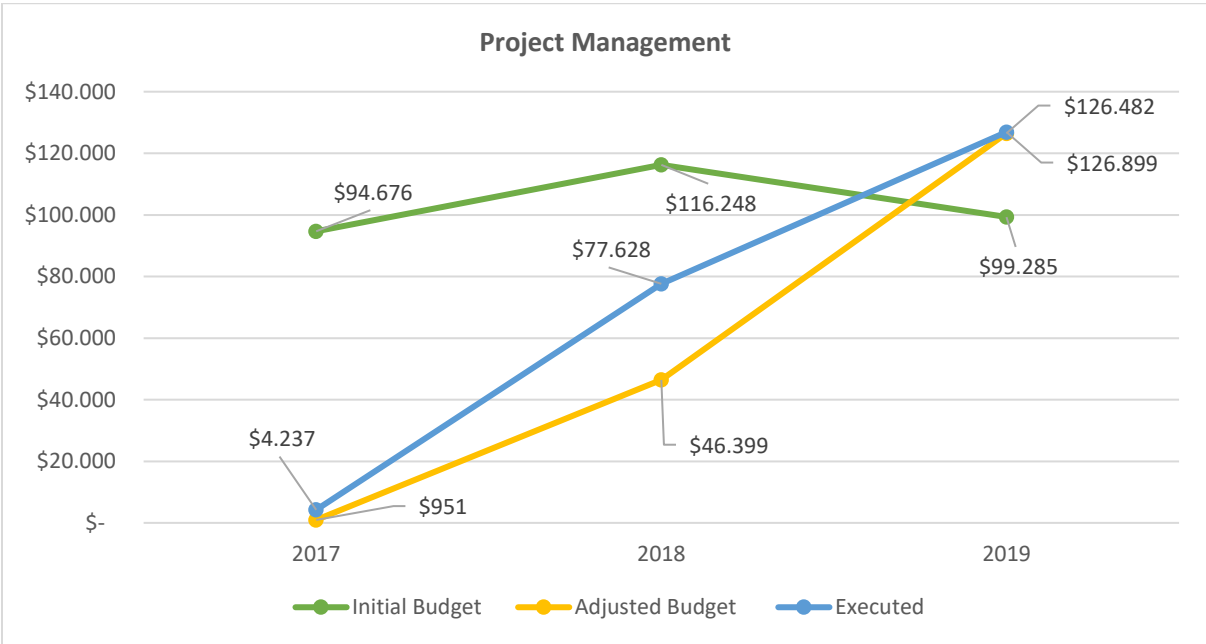


Source: 14\_02\_2020\_Ejecucion\_GEF\_xls & PRODOC

### Project Management

Figure 12 presents the PRODOC budgets, revised budgets for each year and the amounts executed between 2017 and 2019 for Project Management. The annual amounts executed are below the PRODOC budget, with a significant difference between the two in 2017 and 2018. Only in 2019 the amount executed exceeds the PRODOC budget. Compared to the revised budget, the amounts executed were almost the same in 2017 and 2019.

Figure 12: Project Management planned budget compared to actual execution

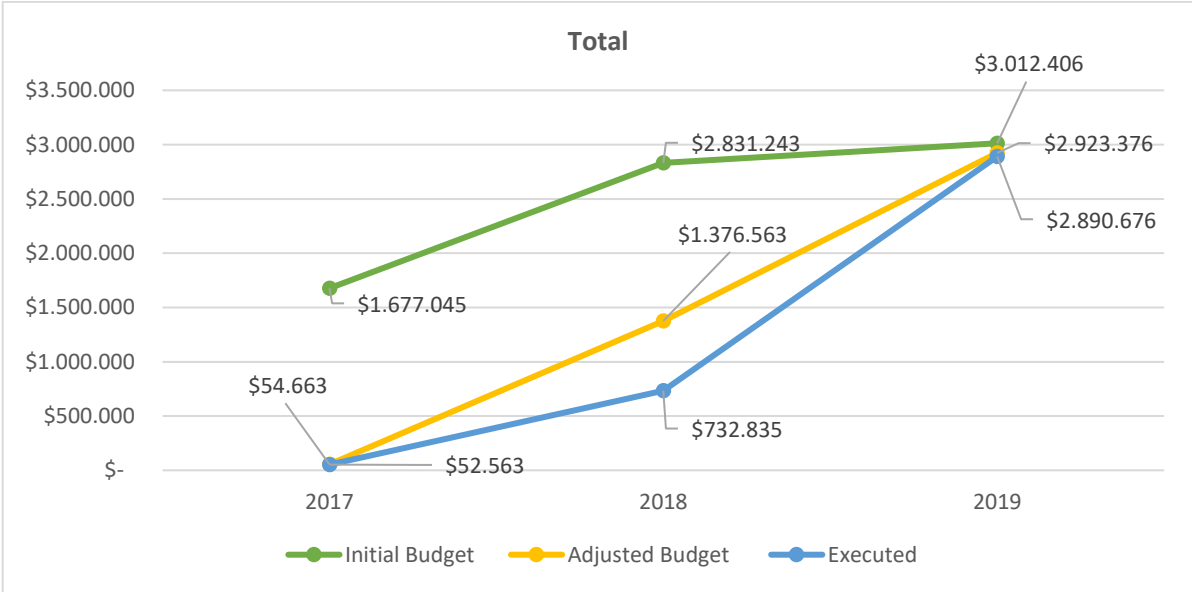


Source: 14\_02\_2020\_Ejecucion\_GEF\_xls & PRODOC

**Total**

The following figure presents the total amounts executed compared to the annual PRODOC budgets. The total annual amounts executed is below the PRODOC budget, with a significant difference between the two in 2017 and 2018. Compared to the revised budget, the amounts executed were almost the same in 2017 and 2019.

Figure 13: Total planned budget compared to current budget execution



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

## Co-financing

Table 9: Co-financing reported until December 31, 2019

Project co-financing	at the CEO endorsement (US\$)	at the Mid-Term Review (US\$)	at the Mid-Term Review ((%)
Government			
(1) MAG			
Result 1	US\$ 18,310,121	US\$ 4,388,574	24%
Project Management	US\$ 457,920	US\$ 119,968	26%
<b>Subtotal 1</b>	<b>US\$ 18,768,041</b>	<b>US\$ 4,508,541</b>	<b>24%</b>
Other partners			
(2) PNUD			
Result 2	US\$ 947,882	US\$ 0	0%
Project Management	US\$ 52,747	US\$ 20,000	38%
<b>Subtotal 2</b>	<b>US\$ 1,000,629</b>	<b>US\$ 20,000</b>	<b>2%</b>
(3) INABIO			
Result 1	USD 521,016	US\$ 10,000	2%
Result 4	US\$ 521,016	US\$ 1,000,000	192%
Project Management	US\$ 57,968	US\$ 30,000	52%
<b>Subtotal 3</b>	<b>US\$ 1,100,000</b>	<b>US\$ 1,040,000</b>	<b>95%</b>
(4) WWF			
Result 1	US\$ 568,489	US\$ 150,000	26%
Result 3	US\$ 1,705,115	US\$ 475,000	28%
Project Management	US\$ 126,396	US\$ 80,000	63%
<b>Subtotal 4</b>	<b>US\$ 2,400,000</b>	<b>US\$ 705,000</b>	<b>29%</b>
(5) NCI			
Result 1	US\$ 100,031	US\$ 93,436	93%
Result 3	US\$ 373,620	US\$ 75,921	20%
Project Management	US\$ 26,349	US\$ 30,787	117%
<b>Subtotal 5</b>	<b>US\$ 500,000</b>	<b>US\$ 200,143</b>	<b>40%</b>
(6) Total co-financing (1+2+3+4+5)	<b>US\$ 23,768,670</b>	<b>US\$ 6,473,684</b>	<b>27%</b>

Source: 14/02/2020 GEF Co-financing as of December 31, 2019(Excel)

Table 10: Additional co-financing not budgeted in PRODOC

Project co-financing	to the Mid-Term Review (US\$)
Institution	
(1) FAO	
Result 1	US\$ 139,776
Project Management	US\$ 13,305
<b>Subtotal 1</b>	<b>US\$ 153,081</b>

Fuente: 14/02/2020 Co-financing GEF as of December 31, 2019 (Excel) and verification of advance letters of co-financing from partners.

Until the time of the Mid-Term Review, the disbursement of the co-financing of the project's counterparts was of US \$ 6,473,684 / US \$ 23,768,670, equivalent to 27% of the total amount,

which means that for the remaining time of the project, necessary steps must be taken to allow the total disbursement agreed upon.

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

As in any project, this Project defined the set of SMART M&E indicators and their respective objectives. In such design, it was also defined that the M&E of the Project would be carried out in accordance with procedures established by UNDP and the GEF as established in the PRODOC, and that the responsibility for complying 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. Many indicators require an adjustment based on the actual context, or merit an analysis to be better specified, since they were not clear in their initial definition. At the same time, an M&E Plan was established in the Manual, which main activities are:

- An initial workshop for the coordination of the monitoring and evaluation function.
- The measurement according to the frequency of the indicators to achieve the results of the Project.
- 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.
  - Annual Management Performance Report from January to December of each year.
  - Annual reports to the Donor.
  - Mid-Term Review of the Project.
  - Final Project Evaluation.

According to the Program Manual, the planning of activities for the POA is carried out in the last quarter of the current period to be reviewed and approved by the Board of Directors.

In the case of the POA 2020, the planning of activities has been approved subject to non-substantive modifications in the amount of US\$ 59,616.37. The process of elaboration, review and approval has a very well-defined calendar that has been respected.

Subsection 5.2 of the 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 took place at the beginning of the program, a results-oriented M&E should be more frequently on the processes that are part of the POA. Having an automated M&E system will help immensely, and its development is in process.

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, such as the provincial level. This hinders communication about the progress of the indicators towards their outcomes. Therefore, the first step is to clearly define what the procedure is, that is, who should report, when and who should be the controlling entity. Redefining these rules and, above all, reflecting them in a flowchart, is an elementary task for the communication process to work in two ways. Having a computer tool will make the M&E function more efficient, and this tool is already designed and will go into operation in the first quarter of the year.

On the other hand, it is not clear if the actors involved have in 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 it appropriate to carry out the mapping of actors and the updating of flowcharts of information-reports through official channels. Improving the distribution and dissemination of information on Project management will increase its ownership 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 completely provided, largely due to deficiencies in the ATPA monitoring system. The indicators regarding family income of Socio Bosque Program partners, for timber and non-timber forest products, still do not have their baseline or the measurement method to assess progress, this is because the MAE does not have this information, and thus data collection is being conducted by PROAmazonía.

On the other hand, it has not been identified that the Lessons Learned or the Good Practices are systematized, nor that they inform the co-management teams (PROAmazonía, MAE and MAG); although there are tools designed for this task, the collected content is still incipient and from



this moment on, it is crucial that this type of information starts to be systematized more frequently.

As part of a good practice of the 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 to align and integrate activities between components.

Finally, regarding the 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. However, these groups are about information and knowledge of the results of the Program: workshops, key meetings, signatures, in milestones that day by day of the different provinces and in Quito, thus they are not used to systematize good practices and lessons learned.

### **Stakeholder engagement**

The Project has in its favor the involvement of several actors that facilitate and enable their development. In this sense, the two instances such as the MAE and the MAG give it the governmental weight to work at that level. On the one hand, it facilitates decision-making at the country level in terms of public policies, and on the other, they favor the Project as a result of its transversal participation in other projects at the same time.

The participation of producer organizations are key in the management of component 2, in addition the project has a strategy to include the gender and intercultural approach to ensure that the participation of indigenous peoples, involving women and youth, which has activities like the promotion of their participation in the dialogue and spaces for decision-making, promoting control and access to resources, and improving income and livelihoods.

Currently, the Project implements a stakeholder engagement strategy at different levels, including: the REDD + Working Table; 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+ Action Plan at the national level. Likewise, it is important to mention producer organizations, which are key in sustainable production strategies and good agricultural practices.

There has been strong support from the central 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.

Finally, the project has the support of civil society actors, NGOs, universities, institutions, banks, unions and companies that reflect the scope is relevant and the efficient and effective management of their work plans will contribute to the achievement of the Project objectives.

## Reporting

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

**Table 11: Reports in accordance with the PRODOC**

Report	Period	Responsible
Inception Workshop Report	Within two weeks after the Inception Workshop	UNDP Environment and Energy Coordinator
Procurement Tracking Matrix	Weekly	Coordination, Financial Administrative, and Procurement UNDP.
Semiannual progress data reports that include the level of achievement of goals, results obtained, information generated during that period.	Biannual	Project Manager, M&E Technique, Coordination, 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
GEF Project Implementation Report (PIR)	Annually	Project Manager, UNDP National Office and PROAmazonía team
Lessons learned, and knowledge generation	Annually	Project manager
Performance evaluation	Annually	Personnel Supervisors (Project Manager, Coordinators, UNDP).

The Project presents annual progress reports to the Global Environment Facility and UNDP. These reports are approved by the Project Board of Directors.

When analyzing the information flows between the different actors of the Project, the evaluation team verified that in many cases the beneficiaries still 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. Therefore, it is evident that the improved 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 keep transparency in the implementation processes.

## Communications

The Project's Inception workshop was attended by the President of the Republic, an act that signaled the national importance of the Project, catapulting the dissemination and promotion of information about the activities of PROAmazonía from the beginning.

The Project that is part of the overarching PROAmazonía program has an internal and external communication strategy, which needs to be adjusted depending on the current context, and which must be discussed and approved by implementing partners such as MAG. There has been a communication strategy for more than 1 year, however, the authorities of the ministries requested that PROAmazonía not disseminate the messages by itself but through the mechanisms of MAE and MAG. Moreover, the internal communication strategy would have to be managed considering the Project Management Unit together with the MAE and MAG, both at the central and provincial levels.

In theory, there should be no pitfalls to having clearly defined the flowchart of communications at different levels. However, reality shows that it has not been possible to define a joint communication strategy. This is because, at the time, the PMU had to consult the two ministries in order to carry out each of the actions proposed in the strategy, when what should have been done was pursue a better dissemination process to improve visibility of the Program objectives, as well as articulating 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 avoid the isolation of the actions, and instead promoted a comprehensive approach and achieved better effects / results from the implementation of PROAmazonía. All this can be solved once the strategy is adjusted and approved by the ministries, since with this validation it will be possible to advance much faster in the communications actions and positioning of the Program as part of the National Government, through the MAE and MAG.

In this sense, it is evident that, although there is internal and external content, the division of the strategy and the communicational message must be defined logically and realistically according to the different audiences, especially the external one. Internally, much technical information is generated through the M&E System.

On the other hand, it is necessary to consider that, in May 2019, new authorities have assumed positions in MAG, which implies that the need to disseminate the information to new authorities is an activity that will possibly be repeated more than once until the end of the Program. It should be clearly articulated that the MAG authorities play an important role in relation to the activities of the Project, otherwise, the gap that is generated becomes a weakness for 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 promptly, which, in his opinion, should be coordinated with the respective communication areas of both Ministries and PROAmazonía. It has been strategic to increase the communication team, which is necessary to effectively implement the communication strategy across a broad program such as PROAmazonía.

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

During the interviews, both MAG and MAE authorities highlight the importance of the PROAmazonía Program as part of their investment portfolio in the Amazon. Likewise, the importance of the work of the PROAmazonía team was mentioned. However, the need to improve inter- and intra-institutional communication aspects was recognized. The established way of working and communication fragments teamwork at the provincial level. The activity of dissemination of information to the different target audiences, in a Project with the characteristics of PROAmazonía, must be continuous. Although, 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) that supports the information process. A good practice that should be improved is to carry out general biweekly sessions for each of the components with their teams, both in the headquarters and with the provincial staff. This will help to reduce that lack of information that is evidenced in the field visit conducted.

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

The PMU coordinates with the UNDP Regional Advisor for international coverage and positioning. In addition, the UNDP Gender Specialist provides ongoing advice on mainstreaming the approach in all components, as well as the Communication Specialist, to achieve a correct positioning. At the technical level, the E&E Area supported strategic planning, preparing results chains, strengthening the M&E system, also reviews all the terms of reference and reviews strategic products. The UNDP Representation with the E&A Area attend meetings to analyze challenges and take corrective measures.

### **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 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".

#### **4.4 Sustainability**

According to PRODOC, ecological / environmental, social, institutional and financial sustainability tasks would be implemented. The sustainability component of the project in this Mid-Term Review has an achievement rating of 3/4 (Moderately Probable).

The sustainability of the Program can be ensured from the different areas of its key actors, both at the central and provincial levels. It is not enough to have good strategic planning exercises, but also coordination that strengthens communication for the implementation of the different initiatives of the Program aligned with government policies and strategies for the good of the beneficiaries identified and prioritized in the project. Developing a discipline of coordination through good communication to improve the degree of collaboration under a common long-term vision supported by solid management of the PROAmazonía team will increase the sustainability of the project results. Many of the risks originally identified in the planning phase have occurred in the life of the project and in some instances have even been repeated, because they go beyond the authority of Program Management and clearly affect management; they are externalities that must have a strategy to minimize negative consequences.

At the local level, it is necessary that the GADs, the beneficiary communities, are more effectively involved and assume co-responsibility in a more proactive way in the development and implementation of the activities that are designed to improve and enhance their practices and income.

The Mid-Term Review analyzes progress towards results. Objectively, the balance of progress towards the achievement of the results demonstrates that most of the indicators have not reached the proposed targets, but are progressing towards achieving them, which is why it is not easy to assert that the results will be fully achieved by the project end date. Only solid managerial, technical and fiduciary management, as well as leadership from the authorities, will help to ensure the quality and opportunity in each of the activities, and adding value to the results chain, thus increasing the sustainability of the interventions.

## **Component 1**

The Technical Planning Secretariat of Ecuador (PLANIFICA, formerly SENPLADES), with the support of PROAmazonía, designed and developed the official guidelines for the update of Development Plans and Territorial Planning (PDOT) that are now binding on all GADs. These include criteria of climate change, conservation and sustainable production and are of national application. Additionally, the Project is financing technical assistance through three Consortiums, one for each region of the Amazon (north, central and south). In this sense, these Consortiums are responsible for applying a new PDOT methodology to develop these components, as well as for strengthening the capacity of the Technical teams of the Provincial and Cantonal GADs. The work of each Consortium will be systematized to guarantee the inclusion of all the criteria for climate change, conservation and sustainable production. This information will be shared at the national level through the Technical Planning Secretariat of Ecuador, with the objective of ensuring that the methodologies will be used at the national scale based on good practices.

The implementation of the PDOTs is a key pending task required to guarantee the achievement of goals, and to ensure that land management and land use are effective and meet the criteria of climate change, conservation and sustainable production. PLANIFICA is the official instance of the Ecuadorian state that has the role of monitoring the implementation of PDOTs to ensure they are properly applied. PLANIFICA also plays a key role in the exchange of experiences and good practices in the GAD and exercising the role of M&E in an efficient and effective way, which will contribute to improving the sustainability of the project interventions.

The revision and update of the technical standard of sustainable forest management in coordination with the MAE, are the binding instruments for all the actions that are intended to be developed in this area.

## **Component 2**

The country position on sustainable and deforestation-free production will be established by the agricultural authority (MAG) and the national environmental authority (MAE). Progress will be made through the BPA and Agrocalidad, which are part of the national certification system that is already established. Although the financial incentives granted to small farmers will be as durable as the life of the PROAmazonía Program, it will be associated to the traceability scheme, to the contribution and awareness to develop sustainable deforestation-free production, and improving productivity and competitiveness through the education and capacity building work of the ECAs (field schools). The activities implemented by the Field Schools are an opportunity for the MAG at the central level to evaluate and update their extension plans and to be more

effective in technical assistance at the national level, allowing producers to adopt new sustainable production techniques.

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 productive chain and the dissemination of information on successful initiatives that are a motivational factor and of replicability and scalability. Multi-stakeholder platforms for sustainable production are tools for political advocacy, positioning and improvement of productive chains free from deforestation. Finally, the commercial alliances that have been developed within the framework of this component are strategic to demonstrate their productive and financial viability.

Through this component and component 3, work to link community bio-enterprises with organizations or universities is being implemented; generating an agreement with the academic institution, which has expertise and good added value in terms of research and application of NTFP. For example, the UTPL has been working for some time in bio-economics, and it was engaged as a partner for PROAmazonía. In addition, the MAE has an agreement with the UTPL for bio-economy research and support through the BIOEmprende initiative.

For PROAmazonía, it is very important to redouble the necessary efforts and see different alternatives to open opportunities for both financial institutions that offer green credits, and for producer associations to channel financial resources that are used for sustainable production. This will help to guarantee the viability and the sustainability of many productive initiatives goes beyond the life of the Program.

### **Component 3**

One of the objectives of the agreement between PROAmazonía and the Socio Bosque Program is to improve and guide the use of incentives for activities that are of greater sustainable productivity and bio-entrepreneurship. This pilot strategy aims to strengthen communities and, based on the pilot, take corrective measures and be able to replicate and scale it. In this sense, there are several activities that are being developed, among them, “Growing with your Business”. Additionally, it is important that the PROAmazonía team ensure that all methodologies, both in the communities and beneficiary associations, are applied in the highest percentage of systemically associated producers. The ATPA farm information system will allow adding modules of other crop plans and will also provide useful information to both Ministries.

This component also includes all the intervention to be carried out in the protective forests of the central and southern landscapes, such as updating the Kutuku Shaimi Protective Forest Management Plan, and planning this territory for the different activities that converge on it.

#### **Component 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 a central element to support, through the generation of information, the sustainability of the actions of the Program that go beyond it. For instance, based on the results obtained by the forestry service in the control posts where the activities were implemented and products were obtained with positive effects, it will show that the investment made by the PROAmazonía Program has a valuable return, which should continue under the annual financial structure of the Ministries. As a sample of these results, it could also receive replenishments from other bilateral and multilateral funds. There will also be knowledge generation through research and publications on forestry issues supported by the Program.

- When 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 space 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 identified as more strategic when they are jointly managed. This could be one of the good practices developed and established through the Program that also guarantees a joint institutional work in a sustainable way.
- In 2020, a national electoral process begins that can be used proactively to strengthen the inter-ministerial work mechanism and leave the foundations laid for the next management. Although, on the other hand, a new electoral process may constitute a political risk to sustainability, as changes in priority agendas or replacement of trained technical personnel could occur and result in a loss of the inter-ministerial work achieved. Despite these are externalities beyond the control of the current actors, other political actors can be influenced by disseminating the positive results of the project, also through civil society organizations requiring candidates to take into account the PROAmazonía achievements to continue the good practices and methodologies adopted as part of the intervention. In that sense, multi and bilateral entities can also play a key role in cushioning some of the changes that could occur following the electoral process.



- Two specific aspects that can affect sustainability are the actions to support the incentive program and the implementation of the management plans that the communities should develop.

### **Financial risks to sustainability**

The biggest challenge and indicator of sustainability and success of the Project, especially for sustainable production, will be reflected once it is finished, and beneficiaries continue to operate in productive alliances that guarantee them market access, generating more economic income in part because of the strengthening received from PROAmazonía. It is expected that those associations that have taken advantage of the activities aimed at strengthening their practices to improve productivity and sustainable competitiveness, will grow with their agribusiness. To this end, commercial alliances will be key to having a sustainable demand for products, which motivates producers to continue this line of work. About PDOTS, these activities will continue at the level of Provincial and Cantonal GADs because they are part of a regulation that must be followed. The GADS will also be strengthened with support in the development of productive projects, which will be anchored to ordinances and PDOTs to ensure their sustainability, aligned with the criteria that PROAmazonía promotes.

On the other hand, according to the information obtained through the interviews, although the intervention of PROAmazonía has reinforced the incentive program, there is a risk that the Socio Bosque Program does not have enough financial resources to continue the incentives. This aspect, although beyond the scope of the Project, is considered as an important reflection regarding the need to study and implement alternative financing strategies that 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.

It has been identified that letters of intent signed with private companies that can translate into commercial agreements reduce financial risks, especially for the alliance / productive chain.

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

Many of the Project activities, which objective is to improve conservation, production and marketing practices, are still in the implementation phase. 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 systematic manner. Likewise, it was observed and discussed during the interviews, that quality indicators to measure the results of the training - such as those of new production, collection and marketing techniques,

among others - must be measured through the PROAmazonía M&E System. This will allow the contribution at the local level to be measured and evaluated, with the more positive the result, the more evidence there will be for socio-economic sustainability to be generated.

Finally, having a strategy to raise awareness and promote the effects of climate change, the importance of biodiversity, and the objectives and achievements of the Project, will create greater awareness and social ownership.

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

From the point of view of inter-institutional and governmental sustainability, the work developed to date must be reinforced to ensure that interventions are first and foremost appropriate and institutionalized to improve their probabilities of sustainability and to be replicable and scalable. It is also important to encourage the coordination and work structure to be institutionalized about government priorities, beyond the specific Project. In relation to the central level, the budgetary limitations that have arisen since 2016 for the Ecuadorian state 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 in the reports of the Ministries to guarantee continuity of the team that has acquired the expertise in the substantive topics.

### **Governance mechanism**

During the interviews, it was stated that the governance mechanisms of the Project do not work very 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 activities to take longer than what was planned and agreed in the Process, Governance and Implementation Manual of the Program. This is partly due to the high number of consultancies implemented; therefore, a greater investment of the time of the MAG and MAE technicians has been required for the process of reviewing and issuing observations for the products of the consultancies. One of the main functions of the PMU technical specialists is to add value to all PROAmazonía processes to guarantee their quality.

Likewise, governance mechanisms are complex in themselves as they have two Ministries and their highest authorities at the level of the Steering Committee and the Management Committees, which have many processes that require the approval of all the parties involved. However, there are operational processes that could be managed more effectively and as agreed in the Process, Governance and Implementation Manual<sup>5</sup>. During the changes of authorities, there is also a rotation of the technical team, where information and spaces for joint work are

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<sup>5</sup> Approved in mid-2018.

lost or delayed. On the one hand, it is the obligation of the PROAmazonía team to inform the incoming authorities and technicians about the Program, in the shortest possible time, but it is also the responsibility of the incoming authorities and teams to study and understand the objectives and status of each of its programs and projects, for example in the field visits it has been identified that there is no knowledge of the objectives and components by the members of the technical teams of the provincial directorates; this may denote a lack of ownership and commitment to the Program and, on the other hand, a weak plan for communication and dissemination of the Program. On the other hand, non-compliance with the application of administrative and technical agreements described in the Program Process, Governance and Implementation Manual is due to a lack of commitment or association in fulfilling the roles towards the Program.

PROAmazonía has been an important means for both the authorities and the technical teams to understand and see the importance of more coordinated work on substantive and complementary topics. According to the testimonies of the teams from both ministries and PROAmazonía, the task was not easy at first. In the second phase of the Project, an inter-institutional technical committee could be established to plan for the development of an exit strategy from the PROAmazonía Program, ensuring the continuity of central elements of a formal joint work.

### **Environmental risks to sustainability**

Each well-managed activity, completed and own, contributes to the achievement of the objectives of the Project and therefore improves sustainability in the environmental aspects. 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, that of conservation and on the other, that of sustainable production, resulting in better economic returns with complete traceability from production, storage and marketing. For this, the PROAmazonía team must identify those producers and entrepreneurs who are successful and who can demonstrate that the different activities they have been strengthened are sustainable and constitute environmentally friendly production.

### **4.5 Relevance**

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

It has been identified that the estimated times for the implementation of some activities are not realistic, largely because several activities involve complex processes of transformation and paradigm change that include the modification of traditional forms of production, conservation and planning, as well as looking for initiatives that are better adapted to the needs that arise during the implementation of the program. The complexity of these actions could imply that they must be developed and continued 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 reason mentioned during the interviews was that the timing of the management of the GADs was not taken into account, therefore, it is clarified that the Project result goals aligned to the PDOTs will only be reached in May 2020, since this is the officially established timeframe in the PDOTs. In this sense, this analysis must be evaluated prior to the closing of the Project with the respective authorization process of the GEF Board of Directors and Secretariat.

It is necessary to consider the effects of environmental degradation such as: deforestation / destruction of forests; mining activities that contribute to soil degradation and threaten productive sources; water shortages; storm damage; as well as other effects such as air pollution which affects health.

#### **4.6 Effectiveness and Efficiency**

##### **Efficiency**

The establishment of a Project Management Unit consisting of 76 people (for the PROAmazonía program made up of the GCF and GEF projects), including technical and administrative personnel, required more time than is normally taken for that purpose, again, due to all the required approval processes associated with the Ministries. The process took from June 2017 to the second quarter of 2018 to be completed, which is reflected in the low percentage of execution in 2017 and 2018.

Regarding efficiency, it has been identified that the management team does not have specific performance indicators related to the efficiency of how the processes are carried out. A very general indicator is the physical / financial progress, which gives a general idea of the plan vs. the actual implementation.

A good practice is to define an efficiency metric based on the critical path of each process / activity to better understand its development and to identify bottlenecks in the different stages of activities (planning, contracting, implementation, closure of the same).

## **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. However, due to the change of authorities, some of these good practices were discontinued at the end of 2019, which has affected the continuity of agreed tasks.

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 efficient coordination and integration of activities impossible. Similarly, not having a strategy for disseminating information, communication and promotion to external audiences weakens the effectiveness of the actions implemented by the Program.

About the PROAmazonía team, the level of decision making is concentrated in the Quito team. At the provincial level, decision-making has not been decentralized, which is not a good balance to implement efficient and effective management. 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 its implementation is through the involvement of the actors at a technical and political level through spaces of territorial articulation. These articulation spaces are key to developing the strategies of the organizations and in turn avoiding conflicts. Similarly, it should help 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 are addressed in the management committee. However, there is often difficulty in convening the steering committee, which has the competence to make decisions.

Regarding the achievement of the results, which also show the effectiveness in the implementation of the project, the Progress towards Results section is presented in the table associated to the progress of the program indicators.

## **Results of the Project**

### **Component 1**

Considering the changes of local authorities and the times planned in the Project, component 1 is currently making progress towards the expected products and results. Road maps were generated with the institutions to be able to advance in the implementation of the activities that are part of the POA.

### **Product 1.1 National multi-sectorial coordination and policy strengthened to support sustainable production in MULs**

The product has its baseline value. Methodology was developed on the level of improvement of institutional capacities, which were already analyzed and updated to be used at the time of the implementation of the Project Mid-Term Review. The methodologies were developed through consulting, and the final product was the “Survey report updated to measure institutional capacities starting with MAE and MAG”. The mid-term objective was not achieved.

### **Product 1.2 Land-use planning strengthened with multi-sectorial dialogue & decision-making mechanisms**

This product has clear indicators and a baseline value. The mid-term objective was not achieved; however, a national regulation in support of sustainable production in MULs and 5 local ordinances to protect natural resources was achieved. Technical assistance is also being provided for the update of five development and territorial plans, five proposals for the use and management of the rural land for production and protection of the cantons: Shushufindi, Orellana, Morona, Taisha and Nangaritza.

### **Product 1.3 Decentralized institutional structures strengthened for management and surveillance of sustainable production in MULs**

The product has its baseline value. The mid-term objective was not achieved; however, several steps are being taken to meet the objectives, such as participatory processes for updating, implementing and monitoring PDOTs. In this sense, technical assistance has been given to the Cantonal GAD of Pastaza for the realization of 5 popular councils within the framework of the PDOT update where 219 women participated. This guarantees the mainstreaming of criteria of climate change, conservation and sustainable production.

### **Product 1.4 Local surveillance and monitoring systems**

The FAO-UNDP agreement has been signed, and there are currently 8 pilot communities identified, as well as a conceptual model of community monitoring, which was planned in the PRODOC from the second quarter of year 2.

### **Product 1.5 Knowledge management program for sustainable production and landscape management**

This point is described in the tasks of Product 1.5, but it is not in the result matrix as an indicator or goal. The indicators are not entirely clear, since they only have qualitative values without a measurement scale. It is important that there are indicators that are specific and measurable in order to track progress towards the results, and that at the same time can be measured. Work is

being implemented on technical assistance for technical and operational design for the creation, consolidation / strengthening of Local Information Systems (SIL) based on the needs and limitations identified in the diagnosis of the actual situation, in the five cantonal GADs prioritized in the GEF Project: Shushufindi, Orellana, Morona, Taisha and Nangaritza. In addition, the network of information managers at the cantonal and provincial level of Morona Santiago has been constituted, with the proposal of horizontal association (network of managers) and vertical (interoperability / information exchange).

## **Component 2**

Until the time of the mid-term review, progress was reported regarding the number of hectares (6,268 hectares have been reported by ATPA that have Comprehensive Farm Management Plans), however, no data such as the increase in the volume of production and commercialization in the three landscapes was determined by the Project. Progress has been made with the investigation of NTFP species, the mechanism of competitive funds, and the start of implementation of Starting with your Business in Socio Bosque communities; in addition, there is also the agreement signed between the UTPL, MAE and MAG for research on NTFP and its sustainable use.

Based on the conceptual designs of each project, both GEF and GCF, a clear association and complementarity is identified, for example, in the APTA management model, ranging from the provision of incentives to sustainable production, integrated into a traceability and certification system in prioritized products (commodities) which in turn will contribute to reducing emissions from deforestation.

Integral Land Management Plan (PMIF) forms reviewed by AGROCALIDAD were prepared in addition to simplified forms and tablets with the application to collect information in the field, this information will later serve for traceability and certification, as well as for credits.

Two strategies have been developed to improve the ATPA model; on the one hand, an application to digitize all the information generated by ATPA and the Field Schools through which it will strengthen and support the transition towards sustainable production. This application will be used to elaborate the Proposal for acceleration and improvement in the execution of component 2 of PROAmazonía that will be implemented through group incentives.

PROAmazonía has generated provincial work strategies based on the landscape approach and the value chain approach, which are ideally integrated into the PDOTs and ordinances.

A key element to improve the income of producers and the sustainability of production is through the achievement of commercial alliances with national and international actors that ensure access to markets and benefit a group of producers / associations.

On the other hand, the Project, in coordination with the MAG Under-secretariat for Livestock Production (current MAG National Project Management for PROAmazonía), has generated a strategy for Field Schools, precisely to change the focus of technical assistance to beneficiaries, which are the agricultural producers. This new methodology seeks to provide comprehensive advice that is more effective in the process of transition to sustainable agricultural systems through training of trainers through these schools.

**Product 2.1 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 producers**

The product has clear indicators and a baseline value. The mid-term goal was not achieved, since there is only one platform formed (palm oil).

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

- **Morona Santiago coffee table.** - It is a space for dialogue between the actors in the coffee value chain of Morona Santiago, where producers, processors, merchants, organizations and public and private institutions associated to this sector present their needs and proposals directly and in consensus Prepare agreements and commitments and roadmaps for the development of the coffee sector in the province. For the operation of the table, a constitutive document was prepared describing the mission, objectives, actors and institutional articulations for its operation.
- **Sucumbíos Livestock Advisory Council.** -The advisory councils are regulated by the Ministry of Agriculture and Livestock. They constitute an area of agreement between the public and private sectors, to identify and achieve the strategic goals of agro-productive chains. In the province of Sucumbíos, the conformation of the livestock council is supported, and it contributes to the strengthening of the representatives of the producers held in the Provincial Cattlemen's Federation. Work was carried out on the methodology that allowed the organization to obtain diagnostic information, which will advance a roadmap for actions in 2020.
- **Sustainable Palm Platform.** - The sustainable palm platform is established (CISPS) and has an action plan with a budget of \$ 466,000 for the duration of the project. The action plan has been approved by MAE and MAG, and is currently running 32%. At the level of the



provinces of Orellana and Sucumbíos, CISPS advances are socialized with local actors (extractors, producer groups, GAD, MAE, MAG) and their participation in the national spaces relevant to this crop is encouraged.

- As part of the methodological support for the formation of local spaces, a base document was prepared that guides the formation of advisory councils or platforms. There is also a document format that guides these spaces in the organization of their mission, objectives and articulation of actors. For example, it has been providing support for the construction of the cattle ranch in the Central Amazon in Pastaza, and the north of the Province of Morona Santiago.

One of the reasons for the delays in the progress of the product was because the entire team of specialists was not available. Cocoa and palm specialists have covered coffee and livestock activities for about half a year, which has delayed the execution of actions. In terms of coffee and cocoa, local platforms and the integration of producers at the regional level have been supported. However, it was not possible to form the platform due to the coffee specialist's departure.

### **Product 2.2 Regional Action Plans for Sustainable Supply Chains coffee, cocoa, oil palm and livestock to access markets for deforestation free products**

The product has clear indicators. However, it does not have the baseline value of the literal b, which must be established in order to measure the progress of the result. The mid-term goal was not achieved, as there is only one oil palm platform action plan in place. The goal of the CISPS platform is to support RSPO certification. The CISPS Action Plan (Sustainable Palm Platform) has 55 activities. Of these, 10 are fully completed, 24 record a partial progress and 21 have not yet started. Taking this into consideration, there is a 32% progress in compliance with the Plan. Here are some advances:

- Platform action plan in progress.
- 739 ha have been certified as organic, which produce 209 tons of varied agricultural products in Taisha.
- 14,895 ha of RSPO certified palm oil, which produces 204,922 tons of fresh fruit clusters in Shushufindi, which represents 37% of production in the Amazon region.

### **Product 2.3 Market access for wood, non-wood and biodiversity products in Central and Southern Amazon**

The product has clear indicators. However, it does not have the baseline value of the literal b, which must be established in order to measure the progress of the result. The mid-term goal was not achieved. However, the competitive fund mechanisms for NTFPs are being implemented and

the actors were mapped for the round table. NTFP research is also being carried out, both in the botanical part and in the socioeconomic aspects of the communities.

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

- The competitive fund mechanism was designed, and the first call was launched. Moreover, there are three signed Project agreements, three Project agreements close to being signed, and seven additional Projects under review for approval.
- In February 2019, the MAE-MAG-UTPL agreement was signed for the investigation of NTFP, development of management plans and market for four NTFPs.
- There was the formation of the Round Table and the strengthening of the capacities of the communities and local actors in the Central and South landscapes, which generated a mapping of actors and a methodological proposal for their management model.
- Four bio-enterprises of Socio Bosque communities were identified and diagnosed to be strengthened with the UNDP Getting Started with Your Business “Iniciando con su Negocio” methodology.

#### **Product 2.4 Incentives strengthened for Sustainable Forest Management (SFM) and Sustainable Land Management (SLM)**

The product has clear indicators and a baseline value. Until the mid-term review, there was no progress in the indicator, and there is a high risk that it will not be completed by the end of the Project, given that this year there was a recent predisposition of a new Management of Socio Bosque to work NTFP and SFM with the beneficiaries of Socio Bosque.

It is important to mention that the scope of the indicator's goals depends on other actors that are outside the authority of MAE and MAG.

#### **Product 2.5 Strengthened credit systems for deforestation free production in HCVFs**

The product has clear indicators and a baseline value. Until the mid-term review, there was no significant progress in the indicator, thus it is essential that extensive work is done in this activity, since there is a fairly high risk that it cannot be completed by the end of the Project.

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

- Regarding the efforts made for this activity, a study of “Credit free from deforestation” was carried out in May 2017, of which there is no evidence as to its implementation.
- In order to establish the financing and credit mechanism, the services of a Program Sustainable Finance Specialist are being hired to define the strategy and scheme of all the green credit lines. Likewise, 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 adjustment of the credit lines of cocoa and palm, as well as in the formulation of sector guides, Environmental and Social Risk Analysis System-SARAS through a training process in SARAS and MRV: definition of reporting mechanisms, evaluation of the green credit portfolio.

- Development of the roadmap with Rabobank to start a pilot with organizations selected by PROAmazonía. To date, ASOSUMACO is prequalified in Rabobank and the financing application form is being developed.

Consequently, the achievement of the goal corresponding to the Mid-Term of this indicator is delayed.

### **Component 3**

#### **Product 3.1 Sustainable production and environment-friendly practices in coffee, cocoa and oil palm to improve connectivity in MUL and HCVFs, and complementary livelihood options in the Northern Amazon landscape**

The product has clear indicators and a baseline value. The mid-term goal was not achieved due to the lack of staff availability and the ATPA-MAG Project management model.

The product has clear indicators and a baseline value. The goal of the medium-term indicators (described in Table 8, pages 43-64) has not been met due to the lack of availability of personnel and the management model of the ATPA-MAG Project, which still has aspects to improve. This did not allow progress to be made at the expected pace from the start of project implementation, thus new implementation mechanisms agreed with the MAG, such as the Field Schools, have been proposed to accelerate these processes and achieve the expected results.

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

- Definition of the ECAS methodology as an implementation strategy in the field of actions of component 2 to provide comprehensive advice that is more effective in the process of transition to sustainable agricultural systems.
- Contributions of training in the subject of coffee for collection centers prioritized by the program, the MAG has also been strengthened in the implementation of the Organizational Diagnostic-DIO methodology.
- Acres under sustainable production in coffee, cocoa and oil palm have been reported.
- In September, a workshop to launch the jurisdictional certification initiative for sustainable palm in Ecuador was held, which was attended by producers from the Amazon

region. The objective of their participation in the workshop was to encourage them to adopt more sustainable production practices, raise awareness among small, medium and large producers in the area of national legislation, the landscape approach and the conservation of areas of high conservation value. As a follow-up to this workshop, meetings were held in territory with the assemblies of smallholder associations to encourage them to sign a work commitment to sustainable production. This commitment was signed on November 26.

- NTFP research to generate management plans through the agreement with the UTPL. There is no NTFP with management plans, therefore, the information is being generated from scratch.

**Product 3.2 Sustainable livestock production and environment-friendly practices to improve connectivity and restore degraded lands in MUL and HCVFs in the Southern Amazon landscape, and sustainable forest and NTFP management in the Kutuku Shaimi Protective Forest (Southern Amazon portion)**

The product has clear indicators and a baseline value. It did not meet the Mid-Term goal. There is already a methodology for patch connection, and a concept proposal for silvopastures designs. There is also the Technical Table of Nangaritzá, which works with MAE, MAG and GADS. The livestock specialist joined the program in the second half of 2019.

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

- Continuity of the FAO-UNDP agreement to update the management plan. There is the team in charge of the update and a proposal for forest zoning for validation with the communities.
- The UTPL is conducting the research of NTFPs within the Protective Forest.

**Product 3.3 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**

The product has clear indicators and the baseline value. The mid-term goal was not achieved.

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

- In February 2019, the MAE-MAG-UTPL agreement was signed for the research on NTFP, development of management and market plans for 4 NTFPs, the creation of the Round Table and the strengthening of the communities and local actors' capacities in the landscapes center and south.

- Research on non-timber forest products: species distribution maps, potential distribution databases; chemical, bromatological and microbiological characterization of Morete; Database of useful species in Amazonia and selection of species with commercial potential.
- Methodology for mapping the value chain of non-timber forest products and for the market study of 5 NTFP.
- Initial mapping of actors for the Round Table of non-timber forest products in process, and proposal of the methodological design of the management model.
- Methodological proposal for the development of management plans for non-timber forest products.
- Agreement with INABIO so that the information repository of non-timber forest products is part of REDBIO.

Once the management and marketing plans are ready, the training and technical assistance will start.

**Product 3.4 Sustainable forest and NTFP management in Kutuku Shaimi Protective Forest (Southern portion of the Amazon)**

The product has clear indicators and a baseline value. The Mid-Term goal was not achieved.

The Program has been implementing management actions that will determine the results, as detailed:

- Tool (forms for gathering information) for measuring the effectiveness of the management of adjusted and applied protective forests in the Kutuku Shaimi forest, and additionally in the protective forests of Pañacocha and Altos del Río Nangaritza, which are also found in prioritized areas of the three GEF landscapes.

A consultancy has been established and contracted to develop an application and platform for ATPA farms. However, the process has taken more than a year and has not yet started since the MAG has requested some adjustments before signing the contract with a view to optimize technological aspects and the application execution time, which originally consisted of 15 months (e.g. at the end of the program). MAG's objective is to have tools that can be executed and subsequently validate their impact within the duration of the program.

**Product 3.5 Producers-support systems for upscaling at watershed level**

The product has clear indicators and a baseline value. It did to meet the Mid-Term target. While input profiles and output profiles are generated when capacity building processes are carried out, and in turn it is expected that the effectiveness measurement will be implemented about the planning results in each basin by trained officials. There is no clear indicator of training

measurement and its effect. However, progress has been made with training and exchange of experiences in coffee, cocoa and oil palm. In addition, support has been defined in a computer system (application and platform) allowing MAG to consolidate information on ATPA farms using tablets.

#### **Component 4**

##### **Product 4.1 Project M&E system operational and generating periodic reports**

The product has clear indicators and a baseline value. The Mid-Term target was not met, since there was only 29% (US \$ 3,676,075 / US \$ 12,462,550) of programmatic progress (percentage of budget execution).

The monitoring and evaluation system of the Program, which was described in the PRODOC and is being implemented from the beginning of the Program, contains a set of indicators, and a plan for the collection, aggregation and dissemination of information that is supported by Excel and Word, in addition to the ATLAS System that generates information on the technical and fiduciary management of the project. During 2019, a consultancy was carried out in order to substantially improve the program's M&E (Monitoring and Evaluation) computer system through new software, which included reviewing each indicator in detail and in a consultative manner to have details, define the managers/coordinators responsible, and at the same time there was a phase of testing and training of personnel to use this software. Once this system is approved with security, it should make the M&E function of the PROAmazonía team more efficient.

##### **Product 4.2 Mid-Term Review and Final Evaluation**

The product has clear indicators and its baseline value. In November 2019, the Mid-Term Review of the Program started, and a final evaluation is expected once the Project is completed.

##### **Product 4.3 Knowledge products, best practices and lessons learned published and disseminated**

The product has clear indicators, and it has the baseline value. The Mid-Term goal was not achieved. However, activities are being implemented to meet the final goal. This year, the experience capitalization methodology will be implemented, which will oversee the Program's knowledge management specialist, in order to identify and systematize the processes and methodologies implemented and to document the progress and changes. This is intended to facilitate the extraction of lessons learned at the end of the Program.

#### **4.7 Country Ownership**

As mentioned in section 4.1, the Project is in line with national priorities, the REDD+ AP, one of the Sustainable Development Goals (SDG) and with GEF priorities in terms of biodiversity and the

transition to sustainable development with low emissions, among others. Likewise, the Project has positioned Ecuador on track for the fulfillment of global environmental commitments.

At the PMU team level, a good level of ownership of the Project is identified. However, at the Ministerial team level, an intermediate level of ownership of the Project activities has been observed. This is probably due to the lack of dissemination of information and the high turnover of personnel, as mentioned above. The fact that the Project is being executed by the MAG and has the MAE as the responsible party (in the context of the NIM-supported implementation modality), and in turn is part of the PROAmazonía program, positions it with a profile at the level national that also involves other institutions and organizations associated with biodiversity, sustainable forest management, adaptation and mitigation to climate change, GHG reduction, protection, restoration and conservation of forests and sustainable production, and not as an international cooperation effort solely and exclusively. However, at the provincial level, many actors conceive that PROAmazonía belongs solely to UNDP and not to MAE and MAG.

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

It is pertinent to clarify that the role of UNDP in supporting National Implementation occurs at the request of the Government / Implementing Partner, the UNDP, in this case through a Project Management Unit, provides administrative and technical services for carrying out activities related to the Project Document (PRODOC) and / or the annual plan of action (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 managed by the existing mechanisms of the implementing partner, UNDP is responsible for the provision of services, including their quality and punctuality, requiring effective mechanisms to facilitate efficiency in management.

On the other hand, it was evident during the interviews that the specialist technicians have expertise on their subject, their component and activities, but not necessarily on the rest of the topics and activities addressed by the Project, which does not allow an integral vision of the same. Moreover, it was identified that the ownership of the local authorities and actors of the Project is of intermediate level and should be improved through the strengthening of leadership by the Ministries, in the intervention territories and through the Coordination in the provinces.

#### 4.8 Gender Equity

The Project considers it a priority and fundamental to reduce gender gaps in intervention areas. In this sense, the PRODOC establishes in a transversal manner in its 4 components, strategies for the “Incorporation of the gender and intercultural approach” throughout the Project cycle. In this sense, in order to promote these activities, the Project has signed an agreement with UN Women, for a period of 39 months and which objective is to improve the situation and position of women in socio-environmental processes, promoting the conservation of biodiversity, forests and ecosystem services, as well as in the productive processes to face climate change. Thus, UN Women has worked on a project proposal with specific indicators and results, aligned with the results of the PROAmazonía Project, which activities plan to **contribute to the construction of gender equality and, through this, provide sustainability to the Project.** The Agreement with UN Women raises the scope of three strategic results:

1. Capacities and mechanisms created and / or strengthened for mainstreaming the gender approach in the spaces of coordination, reflection and decision making.
2. Women and young people have the knowledge, skills and mechanisms to actively participate in productive, social and environmental processes for the conservation of biodiversity, forests and ecosystem services and to address climate change (empowerment).
3. System of information strengthened, monitoring and evaluation of the project in the three intervention landscapes, with information disaggregated by gender, age and ethnicity, for the effective decision making in the access, use and control of environmental factors and biodiversity

In this context, the strategies, actions and execution status of the activities are detailed in Annex 6.14 where the activities proposed by UN Women in relation to those of the GEF Project have been mainstreamed in order to measure the progress of results and the proposed actions by UN Women to achieve the results of the Project. Below are the main advances and limitations in the development of the activities carried out:

##### **Main progress**

- Workshop to present the results of the gender gaps analysis in the Amazon, intended for technical teams, to help reduce them and establish commitments in the training processes.
- Workshop on the Presentation and validation of Women's Human Rights with female leaders and nationalities of CONFENIAE.
- Workshop on human rights, gender and interculturality for technical teams.
- Training proposal for women producers and women who manage the landscape / forests.



- Meetings of women from different territories and cultures of the Amazon that participate in the Project.
- Agreements for the incorporation of women producers of coffee and cocoa (CSN methodology) and women leaders of the 26 organizations with which this component works in the capacity-building process that will begin with Module I: Gender equality.
- Design of methodological tool for participatory surveying of gender-sensitive value chains with women producers and women leaders of coffee and cocoa organizations.
- Agreements with the CSN team for the coordination of the UN Women team with producers that participate in this methodology and the accompaniment to the different phases of CSN for the incorporation of the gender approach in the processes that are generated in each one of them.
- Agreements for the incorporation of a gender approach in the process of implementing bio-enterprises (competitive funds).
- Agreements for the creation of gender sensitive NTFP value chains and the incorporation of a gender focus in the ISN methodology in the GEF cantons of Sucumbíos and Orellana.
- Methodology for updating the revised BPKS Management Plan from a gender perspective and agreements for the inclusion or feedback of tools from a gender perspective.
- Matrix of work proposals to contribute to the reduction of gender gaps in the Amazon aligned to the goals of the component prepared and socialized with the territorial teams.
- Agreements for the coordination and participation in the strategy of the sustainable finance program to technically assist the incorporation of the gender approach.
- Agreements for the joint definition of objectives and axes of systematization and design of collection instruments incorporating a gender approach.

**General limitations:**

- Lack of greater participation in the workshops, due to different situations, including the times that did not coincide between the transfer of specialists and the work of men and women.
- Difficulty and delay in hiring processes to find the required specialist profiles.
- Delay in the approval of Terms of Reference, which prevented the hiring of specialists according to schedule.

According to the quarterly reports presented by UN Women as of November 2019, it has been possible to identify that the progress of the Project corresponds to 61% in result 1; 57% in relation to result 2; and a higher execution in the third result, corresponding to 63%.

On the other hand, it has been found that several of the Project strategies programmed in the PRODOC are not specified in the UN Women POA (mainly in C2 and C3), as they are included in

other products and activities of the POA. Therefore, it is recommended to clarify in the quarterly reports the progress and scope of those activities, which are included in [Annex 6.14](#).

#### **4.9 Innovativeness in results areas**

The PROAmazonía program is considered a pioneering and innovative initiative, which is in line with the REDD+ AP strategies, and is financing the first Forest and Soil Management Project, which will be able to be replicated in other countries. Likewise, one of the main innovations is the verification mechanism of deforestation-free farms, which is also considered as a pioneering initiative.

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

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

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

Through the M&E System, all those good practices that give added value and that are being developed and implemented in the geographic focus area of the Project can be systematized. Subsequently, through the Governance structure, its replication and scalability can be channeled at the Ministries and at the national level, in order to institutionalize those good practices. 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 about 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 ECAs, the MAG can update its technical assistance approach from the central level and replicate it at the national level to improve its products and effects.

As a good practice of the Management Team (PROAmazonía and ministerial teams), it is necessary to systematize what is possible to replicate based on the identification of best practices, appropriate technologies and lessons learned, in addition to a critical route to ensure

that conditions are given. The Component 4 team through the M&E System has this important task.

## 5. Conclusions and Recommendations

### 5.1 Conclusions

#### **Project Strategy**

##### Project Design

The Project in its conceptual design is consistent with the 6 objectives and programs of the GEF. It is a catalytic Project of the strategy of the Government of Ecuador such as the National Biodiversity Strategy and Action Plan of the MAE (ENBPA) and the National Incentive Program for the Conservation and Sustainable Use of Natural Heritage, among others. Similarly, it is aligned with the country's international commitments, such as the Sustainable Development Goals (SDGs) and the Aichi goals, among others. Since its design, it has the challenge of establishing Interministerial work at the level of program governance and at the technical level, supported by a Coordination Unit that implements technical and fiduciary processes with the support of the UNDP Country Office.

In its conceptual design, the project identifies precisely the existing problems and barriers that it aims to address through interventions.

As mentioned in section 4.3, it has been identified that some of the indicators lack precision, such as the transition to sustainable production systems, landscape degradation, low-income restoration, sustainable forest management, and high conservation value.

The Capacity Building indicators are limited to being only quantitative.

It is the responsibility of all Management and technical teams to ensure that, from the inputs, going through the processes, and to obtain the expected products, criteria and measures of quantity and quality are included. It is on these aspects that the Management and technical teams have authority and control, once the products are obtained, and if they have the expected quality, they will add value to the results chain.

#### **Relevance**

The Project Theory of Change proposed and defined in the PRODOC is completely valid, since it emphasizes the main problems that the PROAmazonía Program aims to solve through the GEF Project in the geographic areas and targeted beneficiaries.

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.

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 look at the issues of conservation and sustainable production in a more strategic and coordinated manner between both sectors.

While goals are achieved and results are being perceived by the PROAmazonía technical team, together with the ministerial teams, areas of replicability and scalability will always be identified, continuously aligned with national and local policies and strategies.

### **Effectiveness and Efficiency**

The Project has been graded with ‘intermediate progress’. This is based on products, planned results and expected Mid-Term results, and a physical financial indicator (42% of progress elapsed time vs 29% of executed budget).

It is evident that the processes for the elaboration and approval of the activities do not correspond to what was agreed and described in the “Manual of Processes, Governance and Implementation” of the Program. Both Ministries have a wide portfolio of international cooperation projects, which showcase their experience with outsourcing financial funding for projects. The changing of authorities, which is an inevitable political risk, has been the determining factor for inefficiencies in technical and administrative processes, affecting the management of the Project Management Unit of PROAmazonía and the Program itself.

The objective of establishing a Project Management Unit for the management of PROAmazonía is to guarantee the added value throughout the cycle of each activity under the responsibility of a qualified technical team. The review of the technical processes by the ministries could be more efficient and strategic to optimize timelines, and to demand PROAmazonía to guarantee the quality of processes and products. It is expected that with the change of UNDP in its SOPs the mechanisms will be more agile and will have the required quality in order to ensure the quality of the processes, products and effects.

### **Progress Towards Results**

In general, the Project has demonstrated a significant progress towards obtaining results in all components, except for component 2, specifically the indicators related to tax incentives and

lines of credit. Progress does not always depend on the technical capabilities of the Project team, but also on the commitment and ownership of the implementing partners. It is worth mentioning that there are advances in the community monitoring system, which will begin its implementation in 2020. The interagency agreement between FAO-UNDP has facilitated the achievement of this result. In addition, the roadmap built and validated with the National Environmental Authority, and its technical accompaniment to the technical standard of Sustainable Forest Management.

## **Project Implementation and Adaptive Management**

### Management Arrangements

The time invested in establishing a Project Management Unit that, due to the size of the Unit, has demanded more time than the average involved in other Projects. The governance structure was already identified as a challenge and the lack of ownership by state entities as a risk. The lack of a communication / dissemination strategy has contributed to the fact that results that have already been obtained are not disseminated and that the PROAmazonía Program is not recognized as an intervention of the Ecuadorian state.

### Work planning

The Project had a delay of 7 to 10 months between its establishment until beginning of the implementation, which was partly due to the creation 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. 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.

As a result of the analysis of the minutes of the Management Committees in 2019, it can be determined that they mainly focused on administrative issues, adjustments and approvals of procurement plans, and approval of changes to the POA. However, it is important that this instance is used for strategic decisions. It is also necessary that the authorities take the time to attend personally, and as much as possible avoid sending delegates, otherwise important decisions cannot be made. This instance should have a more strategic role.

### 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 30/67 (42% implementation), the Project

has executed US \$ 3,676,075 / US \$ 12,462,550 (i.e. 29% of its budget). In this sense, the situation becomes more complex, as the co-financing of the Projects and the fulfillment of the counterpart of the co-executing Ministries is not implemented, due to the austerity measures of the government. It is necessary to consider the budgets of both projects and to warn if the efficiency of the processes is not improved, it would be necessary to extend the Project life period, especially of the GCF project.

### **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 and establish the communication channels that will effectively disseminate and use the information at all levels of the Project and in a timely manner.

### **Stakeholder engagement**

The program has a strategy of involvement of actors in implementation, as well as its results to date, which include: The REDD+ Working Group, 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 presents quarterly reports and annual progress reports to the Global Environment Facility and UNDP. 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**

Not having a properly implemented communication strategy weakens the visibility of the actions in an integral manner, and the presence of the technicians is not seen with the necessary importance.

The organizational structure has been limited by those who designed it, since PRODOC defines a structure with hierarchical levels, but the design of the structure at the operational level has been

unbalanced with a very large central level and little level of decentralization at the provincial level.

### **Sustainability**

The Republic of Ecuador is in a difficult economic situation implementing a fiscal adjustment plan to reduce the public deficit. Given this situation, it is important to have public-private partnerships or international cooperation. Similarly, there are political and social risks, since each political authority has its own vision, objectives and priorities that can affect the continuity of the results of the program and its beneficiaries (change of strategies, lack of political will, redistribution of human resources and financial). At the Ministry level, it has been identified that there is not total empowerment of the program, which also represents a high risk for the results and vision of the program to be maintained in the short, medium and long term. In this sense, more work is needed to ensure that the Ministries own the work of the program and the Interministerial Worktables go beyond the life of the Program.

### **Country Ownership**

At the PMU level, there is a good level of commitment and ownership. At the authorities and Ministry teams' level, an intermediate level of ownership of the activities of the Project is identified. 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 the Provincial and Cantonal GADs level, more incidence is needed. In this manner, through greater and better communication, it will be possible to contribute to a greater appropriation of the different key actors. and, to improve the sustainability of the interventions. The fact that the Project is being executed by the MAG and has the MAE as the responsible party (in the context of the NIM implementation modality), and is also part of the PROAmazonía program, gives it a national profile and not exclusively as an international cooperation effort, although PROAmazonía is still identified at the provincial level as a UNDP Project.

### **Innovativeness in results areas**

The PROAmazonía program is considered as a pioneering and innovative initiative, which is in line with the REDD+ AP strategies. Since this is the first Forest and Soil Management Project, it is a good opportunity for it to be replicated in other countries.

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

The ability of the Project to adapt and evolve based on a changing landscape is intermediate. One of the most important milestones in the PDOT framework was the change of local authorities, which led to the need for strategies with the new authorities to ensure the sustainability of the

Project. There were also approaches with the GADs and District Directorates of the MAG and MAE to achieve a more local intervention.

### Gender Equity

Specifically, the Project, which establishes the integrality and landscape approaches under the principles of continuous learning, multidimensionality and multiple actors, establishes the gender and intercultural approach in its design, operationalizing its transversely in the different stages of the Project, which improves the sustainability and compliance with the proposed goals of integral management. Also, because it is aimed at landscapes, it focuses on defined territories, aiming that the interventions implemented lead to obtaining results with a specific and concrete impact, with the implementation of mechanisms and tools that are objectively measurable, which allow to ensure compliance. of plans, policies and regulations established in the country, consistent with the provisions of international conventions on climate change and sustainable development.

Within this framework, and with the support of UN Women, the mainstreaming work is addressed, developing appropriate tools and mechanisms and taking into account the diversity of the cultural, social and economic realities of the Amazon, for which it has been important to locate and define specific actions, and give creative responses to the needs and interests of women and men in the intervention spaces.

## 5.2 Findings and Recommendations

<p><b>Component 1</b></p> <p><b>Finding 1 MTR:</b> The development and approval of PDOTs under the new guidelines supported by the Project, which include criteria for climate change, conservation, and sustainable production, is an important part for ensuring the inclusion of these contents. With even Cantonal and Parochial GADs in the process of strengthening their decentralized management, it is no guarantee that they have developed the technical capacity in these areas. Then the challenge will be the correct implementation of the PDOTs.</p>
<p><b>Recommendation 1 MTR:</b> Continue the collaboration and technical work with the PLANIFICA Secretariat and the CTEA Technical Secretariat to ensure that the supervision and monitoring of the implementation of PDOTs is carried out properly. This will ensure not only the inclusion, but also the adoption of the criteria of climate change, conservation, and sustainable production of each of the PDOTs. PLANIFICA is an entity of the Ecuadorian state, and strengthening the capacity in one of its main technical functions will also increase the sustainability of PROAmazonía's interventions.</p>
<p><b>Component 4 and 2</b></p> <p><b>Finding 2 MTR:</b> The roadmap elaborated with BanEcuador to advance in the identification of green credit lines that promote sustainable agricultural production has little progress in its implementation and is under the risk that its goals will not be achieved. PROAmazonía depends on several actors who do not necessarily give the same priority to the subject.</p>
<p><b>Recommendation 2 MTR:</b> Review and adjust the road map with BanEcuador and, from that, redouble efforts to achieve the agreed objectives, in addition to analyzing other strategies that facilitate the identification and development of green lines of credit.</p>



<p><b>Component 2:</b></p> <p><b>Finding 3 MTR:</b> Result of the articulated work between the Government of Ecuador, private actors and the academy since 2014, has allowed the establishment of the Inter-Institutional Monitoring Committee for Sustainable Palm - CISPS, chaired by the Ministry of Agriculture and Livestock. Ecuador is an international benchmark on the efforts made for the implementation of jurisdictional certification, with its first pilot being carried out in the Ecuadorian Amazon. However, the critical path of activities related to the adhesion of the RSPO certification schemes, and the development and implementation of the platform are not still clearly integrated. According to the producers' leaders, their associates are disorganized.</p>
<p><b>Recommendation 3 MTR:</b> It is necessary to review and update the milestones and goals of the activities of Roundtable on Sustainable Palm Oil (RSPO) certification, and progress towards their achievement in a comprehensive manner. A promotion and awareness strategy need to be carried out with PROAmazonía beneficiary producers of palm to proactively involve them and adhere to the certification.</p>
<p><b>Component 2 and 3:</b></p> <p><b>Finding 4 MTR:</b> After the interviews with the representatives of producer associations that receive technical assistance under the methodology of Growing and Starting with their Business (UNDP) to producers and communities with potential bio-enterprises in the prioritized areas of the GEF, it has verified that it has a limited approach to the directors / leaders of the associations, who act as the natural counterpart of this activity with the responsible Consultants, preventing a guarantee of ownership or the adoption by a majority of the legal associates.</p>
<p><b>Recommendation 4 MTR:</b> It is necessary to ensure that all technical assistance activities from the outset are known to most legal partners. Similarly, the consulting team must have a strategy and the criteria for participation, also considering the gender approach. In this same direction, clear ground rules are needed to ensure the commitment and ownership of the associates, in order for both, the technical assistance process and the final product, to add value to their forms of production and commercial linkage, which will allow them to generate higher economic income and therefore greater sustainability.</p>
<p><b>Component 3</b></p> <p><b>Finding 5 MTR:</b> At the time of the present evaluation, the design of the Community Monitoring System was in full development. This tool is not necessarily associated to the M&amp;E System, which can become a weakness by duplicating unnecessary efforts, creating additional costs, and above all, to forgo the collection of strategic information from the place of the intervention, which contains the perspective of the beneficiaries. It is also unclear whether its application will be transversal to all the activities of the Program.</p>
<p><b>Recommendation 5 MTR:</b> Establish and define the association of the information generated between the subsystems. Both the Community Forest Monitoring System and the pilot system of farm boundaries can provide relevant information to be integrated into the Program's M&amp;E System. Aligning Information Systems is a good practice to complement their information for better strategic planning, implementation and for the systematization and feedback of good practices.</p>
<p><b>Component 4:</b></p> <p><b>Finding 6:</b> At the time of the MTR there is no systematic information on the inclusion of the gender approach in the activities that were initiated prior to the Agreement with UN Women.</p>
<p><b>Recommendation 6 MTR:</b> It is recommended to keep the UN Women approach with disaggregated information to ensure its availability with quality and timeliness, and thus avoid the information gap that occurred at the beginning of the Program.</p>
<p><b>Component 4</b></p> <p><b>Finding 7 MTR:</b> The lack of necessary information, updated and systematized from the inclusion of the gender approach, could be a barrier to the proper development of studies and marketing strategies that serve as input for their ventures.</p>
<p><b>Recommendation 7 MTR:</b> The implementation of market studies, as well as the action plans that identify specific business opportunities and market access for women and indigenous peoples, should take advantage and develop their own culture logic, based on their knowledge. Such as the use of plants linked to bio enterprises with the pharmaceutical, cosmetic food industry, and others.</p>
<p><b>Transversal Component 4</b></p>

<p><b>Finding 8 MTR:</b> It has been identified that the dissemination of the project information is fragmented and still does not address the important task of information dissemination at the different Project actors' level. Different reports are presented to the Ministries, UNDP, donors, but there is no strategy that ensures that the information reaches the entire audience and key actors at the central and provincial level.</p>
<p><b>Recommendation 8 MTR:</b> Assessment of the current state of implementation of the M&amp;E System plan vs. actual in terms of: i) software ii) hardware and iii) personnel trained in its administration. In this way, it can be ensured that the Project management is supported by a results-oriented computing tool, generating information and disseminating it more efficiently and effectively.</p>
<p><b>Transversal</b></p> <p><b>Finding 9 MTR:</b> The current execution of activities and processes is governed by a manual that is not completely complied with in terms of management times and decision making. The actions of the Ministries are more associated to administrative issues than strategic ones; there is a lot of delay in the execution of contracts that also generates delays in financial execution.</p>
<p><b>Recommendation 9 MTR:</b> Implementation of UNDP SOPs in replacement of the operational processes section of the Program Process Manual. This will also give agility to the implementation and will facilitate greater use of the technical capabilities of the PMU and strengthen the strategic role of the Ministries as Implementing Partners.</p>
<p><b>Transversal</b></p> <p><b>Finding 10 MTR:</b> Field technical teams do not always work in an articulated and a well-coordinated way between components at the central level. The organizational structure at the provincial level is not the most appropriate.</p>
<p><b>Recommendation 10 MTR:</b> Review and adjust the structure of the provincial teams and include the position of Technical Coordination for each region (North, Center and South).</p>
<p><b>Transversal</b></p> <p><b>Finding 11 MTR:</b> One of the key functions of the Program Management Committee, composed by the National Directors, is to review and approve the products generated under the Program. In the minutes of the Management Committee members meetings, no comments are identified on the quality and opportunity of the strategic products or how they contribute to the Program's results chain.</p>
<p><b>Recommendation 11 MTR:</b> In order to improve the sustainability of the interventions, it is recommended that when approving a certain product, the Management, the National Directorates and specialists make an analysis supported by a checklist that verifies the criteria of efficiency, effectiveness, and the effects to which it will contribute, in addition to analyzing its sustainability. This checklist can be attached to the minutes of the Management Committee meeting for the corresponding period to demonstrate that its monitoring and evaluation role contributes to ensuring the achievement of the expected results and products.</p>
<p><b>Transversal</b></p> <p><b>Finding 12 MTR:</b> Every formal evaluation process involves a set of adjustments that must be agreed, planned and valued in order to comply with the evidence that the recommendations were applied.</p>
<p><b>Recommendation 12 MTR:</b> Establish a strategy to socialize and agree on key actions to implement all the recommendations presented in this evaluation with the Ministries.</p>

## Lessons learned

- The commitment and political will are key to the success of a Program with the characteristics of PROAmazonía, especially to consider and give continuity to the inter-institutional agreements to ensure that all those good practices and tools developed with the support of the project are institutionalized.
- When designing an organizational structure for a Program such as PROAmazonía, it is necessary to decentralize it in a more strategic manner. The operational level at province level should be at a higher decision level.

- Stakeholders should be more effectively informed by different means about the objectives and results that are being achieved, for which they must have a communication and dissemination strategy for program information. Autonomous entities must be involved from the beginning in order to achieve 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 of partners must be established where gender-based participation is promoted and should not be limited to the leadership of the association / organization.
- 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 round-trip route for information dissemination and feedback. Every project start has a learning curve, which can be better exploited if the management is results-oriented and if information is shared in a timely manner supported by a good M&E system.
- The Inception Workshop is a good practice to start making the Program visible, but has 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 not only have quantitative indicators but also qualitative indicators. It is also necessary to include one or more indicators to assess the effects / results they generate, and which is attributable to training / strengthening.
- The dissemination of appropriate 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.).

## 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>6</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 are multiple donors, and it is expected that the consultants will provide advice regarding the implementation of a Program that involves two Ministries.

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<sup>6</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)

**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> <p><b>Output 2.5:</b> Strengthened credit systems for deforestation free production in HCVFs.</p>
<p><b>Component 3.</b> Landscape level implementation of sustainable</p>	<p><b>Output 3.1:</b> Sustainable production and environment-friendly practices in coffee and oil palm to improve connectivity in MUL and</p>

<p>practices in commercial production and livelihoods systems, aligned with the conservation and restoration of HVCF</p>	<p>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>
<p><b>Component 4.</b></p> <p>Dissemination of lessons learned, monitoring &amp; evaluation</p>	<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. Invest in enabling policies to reduce the drivers of deforestation and their associated emissions. 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>
<ul style="list-style-type: none"> <li>· ATPA</li> </ul>	<ul style="list-style-type: none"> <li>· Amazonia</li> </ul>	<ul style="list-style-type: none"> <li>· Manager, technicians</li> </ul>
<ul style="list-style-type: none"> <li>· Socio Bosque Programme</li> </ul>	<ul style="list-style-type: none"> <li>· Amazonia</li> </ul>	<ul style="list-style-type: none"> <li>· Manager, technicians</li> </ul>
<ul style="list-style-type: none"> <li>· Mancomunidad Bosque Seco (only GCF)</li> </ul>	<ul style="list-style-type: none"> <li>· Loja and Oro provinces</li> </ul>	<ul style="list-style-type: none"> <li>· Director</li> </ul>
<ul style="list-style-type: none"> <li>· SCTEA</li> </ul>	<ul style="list-style-type: none"> <li>· Amazonia</li> </ul>	<ul style="list-style-type: none"> <li>· Authorities</li> </ul>
<ul style="list-style-type: none"> <li>· GADs</li> </ul>	<ul style="list-style-type: none"> <li>· Amazonia</li> </ul>	<ul style="list-style-type: none"> <li>· Technicians, Planning Directors</li> <li>· Authorities</li> </ul>
<ul style="list-style-type: none"> <li>· Secretaría Técnica Planifica Ecuador</li> </ul>	<ul style="list-style-type: none"> <li>· Quito</li> </ul>	<ul style="list-style-type: none"> <li>· Authorities</li> </ul>

• 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> APR (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
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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
<b>Project Strategy</b>	N/A	
<b>Progress Towards Results</b>	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</b>		<b>GCF:</b> November 5, 2019. One week after	MTR consultant submits to the Commissioning Unit and project management

	<b>(English and Spanish)</b>		Inception Report Draft Submission.  <b>GEF:</b> December 19, 2019. One month after MTR mission.	
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 OFP
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>		
	• 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	<b>30%</b>
	• 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.	30	30%
Only the technical proposals that achieve a score of at least 49/70 will proceed to the economic proposal review stage.		

## 6.2 MTR Evaluative Matrix

Criteria / Evaluation Question	What to look for? / Possible indicators	Information sources	Information collection methods
<b>Project strategy</b>			
<b>Project design</b>			
· 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 GEF.	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
<b>Country appropriation</b>			



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 GEF 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 midterm 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
· 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

<b>Criteria / Evaluation Question</b>	<b>What to look for? / Possible indicators</b>	<b>Information sources</b>	<b>Information collection methods</b>
· 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 GEF 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><i>Work Planning</i></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 changes that have been made since the beginning of the project.	Consistency between operational / strategic plans and the logical / results framework	Operating Plans / Results Framework	Documents review and interviews
<b><i>Finance and co-financing</i></b>			

Criteria / Evaluation Question	What to look for? / Possible indicators	Information sources	Information collection methods
· 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><i>Informed by the co-financing monitoring chart to be filled in, provide comments on the co-financing</i></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><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>			



<b>Criteria / Evaluation Question</b>	<b>What to look for? / Possible indicators</b>	<b>Information sources</b>	<b>Information collection methods</b>
· 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 GEF 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	GEF 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 GEF 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 GEF representatives Government institutions PRODOC Exit strategy	Documents review and interviews
<b>Socio-economic risks for sustainability</b>			

Criteria / Evaluation Question	What to look for? / Possible indicators	Information sources	Information collection methods
· 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 GEF 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 GEF 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 GEF actors UNDP team	Documents review, interviews, consultations during field visit
<b><i>Country Ownership</i></b>			
· Are the projects as implemented responsive to local challenges and relevant/appropriate/strategic in relation	Project objectives, expected results and national plans	Project Team UNDP team AF representatives	Documents review and interviews

Criteria / Evaluation Question	What to look for? / Possible indicators	Information sources	Information collection methods
to SDG indicators, National indicators, GEF RMF/PMF indicators, AE indicators, or other goals?		Government institutions PRODOC	
· 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
· 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

Criteria / Evaluation Question	What to look for? / Possible indicators	Information sources	Information collection methods
· 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 adaptation/mitigation in the projects and country context? Please provide concrete examples and make specific suggestions on how to enhance these roles going forward.	Factors of "thought leadership" innovation "," additional climate finance unlocked "	Project Team UNDP team AF representatives Government institutions PRODOC Exit strategy	Documentary review, workshops and / or interviews
<b>Unexpected results, both positive and negative</b>			

<b>Criteria / Evaluation Question</b>	<b>What to look for? / Possible indicators</b>	<b>Information sources</b>	<b>Information collection methods</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: "Sustainable Development of the Ecuadorian Amazon: integrated management of multiple use landscapes and high value conservation forests"</b></p> <p><b>PIMS 5606 (GEF)</b></p> <p><b>Mid-term review 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 GEF 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?	
• Does the project team meet regularly with all co-financing partners to align annual funding priorities and work plans?	

• Was there efficient planning and financial management?	
• Is co-financing being used strategically to help project objectives?	
<b>Monitoring and evaluation systems at the project level</b>	
• How do you rate the M&E function of the project?	
• Are they aligned or integrated with national systems?	
• Are they efficient, do you need additional tools?	
• 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?	
<b>Stakeholder involvement</b>	
• Project management: Has the project developed and explored the necessary and appropriate partnerships with direct and indirect stakeholders?	
• 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?	
• 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?	
• What has been the role of the GEF besides being the funder?	
• What were the main technical contributions of UNDP to project activities?	
<b>Communications</b>	
• 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	

<ul style="list-style-type: none"> <li>• What is the probability that financial and economic resources are not available when the GEF assistance ends?</li> </ul>	
<b>Socio-economic risks for sustainability</b>	
<ul style="list-style-type: none"> <li>• 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?</li> </ul>	
<ul style="list-style-type: none"> <li>• 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?</li> </ul>	
<b>Institutional framework and governance risks to sustainability</b>	
<ul style="list-style-type: none"> <li>• Do the legal frameworks, policies, structures and governmental processes present risks that could compromise the sustainability of the project's benefits?</li> </ul>	
<b>Environmental risks for sustainability</b>	
<ul style="list-style-type: none"> <li>• Is there an environmental risk that could compromise the sustainability of the project results?</li> </ul>	
<b>Country Ownership</b>	
<ul style="list-style-type: none"> <li>• 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?</li> </ul>	
<ul style="list-style-type: none"> <li>• At this point in the execution of the project, do you think there is adequate local ownership and leadership?</li> </ul>	
<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>	
<b>Design phase</b>	
<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>	

• Do the activities promote the participation of men and women equally?	
• Are there activities that reproduce traditional gender roles or, on the contrary, do activities seek to “disarm” traditional roles?	
• Are the projects based on data disaggregated by gender by population-statistics?	
• Are financial resources / project activities explicitly allocated to allow women to benefit from project interventions?	
<b>Implementation phase</b>	
• Were equal relationships between men and women promoted during the activities?	
• Are there lessons in gender equality?	
• At the time when decisions regarding the intervention were made, was the opinion of men and women considered?	
• Did the decision spaces have male and female representatives?	
<b>Monitoring phase</b>	
• How has the project contributed to improving the status and position of women?	
• Has the social assessment of women before the intervention changed? (training related to income improvement).	
<b>Evaluation phase</b>	
• Has progress been made in greater women's autonomy?	
• Has progress been made in greater empowerment of women?	
<b>Innovation in results areas</b>	
• 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?	
<b>Unexpected results, both positive and negative</b>	
• How has been the capacity of the projects to adapt and evolve based on the continuous lessons learned and the changing development landscape?	

<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)	The objective/outcome has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets.
<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 MTR 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		Mitin 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.
<b>End of the evaluation visit.</b>		

## 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 Panguí	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 Huatatocha	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)
Annex 1	PIF GEF	YES
Annex 2	UNDP Initiation Plan	YES
Annex 3	Project Document (PRODOC)	YES
Annex 4	GEF Results of environmental and social screening	YES
Annex 5	PROAmazonía Project Inception report	YES
Annex 6	Project Implementation Report (PIR) 2018 & 2019	YES
Annex 7	GEF tracking tools	YES
Annex 8	Quarterly progress reports and work plans of the different teams of implementation tasks	YES
Annex 10	Supervision Mission Reports	YES
Annex 11	All monitoring reports prepared by the project	YES
Annex 12	Financial and administrative guidelines used by the project team	YES
Annex 13	Matrix of indicators	YES
Annex 14	Operational guidelines, manuals and project systems	YES
Annex 15	UNDP country / country 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 gender mainstreaming 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 Annex 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 Amazonía Centro	YES
	TdR Consorcio PDOT Amazonía 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 Género 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.

### MTR Consultant Agreement Form

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

Name of Consultant: \_\_\_\_\_

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 \_\_\_\_\_ (Place) on \_\_\_\_\_ (Date)

Signature: \_\_\_\_\_

**6.9 Signed Interim Evaluation final report clearance form**

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

**Commissioning Unit**

Name: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**UNDP-GEF Regional Technical Advisor**

Name: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## **6.10 Indicators Matrix Proposal GEF**

Annexed in separate file.

## **6.11 Audit trail**

Annexed in separate file.

## 6.12 Core Indicators Table

<b>Core Indicator 1</b>	<b>Terrestrial protected areas created or under improved management for conservation and sustainable use</b>					<b>(Hectares)</b>	
Indicator Not Relevant – Project does not work in Nationally Protected Areas	Hectares (1.1+1.2)						
	Expected					Achieved	
		PIF stage	Endorsement		MTR	TE	
Indicator 1.1 Indicator Not Relevant	Terrestrial protected areas newly created						
Name of Protected Area	WDPA ID	IUCN category	Hectares				
			Expected		Achieved		
		PIF stage	Endorsement		MTR	TE	
		(select)					
	(select)						
	Sum						
Indicator 1.2 Indicator Not Relevant	Terrestrial protected areas under improved management effectiveness						
Name of Protected Area	WDPA ID	IUCN category	Hectares	METT Score			
				Baseline		Achieved	
		---	Endorsement		MTR	TE	
		(select)					
	(select)						
	Sum						
<b>Core Indicator 2</b>	<b>Marine protected areas created or under improved management for conservation and sustainable use</b>					<b>(Hectares)</b>	
Indicator Not Relevant – Project does not work in Marine Protected Areas	Hectares (2.1+2.2)						
	Expected					Achieved	
		PIF stage	Endorsement		MTR	TE	
Indicator 2.1 Indicator Not Relevant	Marine protected areas newly created						
Name of Protected Area	WDPA ID	IUCN category	Hectares				
			Expected		Achieved		
		PIF stage	Endorsement		MTR	TE	
		(select)					
	(select)						
	Sum						
Indicator 2.2	Marine protected areas under improved management effectiveness						
Name of Protected Area	WDPA ID	IUCN category	Hectares	METT Score			
				Baseline		Achieved	
		---	Endorsement		MTR	TE	
		(select)					
	(select)						
	Sum						
<b>Core Indicator 3</b>	<b>Area of land restored</b>					<b>(Hectares)</b>	

All data reported in Core Indicator 4			Hectares (3.1+3.2+3.3+3.4)			
			Expected		Achieved	
	Total Number		PIF stage	Endorsement	MTR	TE
<b>Indicator 3.1</b>	<b>Area of degraded agricultural land restored</b>					
All data reported in Core Indicator 4			Hectares			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
<b>Indicator 3.2</b>	<b>Area of forest and forest land restored</b>					
All data reported in Core Indicator 4			Hectares			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
<b>Indicator 3.3</b>	<b>Area of natural grass and shrublands restored</b>					
All data reported in Core Indicator 4			Hectares			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
<b>Indicator 3.4</b>	<b>Area of wetlands (including estuaries, mangroves) restored</b>					
All data reported in Core Indicator 4			Hectares			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
<b>Core Indicator 4</b>	<b>Area of landscapes under improved practices (hectares; excluding protected areas)</b>					<b>(Hectares)</b>
	Hectares (4.1+4.2+4.3+4.4)					
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
				454261	17,311	
<b>Indicator 4.1</b>	<b>Area of landscapes under improved management to benefit biodiversity</b>					
This number is calculated from GEF2.5a 376460 hectares in protective forests that have management plans: (North: 56122 hectares / Center: 41085 hectáreas / South: 279253 hectáreas). So, all additional indicators that relate to Forest Management and Protected Forests (GEF3.1c and GEF3.4b) are included within these hectares, and therefore are not counted again as this would be double counting.			Hectares			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
				376,460	6,268	
<b>Indicator 4.2</b>	<b>Area of landscapes that meet national or international third-party certification that incorporates biodiversity considerations</b>					



Third party certification(s): RSPO – palm oil		Hectares			
		Expected		Achieved	
		PIF stage	Endorsement	MTR	TE
			11,936	9,465	
Indicator 4.3	Area of landscapes under sustainable land management in production systems				
		Hectares			
		Expected		Achieved	
		PIF stage	Endorsement	MTR	TE
			32,294	1979	
Endorsement figures correspond to: Calculated from BD Tracking tool Endorsement Number. No. environmentally friendly practices in coffee and cacao 6,044 ha, livestock 26,250 ha total. Matches data from PROAmazonia Indicators Matrix GEF3.1a and GEF3.1d					
MTR figures correspond to: The livestock indicator same as the last PIR. For coffee and cocoa find the updated numbers: Coffee: 696 ha. Cocoa: 1283 ha. This updated information was provided by ATPA November 12, 2019					
Indicator 4.4	Area of High Conservation Value Forest (HCVF) loss avoided				
Include documentation that justifies HCVF <i>Methodology has been developed and is being validated by MAE and MAG.</i>		Hectares			
		Expected		Achieved	
		PIF stage	Endorsement	MTR	TE
			33,571	0	
Specific Areas of HCVF have been defined in products from Consultancy in 2019 – but have not been approved for implementation yet, so progress at MTR is 0.					
This is PROAmazonia Indicator GEF 3.1e and matches the baseline EBD Tracking Tool under section III Forest Conservation Agreements in Farms					
<b>Core Indicator 5</b>	<b>Area of marine habitat under improved practices to benefit biodiversity</b>				<b>(Hectares)</b>
Indicator 5.1	Number of fisheries that meet national or international third-party certification that incorporates biodiversity considerations				
Third party certification(s):		Number			
		Expected		Achieved	
		PIF stage	Endorsement	MTR	TE
Indicator 5.2	Number of large marine ecosystems (LMEs) with reduced pollution and hypoxial				
Indicator Not Relevant		Number			
		Expected		Achieved	
		PIF stage	Endorsement	MTR	TE

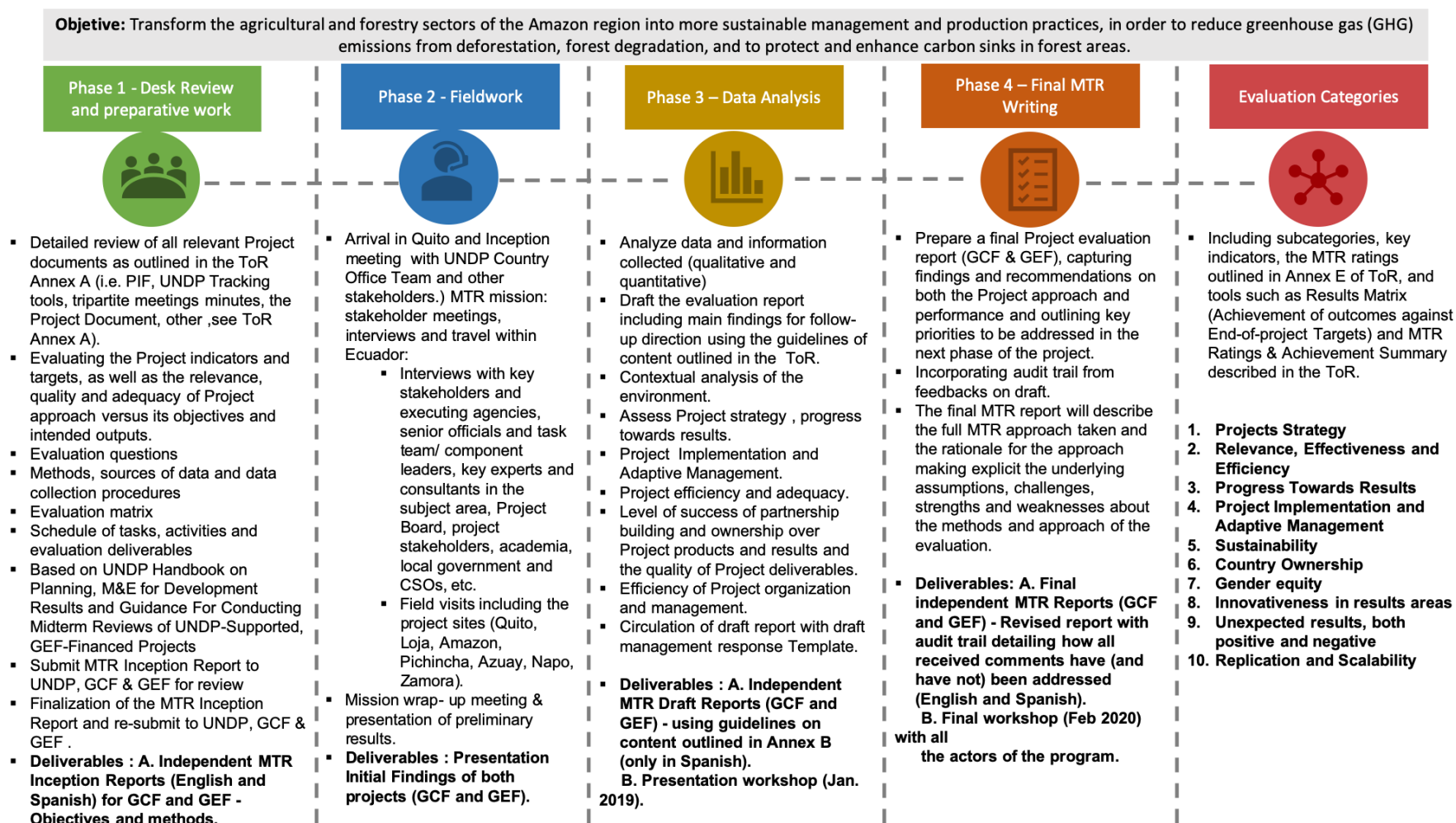
Indicator 5.3		Amount of Marine Litter Avoided			
Indicator Not Relevant		Metric Tons			
		Expected		Achieved	
		PIF stage	Endorsement	MTR	TE
Core Indicator 6		Greenhouse gas emission mitigated			(Metric tons of CO <sub>2</sub> e)
Data is from SFM tracking tool, CO <sub>2</sub> e indirect over 20yr lifetime	Expected metric tons of CO <sub>2</sub> e (6.1+6.2)				
		PIF stage	Endorsement	MTR	TE
	Expected CO <sub>2</sub> e (direct)		257,566		
Expected CO <sub>2</sub> e (indirect)		8,749,801			
Indicator 6.1		Carbon sequestered or emissions avoided in the AFOLU sector			
2016 is project start date; next BUR will be delivered in 2020, so data may change  Calculated by dividing 8,749,801 by 20 to get annual average * 3 years of implementation (2016-2019)	Expected metric tons of CO <sub>2</sub> e				
		PIF stage	Endorsement	MTR	TE
	Expected CO <sub>2</sub> e (direct)		257,566	NT	
	Expected CO <sub>2</sub> e (indirect)		8,749,801	1,312,470.2	
	Anticipated start year of accounting		2016	2016	
Duration of accounting		20 years	3	6	
Indicator 6.2		Emissions avoided Outside AFOLU			
Indicator Not Relevant		Expected metric tons of CO <sub>2</sub> e			
		Expected		Achieved	
		PIF stage	Endorsement	MTR	TE
Expected CO <sub>2</sub> e (direct)					
Expected CO <sub>2</sub> e (indirect)					
Anticipated start year of accounting					
Duration of accounting					
Indicator 6.3		Energy saved			
Indicator Not Relevant		MJ			
		Expected		Achieved	
		PIF stage	Endorsement	MTR	TE
Indicator 6.4		Increase in installed renewable energy capacity per technology			
Indicator Not Relevant	Technology	Capacity (MW)			
		Expected		Achieved	
		PIF stage	Endorsement	MTR	TE
	(select)				
	(select)				

<b>Core Indicator 7</b>	<b>Number of shared water ecosystems (fresh or marine) under new or improved cooperative management</b>					<b>(Number)</b>
Indicator 7.1	Level of Transboundary Diagnostic Analysis and Strategic Action Program (TDA/SAP) formulation and implementation					
Indicator Not Relevant – Project does not work in shared water ecosystems		Shared water ecosystem	Rating (scale 1-4)			
			PIF stage	Endorsement	MTR	TE
Indicator 7.2	Level of Regional Legal Agreements and Regional Management Institutions to support its implementation					
Indicator Not Relevant		Shared water ecosystem	Rating (scale 1-4)			
			PIF stage	Endorsement	MTR	TE
Indicator 7.3	Level of National/Local reforms and active participation of Inter-Ministerial Committees					
Indicator Not Relevant		Shared water ecosystem	Rating (scale 1-4)			
			PIF stage	Endorsement	MTR	TE
Indicator 7.4	Level of engagement in IWLEARN through participation and delivery of key products					
Indicator Not Relevant		Shared water ecosystem	Rating (scale 1-4)			
			Rating		Rating	
			PIF stage	Endorsement	MTR	TE
<b>Core Indicator 8</b>	<b>Globally over-exploited marine fisheries Moved to more sustainable levels</b>					<b>(Metric Tons)</b>
Indicator Not Relevant	Fishery Details					
	Metric Tons					
	PIF stage	Endorsement	MTR	TE		
<b>Core Indicator 9</b>	<b>Reduction, disposal/destruction, phase out, elimination and avoidance of chemicals of global concern and their waste in the environment and in processes, materials and products</b>					<b>(Metric Tons)</b>
Indicator Not Relevant	Metric Tons (9.1+9.2+9.3)					
	Expected		Achieved			
	PIF stage	Endorsement	MTR	TE		
Indicator 9.1	Solid and liquid Persistent Organic Pollutants (POPs) removed or disposed (POPs type)					
POPs type		Metric Tons				
		Expected		Achieved		
		PIF stage	Endorsement	MTR	TE	
(select)	(select)	(select)				
(select)	(select)	(select)				
(select)	(select)	(select)				
Indicator 9.2	Quantity of mercury reduced					
	Metric Tons					

Indicator	Not Relevant		Expected		Achieved		
			PIF stage	Endorsement	MTR	TE	
Indicator 9.3		Hydrochlorofluorocarbons (HCFC)	Reduced/Phased out				
Indicator	Not Relevant		Metric Tons				
			Expected		Achieved		
			PIF stage	Endorsement	MTR	TE	
Indicator 9.4		Number of countries with legislation and policy implemented to control chemicals and waste					
Indicator	Not Relevant		Number of Countries				
			Expected		Achieved		
			PIF stage	Endorsement	MTR	TE	
Indicator 9.5		Number of low-chemical/non-chemical systems implemented particularly in food production, manufacturing and cities					
Indicator	Not Relevant		Number				
		Technology	Expected		Achieved		
			PIF stage	Endorsement	MTR	TE	
Indicator 9.6		Quantity of POPs/Mercury containing materials and products directly avoided					
Indicator	Not Relevant		Metric Tons				
			Expected		Achieved		
			PIF stage	Endorsement	MTR	TE	
<b>Core Indicator 10</b>	<b>Indicator Not Relevant – Project does not work to avoid POPs</b>	<b>Reduction, avoidance of emissions of POPs to air from point and non-point sources</b>				<b>(grams of toxic equivalent gTEQ)</b>	
Indicator 10.1		Number of countries with legislation and policy implemented to control emissions of POPs to air					
Indicator	Not Relevant		Number of Countries				
			Expected		Achieved		
			PIF stage	Endorsement	MTR	TE	
Indicator 10.2		Number of emission control technologies/practices implemented					
Indicator	Not Relevant		Number				
			Expected		Achieved		
			PIF stage	Endorsement	MTR	TE	
<b>Core Indicator 11</b>		<b>Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment</b>				<b>(Number)</b>	
Original data from TT was			Number				
			Expected		Achieved		

incorrect as it was not direct beneficiaries. Data updated to direct beneficiaries obtained from 2019 PIR report, ProDoc's Logframe Outcome 1.3.a (2100 attendees expected to participate in 24 workshops until May 2020 as part of the PDOT process)		PIF stage	Endorsement	MTR	TE
		Female	2954	407	
		Male	4430	725	
		<i>Total</i>	7384	1132	

## 6.13 Flowchart of the Mid-Term Review of the PROAmazonía Program (composed by the GCF and GEF projects)



Source: Own elaboration, prepared based on the ToR

## 6.14 Progress of the gender component of PROAmazonía with the support of UN Women.

GEF PROJECT STRATEGIES	PRODUCTS WITHIN THE AGREEMENT WITH UN WOMEN	PROPOSED ACTIVITIES WITHIN THE AGREEMENT WITH UN WOMEN	EVALUATION OF THE PROGRESS OF THE PROJECT	RECOMMENDATIONS
COMPONENT 1: Strengthened multi-level governance framework for sustainable management and production in multiple use landscapes (MUL) and high value conservation forests (HVCF) in the special Amazonian territorial circumscription (CTEA):				
1.1. The incorporation of a gender and intercultural approach in PDOTs	<b>Product 2.2:</b> Design and implementation of policy to contribute to the best performance of personnel working in local units.	<b>Activity 2.2.1</b> Identification of gender barriers and cultural barriers in labor relations within teams and working relationships between teams with communities.	The workshop was developed during the mid-term review period, so its effects could not be assessed with those responsible during the fieldwork. However, the information presented to the technical team makes it possible to verify that the gender barrier socialization workshops with the teams and communities began.	From the reading of the description of the activity, it is recommended that in future socializations, the questions and answers, related to the workshop objectives disaggregated by gender, that complement the exit profile of trained people in contrast with the entry, so as evidenced in the workshop report, the degree of progress in strengthening the participants in the subject.
		<b>Activity 2.2.2</b> Training process on human rights, gender and interculturality to the teams that work in the local units.	During the field work, it was evidenced the implementation of the <b><u>workshop on human rights, gender and interculturality</u></b> to the technical teams, which was parallel to the mid-term review process. Therefore, its effects could not be evaluated.	Based on the lecture of the workshop, it is recommended to evaluate the questions and answers, related to the objectives of the workshop disaggregated by gender, that complement the exit profile of the people trained in contrast to the entry, to ensure that the degree of progress in strengthening teams in the subject is evident in the Workshop report

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		<p><b>Activity 2.2.3</b> Definition of techniques for addressing identified barriers and mechanisms for mitigating and overcoming barriers (field companion).</p>	<p>The ToRs were dismissed because the priority line was changed. Prepared the training proposal for women producers.</p>	
		<p><b>Activity 2.2.4</b> Preparation and validation of a personnel performance policy document in the framework of human rights from a gender perspective with cultural relevance.</p>	<p>Planned for 2020</p>	
<p>1.2. The training of the members of the Territorial Platform in a gender and intercultural approach</p>	<p><b>Product 1.2:</b> Methodology and mechanisms of intersectional articulation from a gender perspective for the strengthening of articulation spaces in territory.</p>	<p><b>Activity 1.2.1.</b> Creation of a training and awareness module for the members of the articulation spaces in the territory for the management and monitoring of land use and landscape management.</p>	<p>From the reports provided to the consulting team, the development of the presentation and validation workshop on Women's Human Rights with leaders of peoples and nationalities of CONFENIAE was evidenced, to consolidate the contents of module 2, in accordance with the proposals of the leaders of the different nationalities.</p>	<p>Since in previous activities of the Project the lack of systematized registration of participation has been identified, as well as a methodology for the evaluation of the use, it is recommended that both be included in the training processes of the members of the Territorial Platform</p>
		<p><b>Activity 1.2.2.</b> Development of methodology and mechanisms to ensure that landscape management and land use analyzes are carried</p>	<p>According to the information presented to the evaluation team, the ToRs for the hiring and the call were made,</p>	



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		out from a gender perspective and with cultural relevance in coordination and decision making.	which has <b><u>extended the term of search for profiles.</u></b>	
		<b>Activity 1.2.5</b> Creation of institutional mechanisms and practical tools to guarantee social participation in spaces of articulation in territory with cultural relevance and from a gender perspective, for the management and monitoring of land use and landscape management.	The reports delivered to the consulting team show the joint and detailed planning between UN Women and PROAmazonía in the preparation of ToRs.	
1.3. The promotion of the participation of the Gender Equality Council, in charge of national gender policies, in the territorial articulation platform.	<p><b>Product 1.1:</b> Strengthening of institutional capacities for the participation of indigenous peoples and nationalities and of women from all social sectors, in decision-making and action in the management of the territory and proper use of the landscape.</p> <p><b>Product 1.2:</b> Methodology and mechanisms of intersectoral articulation from a gender perspective for the strengthening of</p>	<b>Activity 1.1.1 Analysis</b> of gender barriers in citizen participation, access to knowledge and capacity development (in coordination with the consultancy that will develop the environmental and social management plan).	Because the workshop was developed during the midterm evaluation period, the result could not be evaluated with those responsible during the field work. However, the monitoring of the reports (quarterly and workshop), evidences the realization of the contracting process of the consultancy that carried out the analysis and the CAP results on gender barriers, as well as the realization of their socialization on November 22, 2019, to the teams of:	It is recommended that for the strengthening of these capacities, it is approached from the perspective of the value and economic contribution of women to society, so that it is understood that in addition to being human rights, their inclusion in the market is economically convenient.

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	<p>articulation spaces in territory</p>	<p><b>Activity 1.1.2.</b> Development of mechanisms to guarantee the leadership and effective participation of women in the processes of knowledge generation and capacity development with farmers, indigenous communities and civil society, with emphasis on women's organizations, using inclusive participation systems.</p>	<p>MAG, MAE, GAD, PROAmazonía, Socio Bosque.</p> <p>The report presented reflects the joint and detailed planning between UN Women and PROAmazonía, for the preparation and approval of the ToRs, for the hiring of the consultancy responsible for the development of strategies and mechanisms to overcome the identified gaps. Likewise, it was found the realization of workshops for the socialization of barriers and the identification of measures to overcome them (Workshops: Puyo). At the time of the midterm evaluation, the recruitment process for consultancies and the start of the workshops was underway.</p>	<p>It is recommended to focus the evaluation on the interventions of the participants, in order to make visible the progress in the understanding of the theme, which guides and monitoring the training and training events.</p>

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		<p><b>Activity 1.1.3.</b> Development of an awareness and awareness strategy in the training modules established in the program for the selected sectors.</p>	<p>The call was made and extended for the search of profiles.</p>	
		<p><b>Activity 1.2.3.</b> Conceptual and methodological training on the gender and intercultural approach with the (institutional) members of the articulation spaces in the territory.</p>	<p>ToRs made and approved for contracting Once the call has been made, it has extended the profile search period.</p> <p>Because the hiring process of the training specialist was in an initial state, the impacts could not be assessed, so only the existence of the ToR was confirmed.</p>	<p>The Project recommends addressing issues of division of household chores, considering the significant gap in overtime that women work in relation to men, as well as the value of unpaid work.</p>
		<p><b>Activity 1.2.4.</b> Creation and application of a system of socio-political training and empowerment for the strengthening of women's leadership in order to promote their effective participation in decision-making in the spaces of articulation in the territory.</p>	<p>During the field work, the workshop on equal rights with Shuar, Kichua, Waorani, Quijos, Nasiepaai, Nae, Andwa of the FOIN, CONFENIAE, FENASHP, AMWAE, FOMAKICE, FICSH organizations was demonstrated.</p> <p>Likewise, through the quarterly report and the workshop, the realization of</p>	<p>It is recommended to differentiate in the real participation of women, which leads to decision-making, versus participation understood as presence. Harassment of women leaders can be a problematic issue and to consider.</p>

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			workshops on Women's Human Rights with leaders of peoples and nationalities of CONFENIAE-CONAE (Shuar, Achuar, Kichwa, Shiwiar, Waorani, Wiekopai) was confirmed.	
<p><u>1.4. Training programs for the MAE, MAG, GADs and other key public entities, on gender awareness module for the empowerment of family groups and organizations, in order to raise awareness about the division of roles and better distribution of burdens of work between men and women, and that show how women, especially those in indigenous groups, use their time.</u></p>	<p><b>Product 2.3:</b> Methodology for the design and implementation of measures for the sustainability of the landscape and the improvement of the material and cultural conditions of life of Amazonian women and their families.</p> <p><b>Product 2.4:</b> Amazon women expand and enrich their knowledge in handling non-timber products</p>	<p><b>Activity 2.3.1</b> Participatory diagnosis with women (in their chakras) of environmental, social and economic factors that limit the improvement of product quality, income and autonomy in decision making (learning by doing).</p> <p><b>Activity 2.3.2</b> Definition of measures to be taken to improve environmental, social and economic factors essential in improving living conditions</p>	<p>Prepared the training proposal for women producers and women who manage the landscape / forests.</p> <p>Prepared the training proposal for women producers and women who manage the landscape / forests.</p>	<p>It is recommended that training processes for key public entities, family groups, organizations, on the division of roles and a better distribution of the workload, and the use of the time of indigenous women, ensure the existence of a methodology applicable to these processes, which allows qualitative information about the assessment of the use of these interventions. It is also recommended that the systematized records of participation be established, establishing identification data for systematization.</p>

GEF PROJECT STRATEGIES	PRODUCTS WITHIN THE AGREEMENT WITH UN WOMEN	PROPOSED ACTIVITIES WITHIN THE AGREEMENT WITH UN WOMEN	EVALUATION OF THE PROGRESS OF THE PROJECT	RECOMMENDATIONS
		and sustainability of the landscape: recovery of knowledge and transmission of current knowledge.		
		<b>Activity 2.3.3</b> Days of collective work with women for knowledge exchange and decision making on measures to be implemented to improve production, landscape and their living conditions.	It will start in July.	
		<b>Activity 2.3.4</b> Implementation of measures to improve the production process, landscape care and care.	Planned for 2020	
		<b>Activity 2.3.5</b> Technical support in the implementation of the measures considering gender gaps in the three axes: social, environmental and economic.	The call is made (profile search).	
		<b>Activity 2.4.1</b> Mapping of productive systems that women manage, as well as the measures implemented by them throughout their history for the improvement of material and cultural conditions in the value chain of these products.	Made the proposal for mainstreaming the gender approach in the UPTL subproject.	

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		<p><b>Activity 2.4.2</b> Establishment of categories to identify typology of systems and measures implemented by women.</p>	<p>Has not started yet</p>	
		<p><b>Activity 2.4.3</b> Organization and execution of meetings of women from different territories and cultures of the Amazon participating in the Project.</p>	<p>The event has been held between PROAmazonía and UN Women</p>	
<p>1.5. The promotion of the participation of women in the planning and decision-making processes in the Territorial Articulation Platform (40% participation of women and 60% participation of peoples).</p>	<p><b>Product 1.3:</b> PROAmazonía communication and capacity-building strategy includes in its contents and materials the gender approach with cultural relevance.</p>	<p><b>Activity 1.3.1</b> Reflection / training process with the creative people who contribute in the construction of the communication strategy.</p>	<p>The information presented to the consulting team evidences the holding of reflection days with the communication team of the PROAmazonía Project. Due to the state of preparation of the strategy, the effects of the communication strategy could not be evaluated.</p>	
		<p><b>Activity 1.3.2.</b> Construction of communicational concepts about gender and cultural relevance in landscape management.</p>	<p>Has not started yet</p>	<p>It is recommended that communication materials be representative of the target audience. They should also consider the index / degree of instruction of the groups of participants in the project development areas.</p>
		<p><b>Activity 1.3.3</b> Identification of diversity in target groups.</p>	<p>Has not started yet</p>	
		<p><b>Activity 1.3.4</b> Definition of contents and materials</p>	<p>Has not started yet</p>	<p>.</p>

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		according to arrival group and for mass production.		
		<b>Activity 1.3.5</b> Material impact monitoring with focus groups.	Has not started yet	
1.6. The development of an edu-communication strategy, with content and materials adjusted to family realities, ethnicities and respect for local cultural practices and traditional knowledge.			According to the information presented, it has been verified that the communication strategy is in the preparation stage, so its content and the effects of its implementation could not be evaluated	It is recommended that the edu-communication strategy that is carried out promotes the dialogue of knowledge through the recognition of cultural patterns.
1.7. Evaluations and studies that will include methodologies for the breakdown of information by gender, age, ethnicity (for the evaluation of population statistics), family income, number of women and youth, population characteristics, number of men and women head of family, role of family members in the productive systems and functions of				It is recommended that the organization of databases be oriented to the type of information and evaluation that is to be carried out, which allows to nourish a database, for the analysis and orientation of public policies, aimed at the monitoring, control and monitoring of advances in gender and interculturality.

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indigenous families located in critical areas for conservation.				Likewise, it is recommended that UN Women share in its reports the details of the methodologies that have been developed and applied in each activity implemented.
<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				
2.1. The promotion of the participation of women and indigenous peoples in platforms and dialogue tables for market access (at least 35% women and 60% indigenous men or women).			This component of the Project does not have a specific result within the framework of the UN Women proposal. However, it is understood that many activities are transversal.	
2.2. Identify specific business opportunities and market access for women and indigenous peoples, through market and feasibility studies and action plans.			This component of the Project does not have a specific result within the framework of the UN Women proposal.	
2.3. Develop a competitive subsidy mechanism, with emphasis on women and young people, to support new initiatives for income generation through the			This component of the Project does not have a specific result within the framework of the UN Women proposal.	



GEF PROJECT STRATEGIES	PRODUCTS WITHIN THE AGREEMENT WITH UN WOMEN	PROPOSED ACTIVITIES WITHIN THE AGREEMENT WITH UN WOMEN	EVALUATION OF THE PROGRESS OF THE PROJECT	RECOMMENDATIONS
sustainable use of biodiversity products.				
2.4. Specific training in gender and interculturality for staff of financial institutions	<p><b>Product 1.4</b> Methodology for incorporating the gender approach in financial products to ensure that they are sustainable and equitable.</p>	<p><b>Activity 1.4.2.</b> Adaptation of institutional training and dissemination of material on credit lines and impact of REDD+ with a gender approach.</p>	<p>The reports presented reflect the revision of the logical framework for product definition.</p>	
	<p><b>Product 2.1:</b> Development and validation of methodology for the generation of a system of Competitive Funds that provide equal opportunities to the target population, considering gender gaps and cultural relevance.</p>	<p><b>Activity 1.4.3.</b> Creation and validation in the financial system of proposals for inclusive financial products for women producers, linked to access to productive assets, with emphasis on sustainable agricultural production (in coordination with the consulting of the financial team: sustainable finance).</p>	<p>There was no progress</p>	
		<p><b>Activity 1.4.4.</b> Integration of the gender approach in the training program in sustainable finance.</p>	<p>There was no progress</p>	
		<p><b>Activity 1.4.5.</b> Monitoring improvement of the quality of financial products.</p>	<p>Planned for 2020</p>	
		<p><b>Activity 2.1.1.</b> Identification and analysis of the methodologies of competitive funds to be implemented by the program.</p>	<p>Technical assistance to incorporate the gender approach in the proposal of competitive funds. Due to the initial state of the process, an evaluation has not been made.</p>	

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		<p><b>Activity 2.1.2.</b> Analysis of gender gaps and cultural barriers in the access of adult women and women and young men of the cultural ethnic diversity of the Amazon, to competitive funds.</p>	There was no progress	
		<p><b>Activity 2.1.3.</b> Development of the methodology (conceptual framework, instruments and mechanisms) to integrate the gender approach with cultural relevance into the proposals for competitive funds provided for in the program.</p>	There was no progress	
		<p><b>Activity 2.1.4.</b> Application and validation of the methodology in the funds (including REDD+ fund).</p>	There was no progress	
2.5 Special lines of credit for women and for indigenous men and women.			This component of the Project does not have a specific result within the framework of the UN Women proposal. However, many activities are transversal.	
2.6. The promotion of women's participation in the optimization of Socio Bosque investment plans and the identification of specific activities for the			This component of the Project does not have a specific result within the framework of the UN Women proposal.	

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conservation, restoration, sustainable production and sustainable use of biological diversity, which generate socio-economic benefits for women.				
<b>COMPONENTE 3:</b> Landscape level implementation of sustainable practices in commercial production and livelihoods systems, aligned with the conservation and restoration of HVCF				
3.1. Guidelines on best practices and training and technical assistance programs, prepared based on a gender and intercultural approach.			This component of the Project does not have a specific result within the framework of the UN Women proposal.	
3.2. Promotion of equal participation of women and indigenous peoples in training, meetings and technical assistance.			This component of the Project does not have a specific result within the framework of the UN Women proposal.	
3.3. Promotion of the participation of men and women in technical assistance teams, preferably in mixed teams to create an environment conducive to the integration of the gender and intercultural perspective.			This component of the Project does not have a specific result within the framework of the UN Women proposal.	
3.4. Training and technical assistance will consider the work schedules of the producers and their families for minimal interference with			This component of the Project does not have a specific result within the framework of the UN Women proposal.	

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<p>the daily tasks of men and women, and thus ensure their participation in organized activities. Given that indigenous women are in charge of traditional ajas and chakras, it is important to take into account that training and technical assistance in these cases will be given by female technicians and local promoters, respecting their worldview and traditional knowledge, favoring dialogue and implementing the principle of "learning by doing".</p>				
<p>3.5. SFM and NTFP management plans will consider gender and intercultural issues, including traditional knowledge, cultural uses of forests and intercultural dialogue, and will incorporate activities specifically aimed at women (e.g., training, specific business opportunities and value-added initiatives).</p>			<p>This component of the Project does not have a direct result within the framework of the UN Women proposal.</p>	
<p>3.6. The equal participation of men and women in business opportunities of NTFPs.</p>			<p>This component of the Project does not have a specific result within the</p>	

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			framework of the UN Women proposal.	
3.7. Women's access to incentives and credit lines for sustainable production, added value generation and alternative livelihoods (aquaculture, apiculture, sustainable tourism).				
3.8. The exchange of visits to groups of women and youth on successful experiences.			This component of the Project does not have a direct result within the framework of the UN Women proposal.	The systematization of experiences that are identified as successful is recommended for socialization with groups of women and youth. They can be obtained during workshops in women's farms.
<b>COMPONENTE 4:</b> Dissemination of lessons learned, monitoring & evaluation				
4.1 System for Monitoring and Evaluation (M&E) of the Project, in operation and reporting periodically	<p><b>Product 3.1:</b> Baseline includes indicators for measuring and monitoring the behavior of gender gaps in the Project.</p> <p><b>Product 3.2:</b> Participatory system for monitoring and monitoring the progress of the Project.</p>	<p><b>Activity 3.1.1</b> Design of methodology (concept, variables, indicators, sample, route) and tools to raise the baseline of the situation and position of women from different populations and towns in relation to access, use and control of environmental factors and biodiversity.</p>		
	<p><b>Activity 3.1.2</b> Training of personnel who will collect the information to ensure</p>	There was no progress		

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		adequate collection considering gender and cultural differences.		
		<b>Activity 3.1.3</b> Registration, tabulation and analysis of information.	There was no progress	
		<b>Activity 3.1.4</b> Preparation of document.	There was no progress	
		<b>Activity 3.2.1.</b> Participatory prioritization of indicators for monitoring and definition of goals (through the participation mechanisms that are generated in the articulation spaces in the territory).	There was no progress	
		<b>Activity 3.2.2</b> Design of a methodological proposal for participatory monitoring of prioritized indicators with cultural relevance and that guarantee the participation of women.	There was no progress	
		<b>Activity 3.2.3</b> Awareness and consideration workshops on the importance of monitoring indicators to assess the quality and level of investment, the effectiveness of activities and the fulfillment of commitments (workshops designed to ensure the	There was no progress	

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		participation of women and culturally relevant).		
		<b>Activity 3.2.4</b> Training and validation of the methodological monitoring proposal for the analysis of the established mechanisms and dimension of the commitments that the various social actors can assume.	There was no progress	
		<b>Activity 3.2.5</b> System application (semiannual monitoring is suggested).		
4.2 The consolidation of best practices and lessons learned throughout the course of implementation and will support the dissemination of experiences and lessons learned at regional, national and other Amazonian countries.				
4.3. Number of knowledge products and publications on best practices and lessons	<b>Product 3.3:</b> Systematization of experience.	<b>Activity 3.3.1</b> Definition of objective and axis of systematization.	Planned for 2020	

GEF PROJECT STRATEGIES	PRODUCTS WITHIN THE AGREEMENT WITH UN WOMEN	PROPOSED ACTIVITIES WITHIN THE AGREEMENT WITH UN WOMEN	EVALUATION OF THE PROGRESS OF THE PROJECT	RECOMMENDATIONS
learned (at least one on gender).		<b>Activity 3.3.2</b> Definition of tools for collecting information for the objective and the axis.	Planned for 2020	
		<b>Activity 3.3.3</b> Construction of the experience (it is best to have systematization records from the beginning of the Project).	Planned for 2020	
		<b>Activity 3.3.4</b> Analysis and interpretation of the experience developed with the execution of the Project.	Planned for 2020	
		<b>Activity 3.3.5</b> Identification of lessons learned.	Planned for 2020	
		<b>Activity 3.3.6</b> Dissemination of the process and lessons learned.	Planned for 2020	