

Midterm Review

**Project: “Sustainable Productive Landscapes in the
Peruvian Amazon”**

Deliverable 3

Evaluation Report

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ACRONYMS

AGROBANCO	Agricultural Bank (by its acronym in Spanish)
APP-CACAO	Peruvian Association of Cocoa Producers (by its acronym in Spanish)
APROCHOC	Association for the Promotion of Peruvian Chocolate (by its acronym in Spanish)
ASL	Regional GEF Programme on Sustainable Landscapes in the Amazon
AIDSESP	Interethnic Association for Peruvian Forest Development (by its acronym in Spanish)
CATIE	Tropical Agricultural Research and Teaching Center
COCEPU	Ucayali Central Committee of Palm Growers (by its acronym in Spanish)
CONAP	Confederation of Amazonian Nationalities of Peru (by its acronym in Spanish)
COP	Conference of Parties
DCI	Joint Intent Declaration of Peru-Norway-Germany
ENBCC	National Strategy for Forests and Climate Change
FECONASHCRA	Native Communities of the Aguaytía River Basin Federation (by its acronym in Spanish)
FECONAU	Native Communities of Ucayali y Affluents Federation (by its acronym in Spanish)
FENACOCA	Kakataibo Comunidades Federation (by its acronym in Spanish)
FIP	Forest Investment Plan
GEF	Global Environment Facility
GHG	Greenhouse gases
GORE	Regional Governments (by its acronym in Spanish)
IA	Implementing Agency
ICRAF	International Centre for Research in Agroforestry

JUMPALMA	Peru National Board of Oil Palm (by its acronym in Spanish)
MIDAGRI	Ministry of Agriculture (by its acronym in Spanish)
MINAM	Ministry of Environment (by its acronym in Spanish)
MSP	Medium Sized Project
MTR	Midterm Review
M&E	Monitoring and Evaluation
NAMA	Nationally Appropriate Mitigation Action
NDC	National Determinate Contribution
NIM	National Implementation Modality
OLAMSA	Amazon Oilseeds SA (by its acronym in Spanish)
PEPP	Pichis Palcazu Special Project (by its acronym in Spanish)
PIF	Project Identification Form
PIP	Public Investment Project
PIR	GEF Project Implementation Report
ProDoc	Project Document
PPG	Project Preparation Grant
PPS	Sustainable Productive Landscapes Project in the Peruvian Amazon (by its acronym in Spanish)
PT	Project Team
SESP	Environmental and Social Diagnosis
SDG	Sustainable Development Goals
ToR	Terms of Reference
TSA	Targeted Scenario Analysis
TT	Tracking Tools
UNAY	Union of Nationalities Asháninkas and Yaneshas of Pasco and Huánuco (by its acronym in Spanish)
UNEG	United Nations Evaluation Group

UNDP

United Nations Development Program

WHO

World Health Organization

1 EXECUTIVE SUMMARY

Project Information Table

Project Title	Paisajes Productivos Sostenibles en la Amazonía Peruana		
GEF Project ID:	9387	PIF Approval Date	
GEF Agency Project ID:	5629	CEO Endorsement Date (FSP)	August 25, 2017
GEF Agency/ Agencies:	UNDP	ProDoc Signature Date	March 20, 2018
UNDP Atlas Business Unit, Award ID, Project ID	Award ID 87272 Output ID 94356	Date Project Manager hired:	June 01, 2018
Country/Countries	Peru	Inception Workshop Date:	November 27, 2018
Region	Latin America	Mid-Term Review Completion Date:	July – August, 2021
Focal Area	Biodiversity Climate Change Mitigation Land degradation Forests Sustainable Management	Revised Expected Terminal Evaluation completion date	December 23, 2023
GEF Operational Programme or Strategic Priorities/ Objectives:	BD-4 Program 9 BD-4 Program 10 LD-3 Program 4 SMF-1 SMF-3 CC-2 Program 4	Planned Operational Closure Date:	March 20, 2024
Trust Fund	GEF		
Implementing Partner	Ministry of Environment Responsible Part: Pronaturales Fundation		
NGOs/CBOs involvement	FENACOCA, CIMA CORDILLERA AZUL, JUNPALMA, COCEPU, APP CACAO.		
Private sector involvement	ROOT CAPITAL, FEDERACIÓN DE CAJAS MUNICIPALES		
Project sites geospatial coordinates	9° 37' 41" - 74°58'28.8"; 9° 40' 11.9"-75°27'44.9"; 9° 22' 43.7" - 74°57'57"; 8° 56' 3.7"-74°42'4.8 "; 8° 46' 10"-74°42'33"; 9°02'13"-75°30'29"; 8°52'33"-75°12'02"; 8°49'35"-75°03'08"; 8°38'22"-74°57'53"; 8°20'03"-74°33'43"		
Financial Information			
PPG		At approval (US\$M)	At PPG completion (US\$M)
GEF PDF/PPG grants for projects			18,346,927
Co-financing for project preparation			
Project			
[1] MINAM			50,000,000
[2] MIDAGRI			25,000,000

[3] USAID		35,000,000
[4] Puerto Inca Provincial Government		10.000.000
[5] UNDP		9.000.000
[6] Total co-financing [1 + 2 + 3 + 4 + 5]:		129.000.000
[7] Total GEF funding:		18.346.927
[8] Total Project Funding [6 + 7]		147.346.927

Project Description

1. The project supports the National Strategy for Forests and Climate Change (ENBCC) implementation, that contributes to reduce deforestation and recover forests in the productive landscapes in Huánuco y Ucayali departments in the Peruvian Amazon. It also supports natural resources management and the incorporation of environmental sustainability criteria in productive systems, with an integrated territorial approach that recognizes the complexity of local livelihoods and the drivers of deforestation at a landscape scale, as well as the group of actions focused on changing crops producer's conduct, identified as big deforestation promoters.
2. The main objective of the project is to "Generate multiple global environmental benefits through the application of a comprehensive approach for the Amazonian landscape management.". The project includes three Components: 1) improved planning and governance policies and instruments to reduce deforestation and intensify sustainable production; 2) financial mechanisms and market incentives promote sustainable production practices; and 3) installed technical capacity to rehabilitate and maintain ecosystem services in prioritized landscapes.
3. The project implementing partner is the Ministry of the Environment (MINAM), and has a budget of USD 18,346,927, the resources from the Global Environmental Funds (GEF) will be implemented in a period of 5 years.
4. The project is aligned with Result 1 "growth and development are inclusive and sustainable and incorporate productive capacities that generate employment and livelihoods for the poor and the excluded". In addition, it is aligned with Result 1.5 (Hectares of land managed in a sustainable way through *in situ* conservation, sustainable use and / or (Access and benefit distribution regime), and Product 1.3 of the United Nations Development Programme (UNDP) Strategic Plan (Solutions developed at national and regional level for the sustainable management of natural resources, ecosystem services, chemical substances, and waste).

Project progress summary

Midterm (MTR) Ratings & Achievement Summary Table¹

Measure	MTR Rating	Achievement Description
Project strategy 	N/A	
Progress towards Results	Objective Achievement Rating Unsatisfactory	Reports a 15% progress; Reasonable risk of not meeting all the goals set.
	Component 1 Achievement Rating Moderately Satisfactory	Reports a 26% progress; Out of 7 indicators, 4 of them report less than a 15% progress, with a reasonable risk of non-compliance.
	Component 2 Achievement Rating Moderately Unsatisfactory	Reports a 26% progress; One of the three results shows a high risk of non-compliance.
	Component 3 Achievement Rating Moderately Unsatisfactory	Reports a 23% progress; Two outcome goals must be adjusted because they will not be met.
Project Implementation, Adaptive Management, Monitoring and Evaluation	Moderately Satisfactory	The flexibility, capacity and experience of the project team are valued. The project shows a significant delay and gaps in Monitoring and Evaluation (M&E).
Sustainability	Moderately Unlikely	Component 1 presents a greater perspective of sustainability from financial and institutional aspects; Sustainability for Components 2 and 3 is still uncertain.

Concise summary of findings

1. The project is highly relevant and appropriate for Peru, it is considered a great boost for the implementation of the National Climate Change Strategy (NCCS). The Sustainable Productive Landscapes Project (PPS, by its acronym in Spanish) is ambitious and complex, it involves an annual execution of around USD 5 million, and a large number of activities, actors, and different areas of intervention.
2. The results framework is coherent, there is articulation between the Components and the different intervention levels and scales. However, weaknesses are evident in the formulation of indicators, particularly with regard to the SMART criteria.

¹ Assessment scales are detailed in Annex 5.

3. The project shows an estimated progress of 15% in terms of meeting the impact objectives and 25% in terms of results. It is recognized that the project had difficulties that were reflected in a slow start, both due to the instability of authorities and the time it took to specify the process of hiring the members of the project team (PT) and to consolidate a shared reading on the implementation strategy.
4. On the other hand, for 2020 and 2021, the project faced a new delay in its execution due to the effects of COVID-19. The pandemic forced several activities planned for the field to be rescheduled due to mobility restrictions.
5. Out of the 16 result indicators, 4 indicators exceed 35% of progress and although they present delays, it could be considered that they are aimed at meeting the established goals. On the other hand, 11 indicators show a progress equal to or less than 21%, consequently, they show a reasonable risk of non-compliance.
6. The project shows flexibility and adaptive management to execute activities in the territory and adjust the implementation strategy, although a relatively detached execution is perceived, with low integration between the different components, activities and executors, and a consequent risk of dispersion of the impact.
7. Until June 2021, the project disbursed USD 4.98 million, that is, 27% of the total available budget. Regarding the total committed co-financing of USD129 million, UNDP has reported only USD 8.6 million so far.
8. The project complies, in general terms, with the main milestones and activities of the monitoring and evaluation plan (work plans, reports, audits, etc.). The weaknesses described in the formulation of various indicators have been partially addressed, however, the 5 indicators at the objective level remains without a M&E system.
9. The project has managed to develop key alliances with strategic partners, such as the 6 Indigenous Federations, CEDRO, Pronaturaleza, Tropical Agricultural Research and Teaching Center (CATIE), International Center for Agroforestry Research (ICRAF) and Root Capital and is in the process of signing with the Central Committee of Palm Growers of Ucayali (COCEPU). These partners have work experience in the intervention area, technical capacity and are also aligned with the values, safeguards, and intervention principles of UNDP.
10. Regarding strategic communication, the PPS presents a greater positioning and visibility in Component 1, the related actors recognize the project, its scope and different interventions more clearly. However, for Components 2 and 3, the project did not take

further steps to support the intervention of its executing partners, particularly in terms of scalation and replication expectation.

Recommendation summations

N	Recommendation	Entity Responsible	Time Frame
General Recommendations			
1	A thorough review of the results framework is important, especially in terms of goal setting and review of assumptions and risks. It is especially recommended to review and update the goals for the 11 indicators that show progress less than or equal to 22%. Likewise, it is recommended to address the weaknesses found in compliance with the SMART criteria in the formulation of indicators.	PT UNDP MINAM MINAGRI	3 months
2	Based on results framework adjustment, a strategic planning is recommended for the period remaining until project completion, ensuring the execution of nearly USD 5 million per year. Each Component must make its intervention strategies explicit, identifying potential partners, specific actions, and concrete mechanisms to accelerate execution.	PT	3 months
3	It is necessary for the project to have a final and complete version of its M&E system, which includes the 5 objective-level indicators that are not considered yet, as well as all of the baselines that are still incomplete or that are not accurate.	PT	3 months
4	Particularly for indicator 17, it is recommended to review the baseline and its goal, considering that about half of the producers considered are irregular, and, therefore, the project will not be able to incorporate them as beneficiaries.	PT UNDP	3 months
5	It is recommended that the PPS considers the review of the Social and Environmental Project Screening (SEPS) from a strategic perspective, since there are new risks derived from the increase in illegal activities in the intervention area, as well as the economic and social impacts of COVID-19.	PT	6 months
6	In the opinion of the interviewees, it is considered that the PT has the necessary profiles to operate from Lima, however, it is essential to strengthen the presence in territory through alliances that allow delegating a greater volume of execution in territory.	PT UNDP	6 months
7	Update the Stakeholder Participation and Involvement Plan based on an updated and detailed analysis of the stakeholders in the territory and ensure its systematic implementation.	PT UNDP	6 months
8	Alternative procedures, guidelines and policies need to be reviewed and sought to improve contracting and procurement processes. These need to be adapted to the context of rural sites	UNDP	6 months
Components Recommendations			
9	In relation to capacity building (Component 1 and 3), during the next months and while the in-person work is regularized, it is recommended to look for alternatives to in-person training. It could be possible to identify partners that can facilitate technological platforms that allow progress in the project objectives. For example, mention is made of the good experience of the project to carry out	PT UNDP	6 months

	remote trainings to local communities in alliance with the Pontifical Catholic University of Peru (PUCP). Further outsourcing of training functions is recommended to accelerate budget implementation and execution		
10	It is recommended to extend the duration of the agreements with executing partners in the territory, this consideration is due to 2 factors, firstly, due to the delays of the activities, which would mean that the contracts require an extension of time. On the other hand, the agreements and partners in territory add value and ensure cost-effective execution in the territory. Likewise, it is important that these agreements make explicit the partners commitment beyond the pilots, involving scaling up and sustainability of the investments made.	PT	6 months
11	It is recommended to prepare a roadmap for the development of the selected PIPs, their approval and execution.	PT	3 months
Communication Recommendations			
12	It is recommended that the PPS strengthen its capacity for strategic communication to give greater visibility and positioning to the project, especially in terms of supporting the implementation of the results that are under the responsibility of executing partners in Components 2 and 3.	PT	3 months
13	It is important that the PPS, especially for Components 2 and 3, maintains fluid communication levels with producers. It is also recommended to invest in relationships of trusting and in a strategic line of communication with private actors in the coffee and palm value chains, especially around the marketing link.	PT	6 months
Monitoring and Evaluation Recommendations			
14	It is recommended to follow up the committed co-financing, so that it can be anticipated, and actions can be taken on time to reach the commitments. For this, it is necessary for the EP to generate an integrated tool for its M&E system, based on examples or formats that operate for other projects.	PT UNDP	3 months
15	It is recommended that the analysis of the project's risk matrix be strengthened in terms of risks associated with climate change. The Peruvian Amazon is already being affected by floods or droughts that could directly affect the activities to be developed with the prioritized value chains	PT MIDAGRI	12 months
16	It is recommended that the project begin to measure the indicators which are feasible, by gender in certain indicators, for example, indicator 9 "Multiple actors have better capacities for sustainable landscape management", it could be disaggregated by gender, in order to include its results at the end of the project.	PT	3 months

2 INTRODUCTION

2.1 MTR Purpose and objective

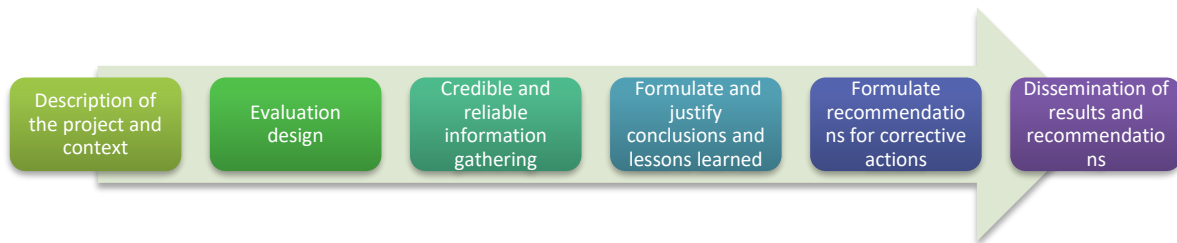
1. The evaluation made it possible to critically evaluate the stages of the project and its results through participatory approaches, measure to what extent progress has been made in achieving objectives / results / products / activities in relation to the results and resources framework and identify the factors that hinder or enable the achievement of the project objectives. In addition, the first signs of the success or failure of the project were identified, and changes have been proposed so the project could implement them in order to be fully on track to achieve the expected results.
2. The MTR has assessed the extent to which the design and implementation of the project are considering key cross-cutting issues including gender equality, rights and the approach based on capacity building, poverty alleviation, mitigation, and adaptation to climate change.
3. The MTR has evaluated the results according to the criteria described in the “Guidance for Conducting Midterm Review of UNDP-supported, GEF-financed Projects, (2014)”. The specific objectives of the evaluation are:
 - a. Ensure the success of the project, identifying any changes that need to be incorporated into the adaptive management to achieve the expected results.
 - b. Ensure accountability for the achievement of project objectives, as well as UNDP-GEF’ ones, and promote responsibility in the use of resources.
 - c. Improve organizational learning through documentation, feedback and dissemination of lessons learned.
 - d. Strengthen project management and supervision functions.

2.2 Scope and Methodology: principles of design and execution of the MTR, MTR approach and data collection methods and limitations to the MTR

1. The EMT was conducted based on the “Guidance for Conducting Midterm Review of UNDP-supported, GEF-financed Projects, (2014)”. According to the guide and the context of the project, the following tools were applied: a) documentation review; b) interviews with stakeholders; c) questionnaires. During the process, there was active interaction between the evaluation team, the Ministry of Environment (MINAM) and UNDP, the PT, and other stakeholders.

2. The UNDP Country Office in Peru hired a consultant to carry out the midterm evaluation of the project: José Galindo -International Evaluator.
3. In general, the evaluation was developed in 6 steps that sought to fulfill the 4 objectives of the Midterm Evaluation. It started with secondary information gathering to elaborate the description of the project and its context. On this basis, the evaluation design was developed, which includes the evaluation framework. Subsequently, information was collected through interviews, with the information collected, a process was carried out to generate findings and conclusions. Furthermore, this allowed the formulation of practical recommendations; and finally, the document was shared with key stakeholders for their feedback.

Graphic 1. Midterm Evaluation Process



Source: Guidance for Conducting Midterm Review of UNDP-supported, GEF-financed Projects, 2014.

2.2.1 Data Collection

1. The information gathering techniques used were documentary review and individual interviews, which are described below.

2.2.1.1 Secondary Information – Desk Review

1. The evaluator reviewed the project documentation provided by the PT and the implementing partners. Following the Terms of Reference (ToR), 16 documents were considered key for this evaluation. The detailed list of documents and their execution status is presented in Annex 3.
2. Based on this review, the evaluation team carried out a detailed description of the project, covering the identified problem, established objectives, and their respective activities. This provided a baseline situation before project implementation, as well as its contribution or impact perceived.

2.2.1.2 Interviews with Stakeholders

1. As suggested by the Guidance, the evaluation followed a consultative approach that included conducting interviews. This activity sought to enrich the vision of the context through direct contact with the most representative actors in the implementation of the project, thus receiving first-hand testimonies about the progress and barriers encountered so far.
2. In the context of COVID-19, the field mission was not possible, so it was necessary to identify, together with the PT, a universe of potential interviewees (public institutions, private parties, NGOs, and beneficiaries), who have participated in the different phases of the project (design and execution). Subsequently, a prioritization of actors was carried out, evaluating their availability and representativeness in the project.
3. For the different interviews, a questionnaire focused on the participation of the different actors, according to their role in the implementation of the project, was used (Annex 7). The questionnaire considered several questions related to Gender equality and women's empowerment for the different actors of the project, and several specific questions for the women beneficiaries of the project. Also, as the UNPD Guidance suggests, to preserve independence as well as confidentiality, UNDP staff, project team members, and implementing partner representatives did not participate in stakeholder or beneficiary meetings or interviews.
4. A total of 17 interviews were carried out, 9 were held with representatives of public institutions, 2 with indigenous communities, 3 with producer's associations, and with the team project. From this group, 2 interviewees were women (12%) and there was not any difficulty during the interviews.

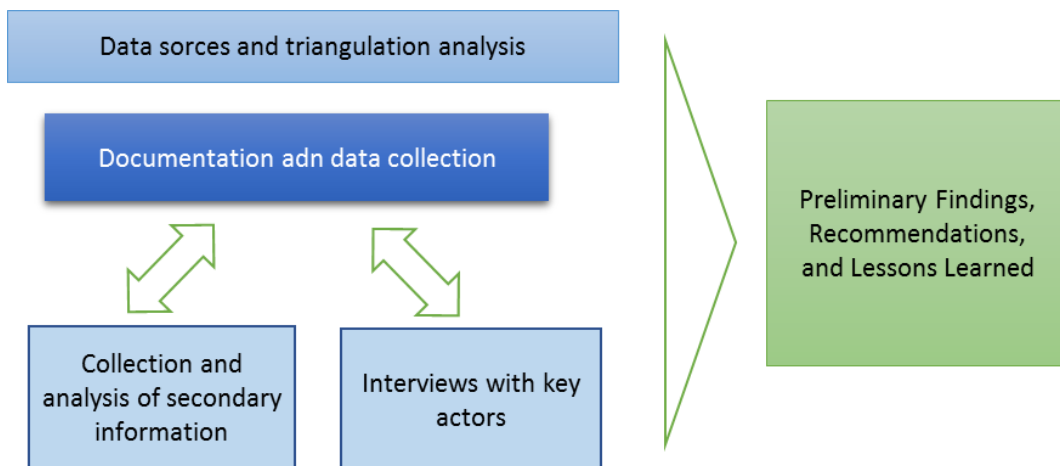
2.2.2 Information Analysis

1. Within the Guide framework, the results and impacts of the project were evaluated through the evaluation matrix (Annex 2) that identified key questions, related to the evaluation criteria and cross-cutting issues, and the selected methods (documentary examination and interviews).
2. Initially, once the interview phase was ended, the evaluator systematized and analyzed the information collected from primary and secondary sources in order to generate the most relevant and representative findings of all the data collected so far. With this first analysis, the findings presentation was carried out to UNDP and the project team. At the

end of the presentation, important inputs and clarifications were collected for the construction of the evaluation report.

3. Subsequently, the evaluator carried out a deep analysis in order to reinforce the credibility and validity of the findings, judgments and conclusions obtained. The evaluator used triangulation techniques to ensure technical quality. The triangulation consisted of double or triple checking of the results from data analysis, by comparing the information obtained through each data collection method (documentary study and individual interviews) (Graphic 2).

Graphic 2 Information Analysis Diagram



Source: José Galindo, 2021

2.2.3 Draft of Final Report

1. This document identifies the main findings and recommendations of technical and practical nature, which reflect a realistic understanding of the project achievements, and seek to help at identifying the influencing factors and the possibilities of developing corrective measures that lead to a better performance of the project, and to meet the objectives and results established in the logical framework.
2. The evaluation is strictly governed by the standards of good evaluations of utility, feasibility, accuracy, and neutrality. The evaluation of the project will be applied to the design, implementation, and results of the project for each of its Components.
3. **Project design:** the project formulation was evaluated by analyzing the ProDoc in order to determine if the strategy is proving effective in achieving the desired results; the indicators and the proposed goals were critically analyzed to verify if they meet the "SMART" criteria (Specific, Measurable, Achievable, Realistic and Temporal); finally, it

was analyzed how other broader aspects of development concept have been integrated into the project design.

4. **Progress in achieving results:** progress made by the project was analyzed for each of its results. The GEF monitoring tools were reviewed. The progress made in the achievement of the objectives and each project result in the midterm of the period, was assessed.
5. **Project execution and adaptive management:** aspects related to management mechanisms, work planning, financing and co-financing, monitoring and evaluation systems at the project level, stakeholder involvement, information and communication were evaluated.
6. **Sustainability:** the probability that the benefits of the project will last over time after its completion was evaluated. The likely risks the project would have to face were examined so that the results will continue when the project is completed.
7. The evaluation followed four criteria (progress in achieving results, project execution and adaptive management, and sustainability), each one was assigned a rating, which are shown in Annex 4.

2.3 Ethics

1. This evaluation was conducted in adherence to principles outlined in the United Nations Evaluation Group (UNEG) 'Ethical Guidelines for Evaluations'. The evaluator safeguarded the rights and confidentiality of information providers, interviewees, and stakeholders through measures to ensure compliance with legal and other relevant codes regulating data collection and reporting. The evaluator also ensured the security of the information collected before and after the evaluation and the protocols to guarantee the anonymity and confidentiality of the information sources. The information and data collected in the evaluation process was used only for the evaluation and not for other uses.

2.4 Limitations to the Evaluation

1. Limitations were related to the COVID-19 pandemic. For the evaluation to be viable, credible, and useful; special care was taken with the different methods applied to reduce information gaps.

2. Due to travel restrictions related to COVID-19, the evaluator was not able to travel to the implementation sites, therefore all his consultations with stakeholders were undertaken remotely by internet conferencing.
3. Regarding the provision of the information package required for the evaluation, there was not inconvenient with the PT.
4. The beginning of the evaluation coincided with the government turnover, therefore the contact and interviews with the authorities on duty were prioritized in order to be able to reschedule interviews due to the short time and lack of disposition of the interviewees.

2.5 Structure of MTR Report

1. The Midterm Evaluation report is structured in three levels, beginning with an introductory chapter and its methodological process. A second level, which includes chapters 2, 3 and 4 that present the results of the evaluation for each stage of the project life cycle. The main conclusions and analysis of the evaluation are summarized in the final chapter, which presents the conclusions, lessons learned and recommendations. The final report will have the following structure and specific content:

3 PROJECT DESCRIPTION AND BACKGROUND CONTEXT

3.1 Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope

1. Peru is a megadiverse country and ranks fourth in area of tropical forests. It has 72 million hectares of natural forests, which occupy 56% of the territory. These forests provide timber and non-timber forest products for economic development and maintain vital environmental services for society. Contrary to the importance of these resources, between 2001 and 2014; 1.65 million hectares of Amazonian forests were deforested at an average rate of 118,000 ha per year. This process had a growing trend, reaching 177,000 ha deforested by 2014. For the same year, considering accumulated deforestation, the Ministry of Environment (MINAM) estimated that 7.31 million hectares were deforested in the Peruvian Amazon (ProDoc, 2018).
2. According to the ENBCC, 91% of the deforestation of Amazonian forests is due to the expansion of the agricultural and cattle farming frontier. Only three crops represent 60% of the 1.5 million ha (coffee, pastures, and cocoa). Use and land use change that include

deforestation, constitutes the main economic sector for greenhouse gas emissions, contributing with half of the emissions. Under this scenario, commercial agriculture in the Peruvian Amazon will continue to develop at natural resources expense, generating a negative impact on environmental values, threatening environmental services and generating the loss of livelihoods of the most vulnerable populations that depend directly of these natural resources (ProDoc, 2018).

3.2 Problems that the project sought to address: threats and barriers targeted

The project's ProDoc (2018) identified the following determining threats that affect the global environmental values of the Peruvian Amazon:

- Deforestation;
- Migration and demographic growth;
- Infrastructure development;
- Economic and social development policies;
- Global markets;
- Intensification and deforestation;
- Illegal crops;
- Value chains.

Regarding to barriers, the project addressed the following:

- Barrier 1: Inadequate approach to landscape sustainability in sectoral development initiatives;
- Barrier 2: Inadequate governance to support comprehensive landscape management;
- Barrier 3: Inadequate recognition and execution of potential synergies between business interests and environmental objectives;
- Barrier 4: Ineffective and incomplete territorial planning and classification;
- Barrier 5: Inadequate institutional capacities to implement and enforce the standard;
- Barrier 6: Inadequate technical and financial capacities to implement environmentally sustainable production systems.

3.3 Project description and strategy: objective, outcomes, and expected results, description of field sites (if applicable)

1. The objective of the project is to generate multiple global environmental benefits through the application of a comprehensive approach to the Amazonian landscape management. In order to achieve it, an intervention has been proposed through two complementary approaches, expressed in three Components: 1) planning and improved governance policies and instruments to reduce deforestation and intensify

sustainable production; 2) financial mechanisms and market incentives promote sustainable production practices; and 3) installed technical capacity to rehabilitate and maintain ecosystem services in prioritized landscapes.

Component 1: Improved policy planning and governance to reduce deforestation and enhance sustainable production

This Component is related to maintaining provision of ecosystem goods and services to guarantee participation, capacity building and participation in landscape management.

Outcome 1.1 Land-use policy and planning strengthened and aligned, including the approach of landscape sustainability, resilience, and inclusiveness

- Output 1.1.1: National Sector development policies and plans defined in accordance with land-use policy and plans, including concept of landscape sustainability, and based on roots cause analysis
- Output 1.1.2: Two (2) Regional and ten (10) local development plans aligned with NAMAs, Forest and Climate Change Strategy, and land use plans
- Output 1.1.3: Microzoning (covering 100,000ha) that clearly defines areas for forest conservation, restoration, and sustainable use plans
- Output 1.1.4: Twelve (12) additional indigenous life plans elaborated, sensitive to gender and including approach of landscape sustainability

Outcome 1.2: Landscape governance and participation strengthened for public policy development, sustainable land use management and participatory and inclusive decision making

- Output 1.2.1: National commodity platforms established
- Output 1.2.2: Territorial governance platforms strengthened
- Output 1.2.3: Strengthened, gender sensitive community level governance structures
- Output 1.2.4 Technical and institutional capacities developed in at least 60 public and private institutions at national, regional and local levels in support of sustainable landscape management

Outcome 1.3: Monitoring and enforcement capacities strengthened

- Output 1.3.1: Effective and transparent land-use change approval mechanism
- Output 1.3.2: Real-time, transparent monitoring and analysis system to detect illegal deforestation and land-use change, integrated with control mechanisms
- Output 1.3.3: Inspection and enforcement capacities to address violations in land-use regulation
- Output 1.3.4: Community-based monitoring mechanisms

Outcome 1.4: Public finance flows increased to sustain effective territorial governance with zero deforestation

- Output 1.4.1 Financing gaps identified for the implementation of policies
- Output 1.4.2 Public finance incentives for regional and local governments in support of sustainable landscape management

Component 2: Market and incentive mechanisms promote sustainable production practices

Outcome 2.1: Green commodity trade and supply chains have provided incentives to farmers for sustainable production

- Output 2.1.1: Strategies for market certifications, jurisdictional certification, companies' sustainable procurement policies
- Output 2.1.2: Alliances with private sector and supply-chain actors to support adoption of sustainable practices in landscapes

Outcome 2.2: Other sustainable economic activities in landscapes supported and linked to markets

- Output 2.2.1 Strategies to promote the development of sustainable deforestation-free economic activities, linked to markets
- Output 2.2.2: Linkages of activities with market, financial and public incentives

Outcome 2.3: Land users access finance to support conservation and sustainable resource management.

- Output 2.3.1: Credit and insurance schemes designed and implemented to benefit sustainable land practices aligned with National Forest and CC Strategy (farmers, communities etc).
- Output 2.3.2: Cost-Benefit Analyses of sustainable practices developed
- Output 2.3.3: PES and incentive systems promoted to compensate land users for the implementation of sustainable economic practices and sustainable ecosystem management

Component 3: Technical capacity installed to restore and sustain ecosystem services in target landscape

The Component focuses on improving landscapes and productive sectors management at local level through actions carried out in critical locations selected.

Outcome 3.1: Sustainable and inclusive production models demonstrated to enable scaling-up to landscape level

- Output 3.1.1: Pilots covering 500ha demonstrating sustainable management practices to 1,000 actors with potential to replicate and/or disseminate them
- Output 3.1.2: Pilots of community-based sustainable livelihood support options in indigenous areas

Outcome 3.2: Demonstration of sustainable and inclusive production models for scaling up at landscape level

- Output 3.2.1: Technical assistance systems, tools, methodologies, and capacities for delivery of technical support integrating principles of gender sensitivity
- Output 3.2.2: Technical assistance programs rolled out in alliance with supply-chain actors and local/regional governments, to deliver support to green commodity producers, integrating principles of gender equity

Outcome 3.3: Ecological restoration and conservation programs with public and private stakeholder participation

- Output 3.3.1: Local restoration initiatives in priority localities, covering 4000ha of degraded landscapes
- Output 3.3.2: Local conservation initiatives in priority localities, covering 4,000ha

Outcome 3.4: Knowledge effectively managed in support of the sustainable management of productive landscapes throughout the Peruvian Amazon

- Output 3.4.1: Systematization of best practices, lessons learned and case studies, including evidence of the special contribution of women and indigenous peoples to the sustainability of Amazonian landscapes
- Output 3.4.2: Communications products developed and disseminated
- Output 3.4.3: System for adaptive management and learning to inform landscape management approaches by decision makers

The area of intervention of the project is:

- Huánuco Region: Puerto Inca Province in Districts of Tournavista, Puerto Inca, Codo de Pozuzo, Yuyapichis, Honoria;
- Ucayali Region: Padre Abad Province in Districts of Padre Abad, Curimana, Irazola, Neshuya, Von Humboldt, Nueva Requena

3.4 Project Implementation Arrangements: short description of the Project Board, key implementing partner arrangements, etc.

1. The project is executed according to the National Implementation Modality (NIM), in accordance with the basic standard agreement of assistance between the United Nations Development Program and the Government of Peru. Thus, the Implementing Agency (IA) of the GEF is the UNDP, and the Ministry of Environment is the implementing partner, in its capacity as environmental sector rector entity, and, in

charge of developing, directing, supervising and executing the national environmental policy and environmental land use planning. At the request of MINAM and authorized by the GEF, UNDP provides support to the execution and is the Responsible Party for all project results.

2. The project is led by a National Steering Committee or Project Board, chaired by MINAM, and made up by UNDP, Ministry of Agrarian Development and Irrigation (MIDAGRI) and the Regional Governments of Huánuco and Ucayali. The Committee meets once a year to approve the project's working plan, budget structure, and progress reports.
3. In addition, the project has an Advisory Committee made up by the Inter-Ethnic Association for the Peruvian Jungle Development (AIDSESP, by its acronym in Spanish), Confederation of Amazonian Nationalities of Peru (CONAP, by its acronym in Spanish), Devida, the Ministry of Culture, producer organizations, international technical cooperation, private sector, academia, and civil society organizations. This is a space for dialogue to discuss the project strategy and address related issues.
4. The project is executed by the Management Unit, led by the coordinator (responsible for project execution), and made up by a person responsible for planning, management and environmental governance, and a person responsible for policies (Component 1), a person responsible for finance and incentives (Component 2), a responsible of production systems (Component 3), a communication specialist, an M&E specialist.
5. Additionally, the project is supported by a finance assistant, a procurement assistant, and an administrative and logistics assistant. Likewise, in the central office, there is a team of platforms of green raw materials made up by the coordinator of the platform, 3 value chains specialists, and an administrative and logistics assistant for platforms.
6. On the other hand, there is the regional coordination which has a specialist in natural resources, productive systems and extension, a specialist in social affairs, gender, and indigenous peoples, and 4 field technicians.

3.5 Project timing and milestones

- Project approval for implementation: August 24, 2017
- Start of the project:
- Inception workshop: March 13, 2018
- Midterm Evaluation: August - September 2021
- Final Evaluation: December 2023
- Project closure: March 2024

3.6 Main stakeholders

- Ministry of Environment
- Ministry of Agrarian Development and Irrigation
- Huánuco and Ucayali Regional Governments
- Provincial Government of Puerto Inca
- SERFOR
- Federation of Native Communities of Ucayali and Affluent
- Federation of Native Communities of the Aguaytía River Basin (FECONASHCRA, by its acronym in Spanish)
- National Board of Oil Palm of Peru (JUMPALMA, by its acronym in Spanish)
- Central Committee of Palm Growers of Ucayali (COCEPU, by its acronym in Spanish) / Amazon Oilseeds SA (OLAMSA, by its acronym in Spanish)
- Association for the Promotion of Peruvian Chocolate (APROCHOC, by its acronym in Spanish)

4 FINDINGS

4.1 Project Strategy

4.1.1 Project design

1. The project concept is nested around the Conference of Parties (COP) 20 on Climate Change in 2014, with the purpose of giving a great boost to the implementation of the National Climate Change Strategy, and 4 nationally appropriate mitigation actions (NAMAS) linked to avoiding deforestation associated with the production of palm, coffee, cocoa and cattle. Likewise, under the leadership of MINAM, the project is enrolled within the National Strategy for Forests and Climate Change identified priorities. Likewise, the interviews agree that the intervention areas selected by the national authorities clearly respond to priorities.
2. The balanced participation of actors at the national and subnational levels in the design and selection of intervention sites is valued. This is reflected in a project that is considered highly appropriated and relevant, that supports the country in the implementation of policies and national priorities. The interviews highlight the adequate selection of intervention sites, which respond to places that register the greatest pressure from deforestation at country level, where there are several cooperation projects with a significant presence of UNDP in recent years.
3. Although the project proposes two differentiated scales of intervention at the territorial and systemic level, the design does not establish mechanisms for scaling up, learning

incidence and challenges encountered at the territorial level to strengthen planning and decision-making processes at national level.

4. The project builds its intervention on the basis of learning, relationships and capacities developed through different projects and interventions of the UNDP portfolio, such as Integrated Management of Climate Change in the Peruvian Amazon² (known as EBA Amazonía); Paving the way for the full implementation of the Peru-Norway-Germany Joint Declaration of Intent³ (DCI) transformation phase; Transforming the management of Natural Protected Areas complexes / Landscapes to strengthen ecosystem resilience⁴ (known as Resilient Amazon). The PPS adds value and differs from previous interventions in terms of its focus on value chains in the productive sector. According to the testimonies collected, the PPS has provided UNDP with an opportunity to rethink the intervention logic of its portfolio in the territory, such as building alliances to strengthen work in the territory.
5. All the people interviewed acknowledge that the PPS is particularly ambitious. Its budget involves an annual execution of around USD 4 million, the number of results and differentiated areas of intervention, participation of non-traditional actors in conservation projects such as the productive and financial sector, and particularly the formulation of unprecedented goals for intervention sites. Although it is considered that the PT has the necessary profiles to operate from Lima, it is essential to strengthen the alliances that allow it to delegate a greater volume of execution in the territory.
6. The original design did not identify risks that had a significant impact during the start of the project, such as political instability and authority's turnover at the different levels of project intervention. Another key risk that was not considered in ProDoc is the accelerated increase in illegal activities in the intervention areas.
7. The ProDoc presents a gender plan, which compliance has not been reported yet. It has general activities to improve gender approach mainstreaming at the level of each outcome, such as inviting women to meetings and training sessions. Likewise, some results present indicators disaggregated by gender.

²<https://www.pe.undp.org/content/dam/peru/docs/Publicaciones%20medio%20ambiente/pe.Brochure%20Eba%20Amazonia.pdf>

³ <http://www.bosques.gob.pe/declaracion-conjunta-de-intencion>

⁴ <https://www.pe.undp.org/content/peru/es/home/projects/amazonia-resiliente.html>

8. Regarding stakeholder participation, an analysis of project actors and stakeholders is not verified during the design stage. Based on a generic definition of the most relevant stakeholders for the project, it presents a Stakeholder Participation Plan, which sets out objectives, principles, tools, and an implementation schedule.

4.1.2 Results Framework

1. Results framework is coherent, there is articulation between Components and the different levels and scales of intervention. However, there are no evidence of feedback and escalation mechanisms from the regional and local scale to influence decision-making processes at the national level.
2. The project presents 16 results that implies a considerable number of activities, which are developed simultaneously in different places, with the risk of impact dispersion, as well as the need of a greater managerial demand to its monitoring and follow-up.
3. Regarding indicators formulation, weaknesses were found in compliance with the SMART criteria. The main weakness found refers to the fact that none of them have a compliance date. On the other hand, 40% of the indicators do not present a baseline, which makes it difficult for them to be quantifiable (indicators 2, 4, 5, 8, 11, 13, 15, and 18), although it is not something common in GEF projects, it is possible that this peculiarity occurs because the baseline construction exceeded the scope of the design, and required more time and resources, however during the project execution, the team developed the M&E system, updating and complementing the baselines and goals for result indicators.
4. The goal of indicator 17 (4,550 farmers receive technical assistance for the application of sustainable management practices) is not realistic since it did not consider that at least half of the coffee, palm and cocoa producers maintain their operation in irregular conditions, such as land tenure case, so it is impossible for these owners to be benefited with GEF resources. Consequently, the goal set corresponds to 100% of the existing producers in the intervention areas.
5. In some cases, regarding SMART criteria, the indicators are not specific. Although several of them have greater specificity in the monitoring plan, some remain unclear. For instance:
 - a. Indicator 7: Degree of implementation of sectoral action plans formulated by multi-participatory platforms. For this indicator, it is defined that in the mid and long term, a percentage of the environmental sustainability goals of the plans will be achieved.

This indicator progress depends on the number of activities implemented in each action plan, however, implementing activities does not necessarily imply that sustainability goals are met.

- b. Indicator 8: Level of direct participation from different groups of actors. For this indicator, neither baseline nor goals have been defined for the midterm and end of the period, it is also not clear how the information will be collected or what its source is.
 - c. Indicator 9: Multiple actors have better capacities for sustainable landscape management. In this case, there is no baseline and target group has not been defined to apply the skills assessment sheet. Later, these two indicators were complemented during the project execution.
6. In general terms, the assumptions on which the intervention is based are optimistic, underestimating the complexity and time required for adopting and scaling up on better agricultural practices.
 7. In relation to gender issues, 8 of the 20 indicators include a gender perspective, however, not all of them necessarily include a disaggregation measure by men and women. For those that do contemplate this segregation until the closing of the document, the PPS does not report the details, so it cannot be identified if the PPS is achieving its planned goals or if it is necessary to rethink actions. According to the PIR 2021, it is expected to have concrete data by the end of the year.

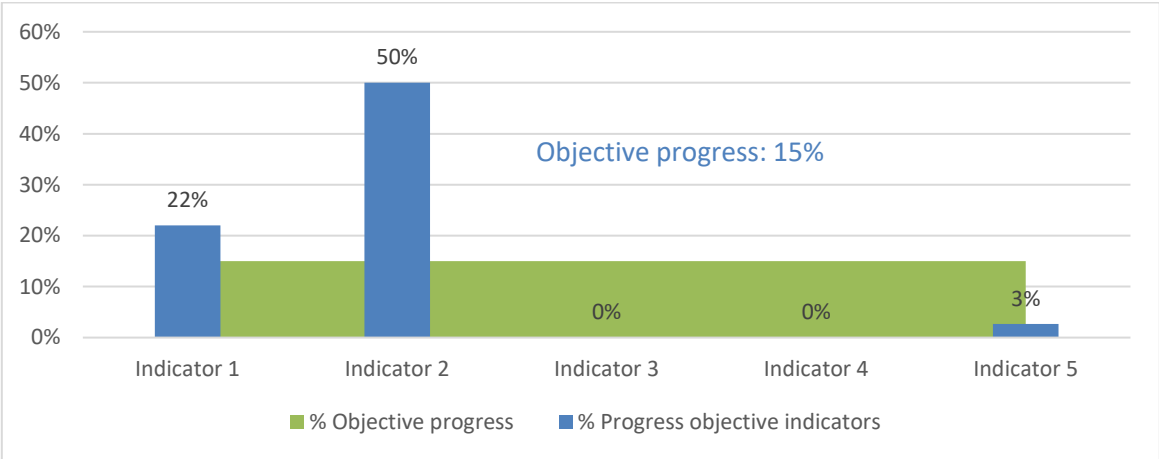
4.2 Progress Towards Results

4.2.1 Progress towards outcomes analysis

1. The project shows an estimated 15% progress at meeting the impact objectives. It should be noted that the monitoring and evaluation system to measure indicator progress at objective level is still in development. In this sense, a report is not presented for indicators 2 and 3.
2. Regarding results, an average progress of 51% is estimated in relation to midterm goals, and 25% compared to end-of-project goals.
3. Despite COVID-19 impact on project regular operations, it should be noted that in the midterm, all project results show some degree of progress, with a relatively balanced performance among the three Components. **(Error! Reference source not found.)**.

Progress towards project objectives

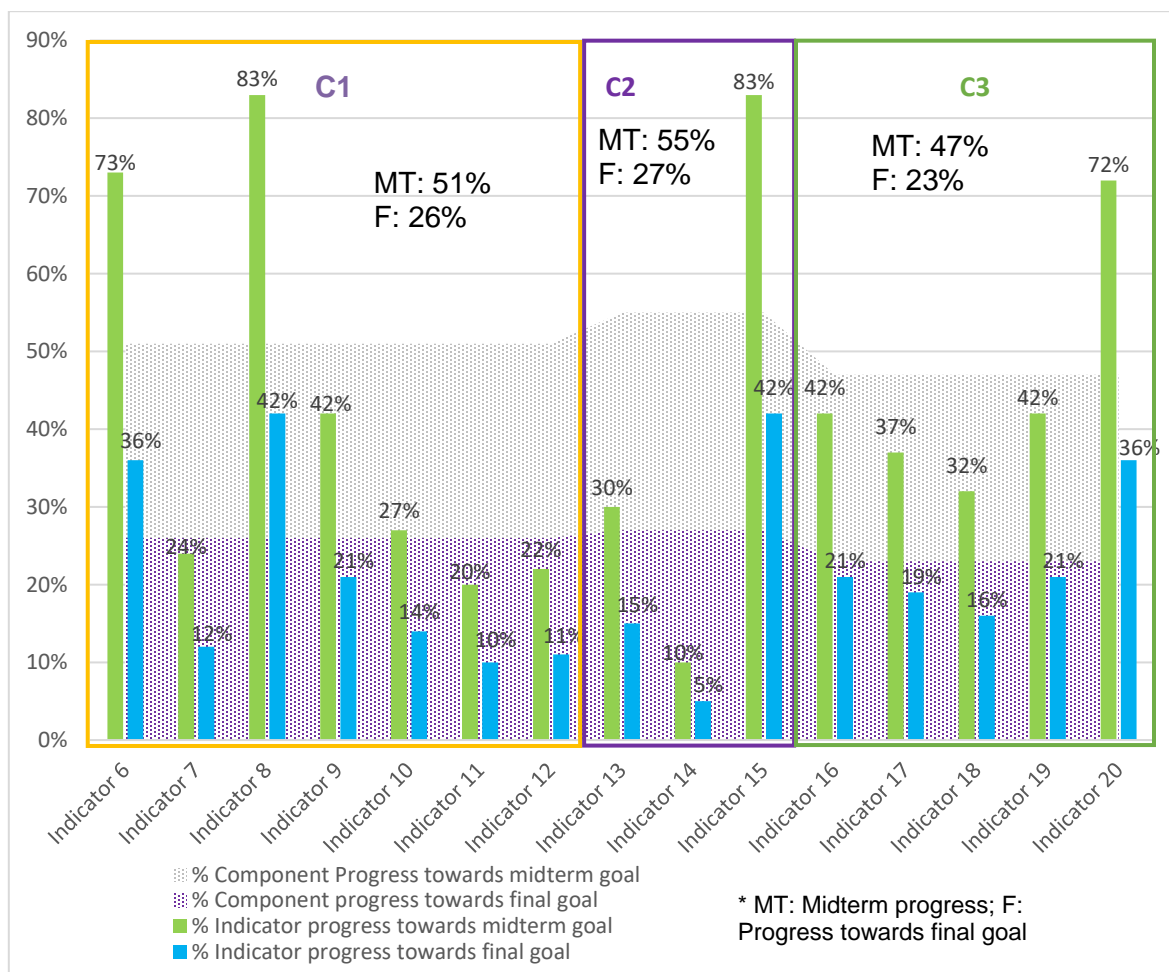
Graphic 3. Progress towards project objectives



Source: PIR, 2021

- 4. Out of 16 result indicators, 4 indicators exceed 35% of progress and although they present delays, it could be considered that they are aimed at meeting established goals.
- 5. On the other hand, 11 indicators show progress equal to or less than 21% compared to the end-of-project goals. Of this group, highly complex indicators such as 7, 11, 12 and 14 are of particular concern since they show discrete progress (between 5% to 12%), and also demand special attention because they depend on conditions and factors that strictly escape from the project management, and they sometimes demand alternative strategies and approaches to ensure its realization. Consequently, they show a reasonable risk of non-compliance within the established goals and deadlines.

Graphic 1. Progress towards midterm and final project goals at Component level



Source: PIR, 2021

4.2.1.1 Component 1

Progress towards results	Moderately Satisfactory
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1. This Component performance has been affected fundamentally by COVID-19 pandemic since a large part of the results involve planning tools design that require spaces for dialogue and interaction, which were not possible due to restrictions on mobility and conglomeration.
2. Out of the 7 indicators, 4 report less than 15% progress and, quantitatively, present a reasonable risk of non-compliance, considering the uncertainty regarding the evolution of the COVID-19 situation in the country.

3. On the other hand, this Component is based on trust and cooperation relationships from UNDP to the different actors and levels of project intervention. The general opinion of the interviewees is optimistic regarding the possibility of fully complying with goals established for this Component. They recognize UNDP capacity and specific experience in planning public policies and better governance. However, the above-mentioned perception is not enough to decrease the reasonable risk of non-compliance.
4. For Component 1, the PPS has maintained a close work with regional and local governments. It has also maintained technical assistance, as well as the impulse to incorporate the sustainable management approach into its planning instruments. Actors value the project financing to guarantee native communities' participation in the different planning and related decision-making processes, as well as the technical assistance to mainstream aspects including the rights approach and gender equality. The progress of the indicators is shown below:

Table 1 Component 1 indicators progress

INDICATOR	MTR OBJECTIVE	PROGRESS / COMMENTS
<p>6. Number of land-use policy and planning instruments developed and aligned, including the approach of landscape sustainability, resilience and inclusiveness</p> <p>BASELINE LEVEL No area has even had land use planning</p>	<p>-1 regional development plan -7 local development plans covering the entire project area. -2 sectoral development plans -65,000 ha with microzoning -8 additional indigenous life plans</p>	<p>Overall progress: 36% The detailed advance is as follows: - PDRC Ucayali 30% - PDRC Huanuco 35% - Puerto Inca province forest zoning 63%. - Community Life Plans (CdV) in 12 indigenous communities 21% - PDLIC at provincial (Puerto Inca) and district (Yuyapichis, Codo del Pozuzo, Neshuya, Curimana and Irazola) level 0%. - Cocoa and Chocolate Plan: 95% - Palma Plan: 40%</p> <p>Community Life Plans (PdV) Due to the pandemic and prior coordination with the federations, the actions were postponed until the second quarter of 2021. In addition, in the context of health emergency, the capacity of the federations was strengthened with technical assistance from the project team, financial resources and equipment. On the other hand, confederations and project team are developing a guide to elaborate life plans. Additionally, they are implementing a related training program.</p> <p>Puerto Inca Forest Zoning (FZ) 4 of the 6 required studies have been completed. Since the first quarter of 2021 the preparation of the 2</p>

		<p>pending studies has begun (study of soils by their greater use capacity and forest study). The applying process for the indigenous people participation plan for the forest zoning process is pending.</p> <p>Microzoning The signing of a Responsible Party Agreement with the Earthworm Foundation for the design of the methodological route for microzoning has not been finalized yet.</p>
<p>7. Degree of implementation of sector action plans developed by public and private sector multi-stakeholder platforms</p> <p>BASELINE LEVEL N/A</p>	<p>Two sector action plans with at least 25% achievement of targets related to environmental sustainability</p>	<p>Overall progress: 12%</p> <p>The progress percentage is based on key stages that have been reached in the implementation process. It means the creation of participatory platforms for each Plan, the sector diagnosis, and for coffee: the sub-national platforms that begin to incorporate the guidelines of the National Plan, among others.</p> <p>National Action Plan for the coffee sector</p> <ul style="list-style-type: none"> • The Permanent Multisectoral Coffee Commission was created as the leading space for monitoring the Plan. • The project supported MIDAGRI and others to develop 7 regional coffee agendas. • Actions are being coordinated with the Swiss Cooperation SECO, to deepen the support to strengthen sector governance <p>National Plan for the cocoa and chocolate value chain</p> <ul style="list-style-type: none"> • The plan was finalized and is awaiting approval.
<p>8. Levels of direct participation of different stakeholder groups (including women and indigenous people) in participation structures at regional and local levels taking decisions related to the sustainable, integrated, and inclusive management of landscapes</p> <p>BASELINE LEVEL Not defined</p>	<p>N/A</p>	<p>Overall progress: 41,6%.</p> <ul style="list-style-type: none"> • A strategy was developed to measure and promote participation, placing special emphasis on women and indigenous peoples. • Subsequently, an analysis of actor participation in the different processes was carried out by the project. <p>The following baseline is available:</p> <ul style="list-style-type: none"> • Public entities: level 5 • Organizations representing indigenous peoples: level 2 • Producer associations: level 4 • Women participation: level 1 or 2
<p>9. Multistakeholder capacities improved for the planning and sustainable</p>	<p>Capacities of 40 stakeholders being strengthened</p>	<p>Overall progress: 23%.</p> <ul style="list-style-type: none"> • The project has trained representatives of 14 productive sector organizations in sustainable

<p>management of landscapes</p> <p>BASELINE LEVEL</p> <p>Each institution specific capacities would be evaluated at the project starting.</p>		<p>development communication (sustainable land management), and 6 indigenous federations in micro-projects management and methodologies for life plan development</p> <ul style="list-style-type: none"> The training program resulted in the design and implementation of a communication strategy that is part of the Ucayali Regional Conservation System and also specific communication plans for the Ucayali and Huánuco Regional Conservation Areas. In the second semester of 2021, training programs will be implemented in other sustainable development issues to reach the goal of 60 actors (organizations). The project prepared a capacity building strategy for local actors.
<p>10. Implementation of land-use change approval transparent process according to zoning</p> <p>BASELINE LEVEL</p> <p>Land-use change approval process is not in TUPA of Ucayali and Huánuco regions</p>	<p>Land-use change approval process is in TUPA of Ucayali and Huánuco regions</p>	<p>Overall progress: 13,5%.</p> <ul style="list-style-type: none"> The Forest Services Program (Serfor) has prepared 2 guides: "Guidelines for authorizations granting related to change of land use for agricultural purposes on public lands" and "Guidelines for the preparation of a micro.zoning technical study", which must be approved to be incorporated in the TUPA of Huánuco and Ucayali. <ul style="list-style-type: none"> At the same time, the project is working on training so that Regional Governments are prepared for deforestation control and surveillance.
<p>11. Percentage of the unauthorised land use changes detected with monitoring system that result in effective institutional responses</p> <p>BASELINE LEVEL</p> <p>To be confirmed at project start</p>	<p>10% increase over baseline percentage</p>	<p>Overall progress: 10%.</p> <ul style="list-style-type: none"> This indicator progress depends on the previous one. Currently, the regional control and surveillance platform is being created in Huánuco, while the strengthening of capacities of the Regional Governments of Huánuco and Ucayali is progressing.
<p>12. Amount of public funds at national and regional levels committed and disbursed in support of sustainable landscape management, including biodiversity conservation, ecosystem services and sustainable</p>	<p>In the Amazon in general: - US\$100 million committed US\$4 million disbursed</p>	<p>Overall progress: 11%.</p> <p>It is not yet possible to report an amount of public funds leveraged for the Amazon sustainable management, however, the project is advancing with an adaptive approach as follows:</p> <ul style="list-style-type: none"> Sustainable criteria have been incorporated into national government funds and the alignment of Regional Plans (PDRC) and Annual Operative Plans (POI), and other public budgeting instruments. The project has achieved authorities' interest for the modification of budgetary programs for environmental sector (PP 144) and agriculture sector (PP 121), as a strategy for the public entities

<p>agricultural production models3</p> <p>BASELINE LEVEL</p> <p>Regional and local governments in the target area have investment projects related to production chains for a value of US\$49 million, of which US\$33 million is yet to be executed</p>		<p>in the Amazon regions to invest the allocated budget with environmental sustainability criteria.</p> <ul style="list-style-type: none"> • Together with the BIOFIN project, the portfolio of public investment projects in Ucayali and Huánuco that could contribute to the sustainable management of the territory has been identified.
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Green = Achieved	Yellow = On track	Red = Risk of not compliance at the end of the project
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4.2.1.2 Component 2

Progress towards results	Moderately Unsatisfactory
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1. Component 2 shows the least balanced performance, on the one hand, indicator 15 seems to be heading towards the achievement of its goal despite the considerable complexity associated with the credits and incentives placement to adopt sustainable management practices in the pandemic context. In this sense, it is verified that there is not market study that supports the demand for credit and that guides the project towards cost-effective strategies to achieve the established goal.
2. Indicator 13 reports a progress of 15% with a reasonable risk of non-compliance. The information reported refers to the number of producers instead to the one related to the volume of production; the baseline and the interpretation of the indicator must be specified.
3. Indicator 14 shows an 5% advance. Its fulfillment depends first on the definition of business priorities of communities' life plans (Component 1). Although it is very possible that the number of businesses plans formulated will be fulfilled, there would be a very narrow time. Best scenario they would have one year to ensure their implementation. Regarding clear guidelines for the elaboration of business plans for small farmers,

working with the Growing with your Business strategy is being evaluated by using the UNDP methodology.

4. Component 2 has started with the implementation of pilot experiences aimed at promoting the adoption of sustainable production practices in three value chains (cocoa, palm oil and livestock). In addition, the signing of other agreements is about to happen. At the same time, the credit access capacities of five cocoa producer organizations are being strengthened, improving their credit profile, and promoting their access to financing. The progress of the indicators is shown below:

Table 2 Component 2 indicators progress

INDICATOR	MTR OBJECTIVE	PROGRESS / COMMENTS
<p>13. Volume of products commercialized in the target landscapes that respond to sustainable production criteria, measured by compliance with sustainability criteria agreed by sector platforms and/or third-party certification</p> <p>BASELINE LEVEL - Sustainability criteria not yet agreed - 191 farms (1.2% of total) with organic certification in 2012 (Cenagro)</p>	<p>- 10% of cocoa, oil palm and coffee production in the target landscape complies with platform criteria - 30% increase in volume of cocoa, oil palm and coffee with some form of third-party certification (e.g. organic, Rainforest Alliance, Utz, Landscapes)</p>	<p>Overall progress: 15%.</p> <ul style="list-style-type: none"> The project is providing technical assistance to cocoa and palm oil producers in the project environment to obtain certification: Rainforest Alliance for cocoa and RSPO for palm oil. Two key partners have been identified: ECOM and COCEPU. ECOM is key to provide technical assistance to more than 1000 cocoa producers (co-financed with project resources) to obtain RA certification and COCEPU will provide technical support to more than 400 small palm oil producers to achieve RSPO certification.
<p>14. Number of viable business plans for sustainable economic activities developed and implemented</p> <p>BASELINE LEVEL 0</p>	<p>Viable business plans implemented for at least three sustainable economic activities, with benefits for men and women</p>	<p>Overall progress: 5%.</p> <ul style="list-style-type: none"> The PPS has mapped the sustainable productive potential of the 28 native communities that inhabit the project landscape of the project, subsequently, priorities of communities will be identified through their Life Plans, and Business Plans will be elaborated in 3 focused productive chains.
<p>15. Volume of credit, incentives and insurance, by number of farmers and area covered, disbursed to benefit sustainable resource management practices or linked to</p>	<p>- US\$15 million in the Peruvian Amazon as a whole; numbers of farmers and gender breakdown to be determined at project start</p>	<p>Overall progress: 42%.</p> <ul style="list-style-type: none"> Loan volume placed USD 1.7 million via Root Capital, additional USD 0.5 million in process; Green financial products, that are implemented with business plans, have been designed for coffee, cocoa and

<p>criteria of environmental sustainability</p> <p>BASELINE LEVEL To be determined at project start</p>		<p>palm oil, including input from national and regional stakeholders. The pandemic has delayed the launch of the pilot. Microfinance entities expressed their decision to focus this year on those productive sectors where they have a greater presence and on their current clients, thus postponing green loans for the agricultural sector until 2022.</p> <ul style="list-style-type: none"> • Green credit for coffee: The final proposal for the NAMA Café Peru project was sent and rejected. • Assisted credit for cocoa: in December 2020 the Responsible Party Agreement signed with Root Capital was defined, the internal management capacities of 5 organizations of cocoa producers are being strengthened to improve their profile as credit subjects. • Public funds and credits that incorporate environmental sustainability criteria (Agroideas, AgroPerú, Procompite-agro): Between July 2020 and April 2021, technical assistance has been provided to MIDAGRI to insert environmental sustainability criteria in its funds and financing programs, thus promoting the development of deforestation-free agriculture, and the conservation of ecosystems. • Financial inclusion for small producers and native communities: In December 2020, a Grant was signed with the CEDRO institution for the formulation of a study that includes a diagnosis and situational analysis of the economic and financial dynamics of targeted areas. The main objective was to establish gaps and recommendations for financial inclusion. To date, progress has been made in the application of surveys in the 3 study regions.
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Green = Achieved	Yellow = On track	Red = Risk of not compliance at the end of the project
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4.2.1.3 Component 3

Progress towards results	Moderately Unsatisfactory
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1. The Component 3 presents the most homogeneous performance; all its results exceed 16% progress towards the end-of-project goals. However, it is also the one with the least progress, only 23% in relation to the end-of-project goals.
2. This Component is the one with the highest participation of executing partners in territory, such as CATIE, ICRAF and COCEPU (in process). This operating model allows to strengthen the presence of the project in territory, the organizations add value from their specific area of expertise. They offer opportunities for the sustainability and scaling up of the project's investments, since these actors already have a tradition of work and relationships channels in territory.
3. The interviewees agree that it took a long time to consolidate and negotiate the participation of executing partners, in some cases this process was extended even until the end of 2020. However, except in the case of CATIE, the signed agreements commit partners to the pilots' development phase, so the escalation and replication strategy to meet the end-of-period goals must still be evaluated.
4. Progress is reported in the implementation of 285 pilots in specific sites and other 420 are being designed to provide technical assistance with new technical packages in order for them to be replicated. Likewise, the conservation areas have already been preliminarily identified through the connectivity analysis, however, the process has been delayed due to COVID-19 effects, since they require field work from the inception phase. In addition, the systematization of the process of governance strengthening of Indigenous Peoples for conservation of forests has begun. The progress is shown in the following table:

Table 3 Component 3 indicators progress

INDICATOR	MTR OBJECTIVE	PROGRESS / COMMENTS
16. Number of actors that learn about sustainable management practices and their benefits as a result of the pilots BASELINE LEVEL 0	- Experiences, including those developed by women, demonstrated in pilots to 500 actors with potential to replicate and/or disseminate them	Overall progress: 21%. <ul style="list-style-type: none"> • In implementation: 285 pilot experiences with 320 producers in 567.5 ha • Agreements have been established with: • CATIE, with the purpose of promoting sustainable intensive livestock systems with low

		<p>carbon emissions and friendly with biodiversity.</p> <ul style="list-style-type: none"> • ICRAF for the development of a participatory design process for a set of innovative technical interventions for cocoa. Its implementation was delayed until May 2021. • ICRAF to generate evidence about innovation potential agroforestry practice's introduction for La Palma, through the implementation of 10 pilots with 20 actors in 5 ha.
<p>17. Numbers of farmers (male and female) in target areas receiving technical and financial support for the application of sustainable management</p> <p>BASELINE LEVEL</p> <ul style="list-style-type: none"> - 16.120 farmers in target area - 2.488 men farmers (18,9% of total) and 531 women (18% women work in agriculture) received technical capacitation or commercial advise - 1.961 farmers received financing 	<p>2,000 farmers receive technical assistance (1,640 men and 360 women) for the application of sustainable management practices</p> <ul style="list-style-type: none"> - 1,000 farmers receive financial assistance for the application of sustainable management practices - 5,000 farmers are implementing necessary enterprise and organizational development plans 	<p>Overall progress: 19%.</p> <ul style="list-style-type: none"> • Farmers who receive Technical Assistance: Technical assistance has been initiated to 320 cocoa, palm and livestock producers; and the technical assistance for 1100 is in the of designing process. • Under the agreement with Root Capital, at least 500 farmers are being trained to receive financial aid for the application of good agricultural practices once the training cycle is over. In addition, the project is supporting 6 cocoa organizations to access the Procompite Fund.
<p>18. Number of farmers (of those who receive technical assistance), by area and gender, with increases in per hectare productivity levels due to the application of the sustainable management practices promoted by the project</p> <p>BASELINE LEVEL</p> <p>To be determined at project start</p>	<p>40% of supported producers (male and female) are applying sustainable practices</p>	<p>Overall progress: 16%.</p> <ul style="list-style-type: none"> • This indicator progress is a function of the previous indicator achievement.
<p>19. Area of degraded landscapes subject to restoration and/or conservation in order to restore ecosystem services, with provisions for sustainability of management</p> <p>BASELINE LEVEL</p> <p>Restoration: 0ha Conservation: - 125,000ha of PAs</p>	<p>-Restoration: 1,500ha Conservation: 1,500ha increase</p>	<p>Overall progress: 21%.</p> <p>Restoration (11%)</p> <ul style="list-style-type: none"> • The analysis of ecological connectivity and implementation of the virtual restoration opportunities assessment (ROAM) methodology began. • It was defined with previous results, and through an Agreement with CIMA Cordillera

<ul style="list-style-type: none"> - 25,000ha of conservation concessions - 128 ha of private conservation areas - 9,000 ha of regional conservation areas proposed 		<p>Azul, which is expected to be signed in the third quarter of 2021, the ecological restoration of 1,500 ha will begin.</p> <ul style="list-style-type: none"> • To date, there is an agreement with CIMA to restore 1,500 ha in 3 CCNNs for a total amount of US \$ 100,000. The approximate cost would be \$ 67 / ha. <p>Conservation (10%)</p> <ul style="list-style-type: none"> • The project is supporting the creation of a new regional conservation area "Velo de la novia", which will have 16,586 hectares. • A collaboration with the head of the Private Conservation Area (ACP) Panguana (Yuyapichis, Huánuco) is in the process of designing with a dual purpose: recovery of part of the area and expansion of the conservation area.
<p>20. Number of institutions that receive publications and communications products aimed at improving knowledge and practices of sustainable management of Amazonian landscapes</p> <p>BASELINE LEVEL 0</p>	<p>40 institutions</p>	<p>Overall progress: 36%.</p> <ul style="list-style-type: none"> • More than 50 stakeholders have received communication materials produced by the project. • A comprehensive database of key stakeholders and partners was prepared at international, national, and local levels. • The project progress during 2020 was systematized in a virtual platform, which was launched through the first issue of the electronic bulletin "El Amazónico". • Two virtual spaces were co-organized to promote collective learning and exchange of experiences at the regional level

Green = Achieved	Yellow = On track	Red = Risk of not compliance at the end of the project
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5. The project team updated the tracking tools for the MTR. The results, after comparing with what is established in the ProDoc, show that although the project is progressing, it is still far from reaching the proposed goals. An example of this is the biodiversity TT.

On the other hand, there are indicators that have not been measured yet, such as the case of greenhouse gas (GHG) emissions for the tracking tool (TT) to mitigate climate change. The following table presents a review of the indicators trend:

Table 4 Project progress according to its tracking tools

Tracking Tool for GEF-6 Biodiversity Projects Objective 4 – Program 9		
	Expected in ProDoc	Reached at MTR
Agroforestry systems in annual crop areas and agrosilvopastoral systems in pasture areas	10.000 ha	1.613 ha / Rainforesta alliance/UTZ (cocoa) RSPO (oil palm)
Sector policy and legislation include biodiversity considerations and they are implemented		Coffee and Cocoa plans include the considerations, some actions are implemented.
Tracking Tool for GEF-6 Biodiversity Projects Objective 4 – Program 10		
	Expected in ProDoc	Reached at MTR
Expected direct landscape coverage:	64.593 ha	19.699 ha
Landscape area indirectly covered by the project (ha)	2.170.000 ha	2.170.000 ha
Reducing pressure of main drivers of biodiversity loss		The project has influenced the National Plan for Cocoa and Coffee progressing by promoting loss of biodiversity
Increase in BD funding		In measurement process
BD Valuation		Targeted Scenario Analysis (TSA) developed for the Cocoa and Palm National Plan
Measurement of environmental and biodiversity expenditures and their inclusion in the system of national accounts		The pilot project: Experimental Accounting of Ecosystems in San Martín Region, has been developed
New financing mechanisms		The project is working on incorporating an ecosystem conservation objective into the budget
Improving of key policies and investments, as well as reducing detrimental incentives for biodiversity in sectors that cause it		National Plans for cocoa and coffee incorporate actions to reduce loss of biodiversity.
Tracking Tool for GEF 6 SFM Projects		
Forest area of high conservation value identified and maintained	48.398 ha	16.586 ha
Number of incentive mechanisms to avoid losing high conservation value forests implemented	4	0
Area of forest resources restored in the landscape, stratified by forest management actors.	4.000 ha	1.500 ha

Area with low greenhouse gas emissions management practices		19.699 ha
Land Degradation Focal Area - Portfolio Monitoring and Tracking Tool (PMAT) - GEF-6		
Vegetation cover	48.398 ha	16.586 ha
Improved agricultural, grasslands and grazing management		1.612,5 ha (cacao pilots 62,5 ha, cuttle farming 550 ha).
i. Establishment of support mechanisms for forest landscape management and restoration		Two (2) Concerted Regional Development Plans and 6 Concerted Local Development Plans in progress; and incorporation of a conservation objective into the ongoing 144 budget program
Land area under sustainable forest management and / or restoration practices		1500 ha. in 3 indigenous communities
Demonstration results that reinforce cross-sectoral integration of SLM	200 ha	1.612,50 ha
Integrated landscape management practices adopted by local communities	10.000 ha	1.612,50 ha of demonstration
Innovative mechanisms for multi-stakeholder planning and investment in SLM at scale		Concerted Development Plans at regional and local level; Budgetary Programs, Public Investment Projects, Competitive Funds.
Tracking Tool for GEF 6 Climate Change Mitigation Projects		
Number of users of low greenhouse gas emission systems	6.700	1.600
Number of hectares with low greenhouse gas emissions management practices (Ha.)	64.593	19.699
Volume of Mobilized and Leveraged Investment by the GEF for Low Greenhouse Gas Development	USD 200.000.000	USD 500.000

4.2.2 Remaining barriers to achieve the project objective

1. It is considered that the project has made a modest progress in overcoming the six barriers originally identified in the ProDoc. Consequently, it could be expected that these barriers remain relatively unchanged, or that their situation has even worsened due to the COVID-19 pandemic effect, and other emerging pressures that are reported, for example the case of illegal activities growth in intervention area.
2. The main barrier identified by all people interviewed is related to the uncertainty in relation to the COVID-19 pandemic, especially in terms of the existing restrictions so that the project team can get in contact with the actors in territory again, realization of

- workshops and other activities planned by the executing partners until they can be carried out in a normal way with the permanent presence of technicians in field.
3. Regarding the same as the above, the project faces other barriers derived from the effects of the pandemic. On the one hand, a change in priorities to address the health emergency is possible. That will affect, in the short and medium term, the availability of state resources and, therefore, the expected co-financing. Likewise, the project, like others that are carried out in the Amazon, are exposed to the expansion of the agricultural frontier and illegal activities, due to the low levels of control and monitoring due to mobility restrictions.
 4. On the other hand, the project may face a change in priorities of credit lines, market contraction, and the volatility and uncertainty of the commodities market which the project works with.
 5. Likewise, closely linked to COVID 19, it is likely for the project to encounter market barriers, considering the economic impact suffered by small and medium-sized producers since March 2020. This would represent a challenge for the original assumptions in relation to the interest of contracting credit to apply best practices, of initiating processes to certify their production, or related to uncertainty about the growth projection in the demand for zero deforestation products to remains constant.
 6. Political instability with the consequent constant turnover of authorities was a constant barrier, which particularly affected the start of the project. In the midterm, the new Peru government is still consolidating its teams a few weeks after starting its administration, while at the regional and provincial level, elections are expected in October 2022, so it should not be forgotten that the risk of instability once again could become a barrier to execution.

4.3 Project execution and adaptive management

Project execution and adaptive management, monitoring and evaluation	Moderately Satisfactory
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4.3.1 Management mechanisms

1. In general, the project shows flexibility and adaptive management to carry out activities in territory and adjust the implementation strategy. An example of adaptive management consisted in the decision to hire the same organizations for the

development of Life Plans, a practice that, in addition to strengthening their capacities, increases their sense of belonging and ownership.

2. COVID-19 has had a direct impact on level of activities, the project has been sensitive and flexible to adapt to the new context. Although the interviewees agree that a good part of the delay in execution can be attributed to the COVID-19 effect, it is also recognized that the project had difficulties that were reflected in a slow start, both due to the instability of authorities and also internal difficulties to consolidate the team and have a shared opinion of the intervention strategy. Actors interviewed mention that, on occasions, it has not been able to react with the expected agility in some aspects such as cooperation agreements signing with executing partners, in-time allocation of resources for activities in territory, or concretion of the project's M&E system.
3. Actors value the capacity, experience, and good disposition of project team, they recognize a cordial relationship, fluid coordination and permanent communication. Actors also coincide in considering that the intervention is respectful of institutional policies and priorities, which improves their commitment and ownership. In this sense, reliance and recognition that UNDP has at different levels of intervention also has a relevant importance.
4. Regarding UNDP, it is recognized as an actor that is trustworthy and is well received by indigenous groups. The project adds value and has a key position for supporting, accompanying, and financing the participation of indigenous groups in the different planning, policy design, and decision-making processes.
5. At the moment, a scattered and relatively isolated execution is perceived among the different interventions, with a risk of impact dispersion, considering the high number of activities and the extent of intervention areas. This may be associated with the execution of activities in isolated conditions, with restrictions at carrying out workshops, meetings and spaces that strengthen the identity and sense of team. An example occurred in the construction of the PDRCs, which had difficulties for multi-stakeholder dialogue spaces due to connectivity issues.
6. At the administrative management level, it is frequently mentioned that there are difficulties in obtaining the profiles required to hire consultants at regional and provincial level, which has generated delays in key processes such as PDRC, PdV, etc. Likewise, it is affirmed that sometimes resources arrive out of date for the executing partners, that means, disbursements do not coincide with periods where execution is most possible and necessary. For example, it has been mentioned that certain activities must be

carried out before the winter season, otherwise the whole implementation process is delayed 1 year.

7. Regarding MINAM as an implementing partner, according to testimonies, it has played an important role in the accompaniment, monitoring and technical validation of the project. It has stayed active in different spaces of participation and has facilitated the calling of other authorities at national level who are decisive for the project's success, such as the Ministry of Agrarian Development and Irrigation.
8. However, MINAM has had to face several challenges during execution which affected its participation. On the one hand, political instability affected execution particularly during the start of the project. A lot of time and effort were invested in getting the project new authorities installed, including awaiting times to contact them and initiate fluid coordination. On the other hand, COVID-19 has also limited its ability to accompany the project, particularly at the territorial level.

4.3.2 Work planning

1. The project has faced several delays in its implementation. On the one hand, in 2018 there was the first delay due to National Government turnover, which requested the project to carry out 6 inception workshops in different regions, this caused the start-up times practically lasted until December 2018. Likewise, authorities' turnover in the sub-national governments took place, so the project had to do the work of rapprochement again with the new authorities. Consequently, it could be estimated that, for these reasons, the start-up took practically a year.
2. Ownership and empowerment of the counterparts during the first two years allowed execution to recover significantly during the years 2019 and 2020 (Graphic 2). However, the year 2020 presented delays due to COVID-19, which is why contracts that were to be signed in March were postponed until December; Subsequently, the implementation of the agreements was delayed until April 2021 due to the mobility restrictions imposed.
3. Regarding planning and coordination with stakeholders, PPS design included an escalation strategy with potential partners. During project design, there was a broad and inclusive calling for potential partners. For example, both ICRAF and CIMA actively participated in the project's multi-stakeholder participatory design spaces. In 2019, the stakeholder characterization study was carried out as a tool to strengthen the participation and involvement of key stakeholders.

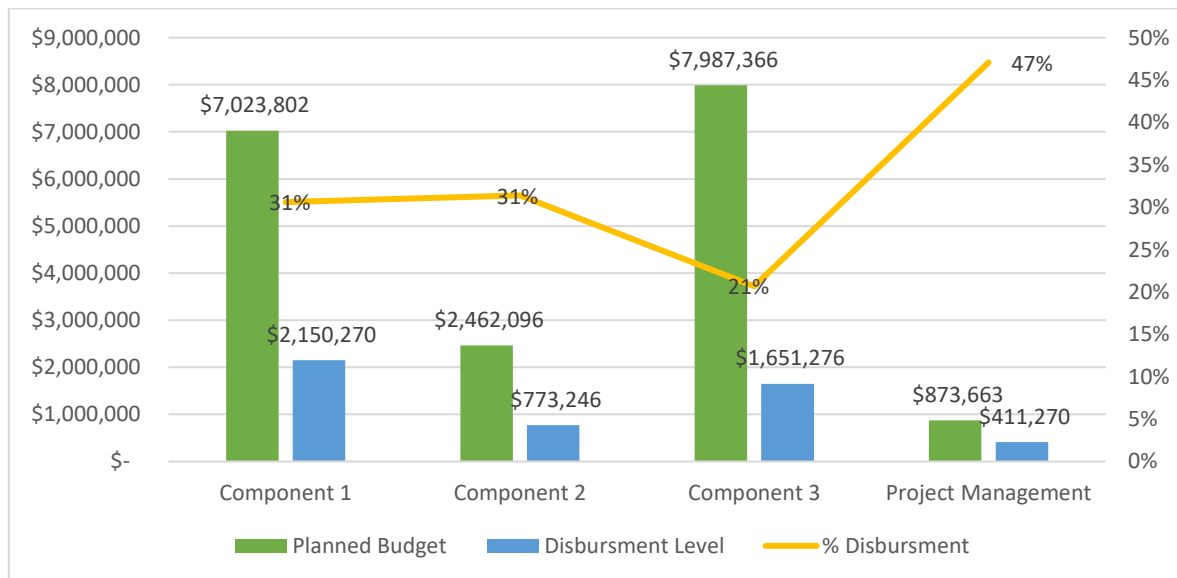
4. However, in the execution phase, the project sought to involve the actors with greater technical capacity in territory as well as better positioning, experience of collaborative work and responding to the same practices and values promoted by UNDP. Consequently, the identified actors have allowed to work in a synergy, following common principles so that local actors receive the project in the most appropriate way.
5. Regarding strategic planning, during the pandemic the PT led a review of the Results Chains in order to review assumptions, risks, intermediate products, and strategies. An external expert consultant was hired for the mentioned activity. However, the strategy to execute an approximate annual average of USD 5 million until the end of the project should not get lost, considering that during the first three years a total of USD 4.98 million was executed.
6. The delay reported in some results, together with the uncertainty about retaking normal activities, cause that some elements of the project strategy are still under construction, so they are not formulated within a tool of planning that reflects different views but more important a team definition of how to achieve the goals towards the end of the project.
7. The actors interviewed acknowledge that some definitions and key elements of the intervention are not sufficiently clear which also shows, to some extent, the dynamics of adaptation to an uncertain context. This is reflected, for example, in the followed route to meet the credit allocation goal or adjust the goal that overestimates the number of beneficiaries considering that it does not take into account that 50% operate irregularly.
8. In some cases, it is mentioned that the escalation and replication strategies will depend on the results of the pilots and agreements that can be reached with executing partners. It makes sense for farmers to wait to see the results of field pilots first, before making a decision about investing their time, resources, or even credit in their own crops. There is a cognitive process associated with the adoption of new practices and technologies in the agricultural sector that should be reviewed in the post COVID-19 context and also planned differently, case by case, depending on the product, producer type, executing partner, among other criteria.
9. For some partners, such as Root Capital, the collaboration horizon was agreed until December 2021, despite the fact that activities in territory began in a phased way in April 2021 due to social distancing. Managing these and other strategic alliances that may be necessary to accelerate implementation takes time and resources, which means a risk of leaving little time for further implementation. On the other hand, it is

essential that the project strengthen control and plan the necessary accompaniment and monitoring of its executing partners' activities.

4.3.3 Project Finance and Co-finance

1. The project budget equals USD 18.35 million from GEF donation for a six-year implementation period. Until June 2021, the project disbursed USD 4.98 million, that is 27% of the total available budget. Project management reports provided by the project show that Components 1 and 2 are, in budget execution terms, the ones that showed the highest execution (31%) while Component 3 reached a 21% execution, as shown in the following figure:

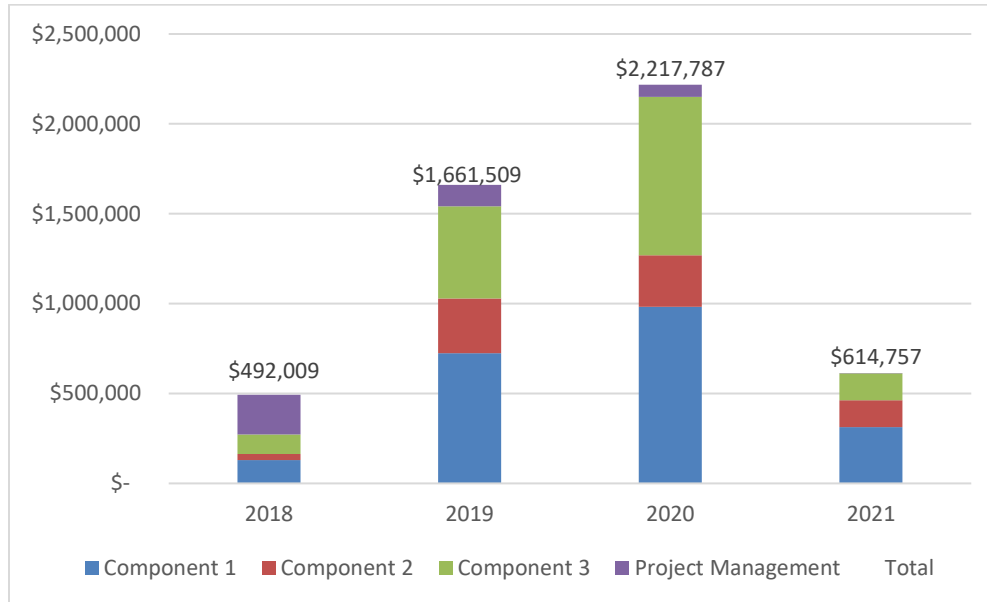
Graphic 2 Component Budget vs Disbursement



Source: Annual Progress Report, 2018 – 2021

2. During 2018 execution was low due to difficulties registered during the start-up and that actually there was only half a year of execution. GEF funds were increasingly executed during 2019 and 2020, reporting a downward trend during 2021 (Graphic 2).
3. Up to now, during execution, 5 revisions to the initial budget have been identified; it is evident that there are modifications to the annual fund allocations. In 2020, 2 reviews were carried out, the last one was in June.
4. As part of financial control, the project annually prepares the Combined Delivery Report of UNDP ATLAS system. This document allows to identify executed amounts by Component (in dollars). Likewise, a financial report has been provided for the MTR until June 2021.

Graphic 3. Component Budget by year



Source: Annual Progress Report, 2018 – 2021

5. On the other hand, as part of PIRs, the project includes the budget implementation progress report. The information provided by PIR corresponds to a comparison of the accumulated executed budget versus the budget approved in ProDoc and compared with the budget approved in the Atlas System.
6. The aforementioned tools, due to information quality and frequency, allow the project coordination to keep constantly informed of the progress.
7. In addition, and in compliance with the M&E Plan established in the ProDoc, the project has only contracted an external audit, corresponding 2020, which results were satisfactory. The audit conclusions indicates that both the operations and financial controls, as well as the administrative and internal control structure are appropriate and in accordance with the National Execution Project Management Manual issued by UNDP.
8. In addition to financing from the GEF, ProDoc committed a significant amount of co-financing which sums up USD 129 million, coming from MINAM, MIDAGRI, USAID, the Puerto Inca Provincial Government and UNDP. Until this document finished, only UNDP has reported USD 8.6 million co-financing. Regarding the rest of the institutions that committed resources as cofinanciers, their contribution has not been reported yet.

Table 5 Co-financing

Cofinancing type / source	Name of co-financer	Type of Co-financing	Amount of co-financing confirmed at CEO's endorsement (US\$)	Actual amount of co-financing at MTR review (US\$)	% from expected co-financing
Recipient Country Gov't	[1] MINAM	Grants / in kind	50.000.000		
Recipient Country Gov't	[2] MIDAGRI	Grants / in kind	25.000.000		
Non-Government Organization	[3] USAID		35.000.000		
Recipient Country Gov't	[4] Gobierno Provincial de Puerto Inca	Grants	10.000.000		
Donor agency	[5] UNDP		9.000.000	8.600.000	95,5%
Total			129.000.000	8.600.000	6,6%

4.3.4 Monitoring & Evaluation Systems at project level

1. The ProDoc presents in general terms a monitoring and evaluation plan, which includes the main milestones and procedures established for the implementation of GEF-UNDP projects in the country. In this sense, it establishes that M&E will comply with UNDP POPP provisions and UNDP evaluation policy.
2. The ProDoc establishes responsibilities and functions for the different project units. In addition, it establishes that the project will meet additional M&E requirements, such as inception workshop and report, PIRs, lessons learned, tracking tools, MTR, final evaluation, and final report, and presents a specific budget for its implementation.
3. The project has 20 indicators, therefore, due to the number and complexity of the indicators, as well as the volume of interventions in territory, the ProDoc identified the need for a profile with exclusive dedication to M&E, which at the moment registers the second person in charge.
4. Weaknesses described in formulation of various indicators, such as incomplete, imprecise baselines, or goals to be defined, have been partially addressed so far. The PPS manages an online monitoring and evaluation system, through an Excel sheet exclusively for the result of indicator. The 5 indicators at the objective level do not have an M&E system yet. The system is adequate, for each indicator an information sheet has been developed, which provides clear details about the design, goals, collection,

and organization (responsible). For each indicator, the M&E system establishes the main milestones and each of them has an assigned a value. Subsequently, the Excel sheet calculates and returns the total progress of the indicator.

5. At the implementation level, the project has carried out 6 Boards of Directors, 3 approved annual work plans, 9 progress reports submitted (2 UNDP and 1 GEF), and a review of the results chain. In addition, the PPS has submitted the respective PIRs, one audit, and is currently executing the MTR. Additionally, the project uses the systems with which UNDP regularly operates, such as Atlas, which allows detailed monitoring of physical and budgetary execution.
6. Regarding associated risks monitoring, the project has updated them every semester and year through the corresponding reports. On the other hand, by 2020 the inclusion of 4 risks related to the pandemic is evident, such as little participation of local actors, expansion in the agricultural frontier, change in priorities of credit lines, market contraction and national priorities, in all cases, follow-up activities are adequate.
7. The PIR mentions that in 2020 the project developed a gender and interculturality proposal to include both approaches in the execution of the products, results, and indicators of the PPS. To date, the evaluator has not either received this proposal nor it has been possible to verify its incorporation into the M&E system of the project that has been received.

4.3.5 Stakeholders' participation

1. Regarding implementation, the project has managed to develop key alliances with strategic partners for the execution of activities within the framework of Components 2 and 3, such as CATIE, ICRAF and Root Capital, as well as another that is in process with COCEPU. It is appreciated that the project managed to identify partners who do not only have work experience in the area of intervention, technical capacity complementary to the project in areas of specialization and offer opportunities to optimize efficiency in the use of resources, but also are aligned with the values, safeguards, and principles of UNDP intervention.
2. It is frequently mentioned as a success of the project, the fact that it has identified indigenous communities as fundamental actors for the success of its results. In this sense, the actors recognize the role of PPS by ensuring the participation of indigenous leaders and communities in different spaces of public policy and decision-making. The pertinent decision of the PPS when hiring indigenous organizations to prepare life plans

is valued. This allowed maintaining contact and presence of the project at the local level despite the pandemic, but it has also been seen as a strategy that affects improving the levels of trust and participation of the communities for the project.

3. On the other hand, the project maintains fluid communication and coordination with Regional Governments, who highlight the relationship of trust that exists with PPS, based on respectful collaboration, and aligned with their priorities and policy frameworks. In addition, representatives of regional governments (GORE) are part of the project Technical Committee, which is a key space to reinforce their active participation during execution to promote interventions sustainability.
4. MIDAGRI's participation has been active in terms of participation in spaces established such as workshops, meetings, and Steering Committees. Their support has been decisive in terms of linking the project with the selected production chains, highlighting the one with the cocoa sector. The interviewees highlight MIDAGRI's interest in understanding and assimilating the productive landscapes approach, so the interviewees agree in valuing the opportunity that the project gives them to generate a critical number of professionals who have the capacity to implement the mentioned approach in territory and align its policy tools and instruments in that direction.
5. Additionally, the project coordinates actions with other projects in order to share efforts and knowledge, taking advantage of the interventions among themselves. An example of this is the coordination with JDI Phase II, which takes advantage of the strategy developed by the PPS for the development of life plans; Likewise, the FOLUR project will take advantage of the PPS methodologies and learning in relation to technological packages, design of financial mechanisms and integration of sustainable management in the landscape, due to the fact that both projects have similar general objectives.
6. The need of strengthening integration and cohesion within the project team is frequently mentioned, ensuring a shared reading of the indicators, goals, and their respective intervention strategies. Likewise, the need to invest in the formation of a broader work team is confirmed, which would improve coordination, monitoring and control of executing partners in territory. Although the majority of the actors have been able to adapt despite the difficulties of connectivity, and while the possibility of organizing in-person meeting and planning spaces gradually recovers, actors consider essential a more cohesive intervention of the team and a greater presence in the territory.
7. Given the productive profile and the value chains approach of the project strategy, in general terms, a relatively low participation of actors in the value chain of the selected

products that represent the private sector is perceived. The interviewees attribute part of this fact to the lack of contacts and relationships of trust to conduct a sustained process of dialogue to incorporate best practices in these sectors.

8. Although the articulation with chambers and interest groups representing producers has been more fluid with the cocoa and chocolate sector, there is still a need to advance in the construction of relationships of trust and a strategic communication with private actors where there is advance such as the coffee value chain and palm that represent a more complex long-term process.

4.3.6 Social and environmental standards

1. The risks identified at SESP, and their categorization were appropriate at the time, as well as the diagnostic and management measures proposed. Given that the project has not undergone major modifications in its intervention strategy, the interviewees do not consider it necessary to carry out a SESP review.
2. To date, in the PIRs or other documents, no new environmental and / or social risks associated with the project have been identified, and they have not changed in terms of their categorization and qualification of their impact presented since the approval of the CEO Endorsement either.
3. The challenges derived from the post COVID-19 recovery, as well as the possible adjustments to the project's intervention strategy, may need a new prospective sight that allows the SESP to be reviewed from a strategic perspective. There are important economic and social dimensions derived from the new context, which could influence beneficiaries' participation in project activities.
4. The project, as proposed in the SESP, has included in its intervention activities that add value in terms of vulnerable groups, indigenous peoples and nationalities, a gender perspective, and a humanitarian response to the pandemic. The inclusion of these key cross-cutting aspects of the intervention have been incorporated from the design phase into the new GEF guidelines framework that encourages proponents to strengthen the integration of broader aspects of development. The inclusion of these issues is valued by the actors in territory. They consider that they add value to the intervention and meet the needs of the territory from a more comprehensive perspective. They perceive UNDP as a partner that supports the involvement of indigenous groups, as well as facilitate and communicate with the different actors.

5. The clearest contribution in terms of gender and interculturality of the project is reflected in the development of life plans. The PPS has included male and female facilitators in each community for the construction of their Life Plans. Likewise, it is valued that the project has requested in the agreements signed with ICARF, CATIE Root Capital and the indigenous federations, that, as part of its activities, the monitoring of certain gender indicators be included.

4.3.7 Information

1. To date, the project has developed 3 PIR corresponding to 2018, 2019 and 2020. All of them meet the key requirements, present the respective assessments as well as clear actions to address and improve the performance of the project, whose compliance is reported and evaluated annually. In addition, the project has developed the corresponding semi-annual and annual reports for 2018, 2019 and 2020, thus periodically reporting through the systems established by UNDP the progress for the issued recommendations.
2. In general terms, during the MTR, a weakness is observed in terms of information management, particularly regarding the operation of a centralized system that systematizes information, keeps it updated and makes it available to the PT and other key actors at different levels of intervention. Organizing and delivering the requested information for the MTR took considerably longer than initially estimated. It is possible that the MTR exercise has made it possible to organize and complement information that was dispersed. Some documents like PIR 2021, tracking tools or the M&E system were completed practically in parallel with the MTR.

4.3.8 Communication

1. The interviewees confirm that the communication and coordination activities carried out by the project, among the different levels of actors deployed in territory, were affected by mobility limitations and accessibility difficulties in general.
2. Several interviewees agree that the PPS intervention has a low level of recognition, particularly in the actors of the palm and coffee value chains, as well as in the intervention sites in the territory. This is confirmed by the project team because the communication associated with visibility is more oriented towards positioning the public policies that are supported by the project. On the other hand, it is also mentioned that

they have opted for a more discreet exposure, considering the risk associated with the increase in illegal activities in the intervention area.

3. The interviews carried out show that the project could have done more in terms of strategic communication to support implementing partners' implementation of Components 2 and 3, particularly in terms of the escalation and replication expectative. However, the PPS presents a greater positioning and visibility in Component 1, whose actors more clearly recognize the project, its scope, and different interventions.
4. In general, the different actors, with exception of MINAM, have a limited partial knowledge of their scope intervention in the project. Although the project team clarifies that it does not seek for visibility of PPS as an independent entity, understanding the project from its entirety is key to strengthen and position the focus on productive landscapes.
5. For 2020, the PPS developed a communication strategy which includes a methodological proposal with objectives, messages and main ideas, and a menu of actions to be implemented for a period of 1 year. Likewise, a proposal for knowledge management was developed, which includes the actions developed in 2019 and 2020, and, in addition, proposes actions to be developed in 2021 related to the exchange, validation and systematization of learning. To date, given the general delay in the project progress, there is not report on the progress or impact of these proposed activities.
6. The project has invested time and resources to maintain levels of communication and knowledge management. The PPS develops a virtual newsletter that disseminates content and relevant news by email. Additionally, it has been verified that the project frequently develops notes and content for social networks and the UNDP website.

4.4 Sustainability

Sustainability	Moderately Unlikely
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4.4.1 Financial Risks for sustainability

Financial Risks	Moderately Unlikely
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1. A determining sustainability aspect includes the profitability of the financial models and products that the project promotes. If these models and products are not profitable or attractive to the market, it cannot be expected for them to be financially, socially or environmentally sustainable.

2. The sustainability of GEF investments is compromised by the post-COVID 19 recovery context in Peru, and particularly in the project's intervention areas. The assumptions and intervention strategy designed before the pandemic are currently facing a different reality, derived from losses caused by the total and partial stoppage of agricultural activities, so it is reasonable to think that not all the goals and expected results within the remaining term of the project will be achieved.
3. The valuation of the commodities addressed by the project will go through periods of volatility and uncertainty due to the current economic context. Although there has been a slight upturn in their prices, under the current context, it is possible that the price paid to the producers will become their main motivation for the adoption of best practices
4. Costs derived from health care, together with the impact on GDP and, in general terms, on the country's economic performance, could cause a contraction of public and private investment towards priority areas and topics promoted by the project. The possible change in priorities to attend to the health emergency could affect, in the short and medium term, the availability of state resources and, consequently, the co-financing expectations that have been expressed in the ProDoc.
5. In the short term, opportunities for financial sustainability derive from the capacity and flexibility shown by the project to adapt its intervention to post-COVID 19 productive recovery programs. Likewise, the approval of policies and plans that are developed in Component 1, commit institutional resources for its implementation, for which the strengthening of institutional capacities is considered critical to ensure its effective implementation.

4.4.2 Socio-economic risks to sustainability

Socio-economic risks	Moderately Unlikely
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1. The Components 2 and 3 depend on market factors such as profitability of the products, issue which is outside the project scope and presents an uncertain outlook at the moment. Assuming that the market exists and remains constant, within this framework, the capacity to ensure stability and quality of production is of particular concern.
2. The increase in the volume of production, or the credit desire that farmers may have depends directly on the signals that the market gives in terms of an increase in the demand for certified products, and especially the fact of being willing to pay a higher price that justify investment in improving agricultural practices or in certification

processes. The marketing aspect is considered key for sustainability, it is mentioned that it is expected to be addressed through an alliance with a cocoa exporter.

3. On the other hand, the prospects for replicating or scaling up sustainable management practices, beyond the challenges of a cognitive nature, strongly depend on a successful pilot phase, in which the results and expected improvements are evident and motivate the application in other farms and producers. However, the time available is too short for the processes to mature and the actors can count on technical assistance and project resources once they decide to start adopting these practices.

4.4.3 Institutional framework and governance risks to sustainability

Institutional framework and governance risks	Moderately Likely
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1. Sustainability perspective is greater in Component 1, considering that policy and planning tools are projected at least in the medium and long term, strengthen capacities among the participants, and become the pillars on which they operate and assign resources to different organizations at different levels.
2. Different executing partners deployed in territory offer a perspective of sustainability of the investments in territory, however, according to the interviews, it gives the impression that their long-term commitment to the investments made is still unclear or should be specified more clearly in the agreements signed.
3. The recent government turnover at the state level, as well as the upcoming elections at the subnational level could generate changes in the political orientation of the institutions in Peru. The consequent delays related to maintaining the commitment and ownership of the project with the new authorities could complicate the pace of results implementation and activities. In this sense, the approach of the project seeks the induction of new authorities through dialogue as a tool that allows aligning the objectives and strategic orientation of the project with the expectations and priorities of the new authorities.
4. Actors in the palm value chain question whether their activity is associated with deforestation and express their disagreement with studies and conclusions financed by PPS. For them, there are other higher priority issues such as the eradication of child labor. However, this position reflects the intervention complexity and the need to install long-term dialogue processes, since this same discussion was already done with the previous Junpalma directive.

4.4.4 Socio-environmental risks to sustainability

Socio-environmental risks	Moderately Likely
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1. There are new pressures that have become deeper or that did not present the same force during the design phase, particularly the accelerated occurrence of illegal activities in the intervention areas. Since the pandemic, there has been an increase in illicit crops, and other illegal activities such as mining, organized crime, logging, hunting and illegal wildlife trafficking. Mobility limitations, together with the limited deployment of human and financial resources affected the necessary control, supervision, and patrolling.

5 CONTRIBUTION TO THE LEVEL OF EXPECTED RESULTS ACHIEVEMENT WITHIN THE UNDP COUNTRY PROGRAM FRAMEWORK, CONTRIBUTION TO UNDP STRATEGIC PLAN AND THE SDG

1. Regarding project contributions, they are identified towards the achievement of Outcome 1.1: strengthened national and sub-national capacities. However, to maximize the impact, it is necessary that the project culminate with the elaboration of the national policy for cocoa and chocolate, palm and livestock, and, above all, that the PPS contribute to strengthen MIDAGRI so that the plans can be operationalized.
2. On the other hand, an important PPS contribution is evidenced in the inclusion of a green growth approach in policy instruments for local development. In this sense, the project supports the GOREs of Ucayali and Huánuco in the development of their PDRCs, incorporating environmental issues through a participatory process with indigenous and local producers' participation.
3. Likewise, the project reports a direct contribution towards the achievement of Outcome 1.2⁵, in terms of the percentage of progress in the National Determinate Contributions (NDC), complying by reducing CO2 emissions through the application of sustainable forest and agroforestry management techniques and practices. However, although the quantification of avoided CO2 emissions is part of the project's impact indicators, they have been quantified yet.

⁵ Landscape governance and participation strengthened for public policy development, sustainable land use management and participatory and inclusive decision making

4. Regarding the same outcome, an indicator that can demonstrate the contribution of the PPS to the Peru Results Framework is related to the number of improved livelihoods and jobs created. This is because the project has proposed that 6,000 producers and 700 members of indigenous communities will have higher levels of livelihood benefits. However, there is no evidence that information or baseline data has been collected from the possible beneficiaries, which at the end of the project can demonstrate the application impact of the development model on producers' life quality.

6 CONCLUSIONS AND RECOMMENDATIONS

6.1 Conclusions

Project strategy

1. The project is highly relevant and appropriated for Peru, it is considered a great boost to the implementation of both the National Climate Change Strategy and the ENBCC, since it addresses value chains associated with deforestation, which are relevant for 4 NAMAS in the Amazon (cocoa, coffee, palm and livestock). On the one hand, the project contributes directly to the agriculture sector of the ENCC (NAMAZonia), and for the ENBCC its contribution is for the achievement of activity 1 of specific objective 1.
2. The PPS is ambitious and complex, it involves an annual execution of around USD 4 million, under a results framework that proposes a large number of activities, actors, and different areas of intervention. Although the assumptions used were optimistic by underestimating the risks and complexity inherent in the execution of GEF projects, there was a risk that could not be foreseen, COVID-19, which affected by not having much more substantive progress.
3. The results framework is coherent, there is articulation between Components and different intervention levels and scales. However, weaknesses are evident in the formulation of indicators, some goals are not realistic, and they probably might not have been achieved even if the project was developed in a non-COVID-19 context. In addition, 40% do not present a baseline, and no indicator presents a compliance date.
4. At the end of the EMT, several lessons learned derived from the project design have been identified in order to contribute to the project documentation process. These lessons are listed below:

- The project design did not identify various risks that had an impact on the start of the project, such is the case of political risk and the rapid increase in illegal activities in the intervention areas.
- An analysis of actors and stakeholders was not carried out, which led to the project to be implemented without a guide or a stakeholder involvement plan.
- The project contemplates a significant number of results (16), which involves a considerable number of activities that are carried out simultaneously in different places, with the risk of impact dispersion.
- The project design did not consider that at least half of the potential beneficiaries were coffee, palm and cocoa producers who maintain their operation under irregular conditions, such as land tenure.

Progress towards results

5. The MTR, after the review conducted, considers that progress in the achievement of the outcome is **unsatisfactory in relation to its objective**. In relation to the achievement of its three components, **Component 1 is considered Moderately Satisfactory; Component 2 is Moderately Unsatisfactory; and Component 3 is Moderately Unsatisfactory**.
6. The project shows an estimated progress of 15% in meeting impact objectives. Regarding results, an average progress of 25% is estimated compared to the end-of-project goals. Although much of the delay in execution can be attributed to the effect of COVID-19, it is also recognized that the project had difficulties that were reflected in a slow start, both due to the instability of authorities and internal difficulties to consolidate the team.
7. Out of 16 result indicators, 4 indicators exceed 35% of progress and although they present delays, it could be considered that they are aimed at meeting the established goals. On the other hand, 11 indicators show progress equal to or less than 21%, consequently, they show a reasonable risk of non-compliance.
8. The main barrier identified by all people interviewed is related to the uncertainty caused by the COVID 19 pandemic, especially regarding the existing restrictions for the project team to contact the actors in the territory in person again, have workshops and other activities planned by executing partners so they can be carried out in a normal way with the permanent presence of technicians in field.

Project execution and adaptive management

9. The project shows flexibility and adaptive management to carry out activities in territory and adjust the implementation strategy. Hiring indigenous organizations to prepare life plans is recognized as a good practice since it allowed maintaining operations and the presence of the project at local level despite the pandemic, in addition to strengthening the organizations.
10. A relatively isolated execution is perceived, with low integration between the different components, activities and executors, and a consequent risk of dispersion of the impact, considering the high number of activities and the extension of intervention areas. This may be associated with the execution of activities in isolated conditions, with restrictions for holding workshops, meetings and spaces that strengthen identity and sense of team.
11. The actors interviewed recognize that some definitions and key elements of the intervention are still not sufficiently clear, which shows to some extent the dynamics of adaptation to an uncertain context. In some cases, the escalation and replication strategies will depend on the results of the pilots.
12. Until June 2021, once 54% of the planned time for project implementation has passed, USD 4.98 million has been disbursed, that is, 27% of the total available budget. Out of a total committed co-financing of USD 129 million, until this document closing, only UNDP has reported USD 8.6 million co-financing.
13. The project complies in general terms with the main milestones and activities of the monitoring and evaluation plan. The weaknesses described in the formulation of several indicators have been partially addressed so far, however, the 5 indicators at the objective level do not have an M&E system yet.
14. Regarding implementation, the project has managed to develop key alliances with strategic partners, such as the 6 Indigenous Federations, CEDRO, Pronaturaleza, CATIE, ICRAF and Root Capital and it is in the process of signing with ECOM and COCEPU. It is appreciated that the project managed to identify partners who not only had work experience in the area of intervention, complementary technical capacity to the project in the areas of specialization and offer opportunities to optimize the efficiency in the use of resources, but also align with the values, safeguards, and principles of UNDP intervention.

15. The project considers activities that add value in terms of vulnerable groups, indigenous peoples and nationalities, gender approach, and humanitarian response to the pandemic. The inclusion of these key cross-cutting aspects of the intervention have been incorporated since the design phase. The clearest project contribution in terms of gender and interculturality is reflected in the development of Life Plans.
16. In general terms, there is a weakness of information management. The MTR has made it possible to organize information that was scattered and complement some documents such as the PIR 2021, tracking tools for the M&E system.
17. The project could have done more in terms of strategic communication to support the intervention of its implementing partners in Components 2 and 3, particularly in terms of escalation and replication expectation. However, the PPS presents a greater positioning and visibility in Component 1, whose actors more clearly recognize the project, its scope, and different interventions.

Sustainability

18. In addition to the financial risks inherent to sustainable agriculture (profitability), the uncertainty derived from the post COVID-19 recovery context increases the risks that may negatively affect the financial and socio-economic sustainability of GEF investments, government, and the private sector (companies and financial institutions). The sustainability perspective is greater in Component 1, considering that the policy and planning tools are projected at least in the medium and long term, strengthen capacities among participants, and become the pillars on which it operates, and resources are allocated to different organizations at different levels.

6.2 Recommendations

N	Recommendation	Entity Responsible	Time Frame
General Recommendations			
1	A thorough review of the results framework is important, especially in terms of goal setting and review of assumptions and risks. It is especially recommended to review and update the goals for the 11 indicators that show progress less than or equal to 22%. Likewise, it is recommended to address the weaknesses found in compliance with the SMART criteria in the formulation of indicators.	PT UNDP MINAM MINAGRI	3 months
2	Based on results framework adjustment, a strategic planning is recommended for the period remaining until project completion, ensuring the execution of nearly USD 5 million per year. Each Component must make its intervention strategies explicit, identifying	PT	3 months

	potential partners, specific actions, and concrete mechanisms to accelerate execution.		
3	It is necessary for the project to have a final and complete version of its M&E system, which includes the 5 objective-level indicators that are not considered yet, as well as all of the baselines that are still incomplete or that are not accurate.	PT	3 months
4	Particularly for indicator 17, it is recommended to review the baseline and its goal, considering that about half of the producers considered are irregular, and, therefore, the project will not be able to incorporate them as beneficiaries.	PT UNDP	3 months
5	It is recommended that the PPS considers the review of the Social and Environmental and Project Screening (SEPS) from a strategic perspective, since there are new risks derived from the increase in illegal activities in the intervention area, as well as the economic and social impacts of COVID -19.	PT	6 months
6	In the opinion of the interviewees, it is considered that the PT has the necessary profiles to operate from Lima, however, it is essential to strengthen the presence in territory through alliances that allow delegating a greater volume of execution in territory.	PT UNDP	6 months
7	Update the Stakeholder Participation and Involvement Plan based on an updated and detailed analysis of the stakeholders in the territory and ensure its systematic implementation.	UNDP	6 months
8	Alternative procedures, guidelines and policies need to be reviewed and sought to improve contracting and procurement processes. These need to be adapted to the context of rural sites	UNDP	6 months
Components Recommendations			
9	In relation to capacity building (Component 1 and 3), during the next months and while the in-person work is regularized, it is recommended to look for alternatives to in-person training. It could be possible to identify partners that can facilitate technological platforms that allow progress in the project objectives. For example, mention is made of the good experience of the project to carry out remote trainings to local communities in alliance with the Pontifical Catholic University of Peru (PUCP). Further outsourcing of training functions is recommended to accelerate budget implementation and execution	PT UNDP	6 months
10	It is recommended to extend the duration of the agreements with executing partners in the territory, this consideration is due to 2 factors, firstly, due to the delays of the activities, which would mean that the contracts require an extension of time. On the other hand, the agreements and partners in territory add value and ensure cost-effective execution in the territory. Likewise, it is important that these agreements make explicit the partners commitment beyond the pilots, involving scaling up and sustainability of the investments made.	PT	6 months
11	It is recommended to prepare a roadmap for the development of the selected PIPs, their approval and execution.	PT	3 months
Communication recommendations			
12	It is recommended that the PPS strengthen its capacity for strategic communication to give greater visibility and positioning to the project, especially in terms of supporting the implementation of the	PT	3 months

	results that are under the responsibility of executing partners in Components 2 and 3.		
13	It is important that the PPS, especially for Components 2 and 3, maintains fluid communication levels with producers. It is also recommended to invest in relationships of trusting and in a strategic line of communication with private actors in the coffee and palm value chains, especially around the marketing link.	PT	6 months
Following up and Evaluation recommendations			
14	It is recommended to follow up the committed co-financing, so that it can be anticipated, and actions can be taken on time to reach the commitments. For this, it is necessary for the EP to generate an integrated tool for its M&E system, based on examples or formats that operate for other projects.	PT UNDP	3 months
15	It is recommended that the analysis of the project's risk matrix be strengthened in terms of risks associated with climate change. The Peruvian Amazon is already being affected by floods or droughts that could directly affect the activities to be developed with the prioritized value chains	PT MIDAGRI	12 months
16	It is recommended that the project begin to measure the indicators which are feasible, by gender in certain indicators, for example, indicator 9 "Multiple actors have better capacities for sustainable landscape management", it could be disaggregated by gender, in order to include its results at the end of the project.	PT	3 months

7 ANNEXES

7.1 Annex 1: Terms of Reference

TERMINOS DE REFERENCIA (TdR)
PNUD/IC-269-2021 – Evaluación de Medio Término del Proyecto Paisajes Productivos Sostenibles en la Amazonía peruana

1. Información General

Lugar de destino:	Home based
Plazo:	85 días calendario

2. Introducción

Estos son los Términos de Referencia (ToR) de la Revisión de Medio Término (MTR por sus siglas en inglés) del PNUD-GEF para el proyecto denominado "Paisajes productivos sostenibles en la Amazonía peruana" Project Award PIMS (PNUD) 0005629 (Project ID 00087272), GEF ID Project 9387 implementado a través de PNUD en el periodo 2017-2021.

El proyecto se inició el 13 de marzo de 2018 con la firma del PRODOC y actualmente se encuentra en su tercer año de ejecución. En los presentes ToR se establecen los requerimientos para la MTR. En consonancia con la "Guía para la Realización del Examen de Mitad de Periodo en Proyectos Apoyados por el PNUD y Financiados por el GEF", este proceso de evaluación de mitad de término (MTR) dio comienzo antes de la presentación del Tercer Informe de Ejecución del Proyecto (PIR). El proceso del MTR debe seguir las directrices marcadas en el documento "Guía para la Realización del Examen de Mitad de Periodo en Proyectos Apoyados por el PNUD y Financiados por el GEF" (<http://web.undp.org/evaluation/guidance.shtml#gef>).

3. Antecedentes del Proyecto

El Perú es un país megadiverso y ocupa el cuarto lugar en extensión de bosques tropicales. Posee 72 millones de hectáreas de bosques naturales, que ocupan el 56% del territorio¹. Estos bosques proveen productos forestales maderables y no maderables para el desarrollo económico y mantienen servicios ambientales vitales para la sociedad. Contrariamente a la importancia de estos recursos, entre el 2001 y 2014 se han deforestado 1.65 millones de hectáreas de bosques amazónicos a un ritmo promedio de 118,000 ha por año. Este proceso tiene una tendencia creciente llegando para el 2014 a 177,000 ha deforestadas. Considerando la deforestación acumulada MINAM estima que existe 7.31 millones de hectáreas deforestadas en la Amazonia peruana.²

De acuerdo con la Estrategia Nacional sobre Bosques y Cambio Climático (ENBCC), el 91% de la deforestación de bosques amazónicos se debe a la expansión de la frontera agrícola y ganadera. Solo tres cultivos representan el 60% de las 1.5 millones (café, pastos y cacao). El uso y cambio de uso del suelo que incluye la deforestación constituye el principal sector económico en las emisiones de gases de efecto invernadero, contribuyendo a la mitad de las emisiones. Bajo este escenario, la agricultura comercial en la Amazonia peruana se seguirá desarrollando a expensas de los recursos naturales, generando un impacto negativo en los valores ambientales, amenazando los servicios ambientales y generando la pérdida de medios de vida de las poblaciones más vulnerables que dependen directamente de estos recursos naturales.

El proyecto "Paisajes productivos sostenibles en la Amazonía peruana" (PPS) es una iniciativa conjunta del Estado peruano liderada por el Ministerio del Ambiente (MINAM) y la cooperación técnica del Programa de las Naciones Unidas, que forma parte del Programa Regional de Paisajes Sostenibles de la Amazonía aprobado en setiembre del 2015 por el Fondo Mundial para el Medio Ambiente (FMAM) el cual busca proteger la biodiversidad y aplicar políticas que fomenten el uso sostenible de la tierra y la restauración de la cubierta vegetal nativa en Brasil, Colombia y Perú. El programa regional está liderado por el Banco Mundial y está compuesto por proyectos nacionales implementados con el soporte del Banco Mundial, el Fondo Mundial para la Naturaleza (WWF) y el Programa de las Naciones Unidas para el Desarrollo (PNUD).

El proyecto desarrollado por el Programa Nacional de Conservación de Bosques (PNCB) del Ministerio del Ambiente (MINAM) con el apoyo del PNUD, reconociendo la complejidad de los sistemas socio ecológicos de los paisajes amazónicos, busca generar múltiples beneficios ambientales globales a través de la aplicación de un enfoque integrado de la gestión de los paisajes amazónicos, esperando de esta forma contribuir a la reducción de la deforestación y a la recuperación de los bosques de la Amazonia peruana. El proyecto está alineado con la Estrategia Nacional de Bosques y Cambio Climático y se complementa con otros procesos estratégicos nacionales como el Programa de Inversión Forestal y la Declaración de Intención Conjunta suscrita entre los gobiernos de Perú, Alemania y Noruega.

Los beneficios ambientales que busca generar el proyecto se dan en el manejo de paisajes productivos, conservación de la biodiversidad, mitigación del cambio climático, así como, en el manejo forestal sostenible. El proyecto contempla tres componentes principales: 1) políticas e instrumentos de planificación y de gobernanza mejoradas para reducir la deforestación e intensificar la producción sostenible; 2) mecanismos financieros e incentivos del mercado promueven prácticas productivas sostenibles; y 3) capacidad técnica instalada para rehabilitar y mantener los servicios ecosistémicos en los paisajes priorizados.

El ámbito de intervención del proyecto es:

- Región Huánuco: Provincia Puerto Inca en los Distritos de Tournavista, Puerto Inca, Codo de Pozuzo, Yuyapichis, Honoria
- Región Ucayali: Provincia Padre Abad en los Distritos de Padre Abad, Curimana, Irazola, Neshuya, Von Humboldt, Nueva Requena

Finalmente, el proyecto PPS contribuye directamente a los Objetivos de Desarrollo 1,12,13 y 15 de manera directa, y de manera indirecta a 8 y 10.

Este proyecto fue aprobado para una duración de 72 meses por el GEF, comenzando en marzo del 2018 con fecha de finalización marzo del 2024. En cuanto a los arreglos institucionales el proyecto es ejecutado bajo la modalidad de implementación directa (NIM, por sus siglas en inglés), a cargo del Ministerio del Ambiente a través de la Dirección General de Estrategias de los Recursos Naturales - DGERN, que asume la Dirección Nacional del Proyecto. El Asociado en la Implementación preside el Comité Directivo Nacional del Proyecto (CDP), que está integrado además por los representantes acreditados del PNUD, el Ministerio del Ambiente (MINAM), el Ministerio de Agricultura (MINAGRI), el Gobierno Regional de Ucayali (GOREU) y el Gobierno Regional de Huánuco (GOREHCO). Asimismo, el proyecto cuenta con un Comité Técnico (integrado por SERFOR, MINAM, MINAGRI y PNUD). El monto de inversión aportado por el Fondo para el Medio Ambiente Mundial (FMAM) es de US\$ 18.34 millones, y la cofinanciación asciende a la suma de US\$ 129 millones, a través de USAID y acciones directas e indirectas de dependencias del Gobierno del Perú (120 millones) y del PNUD (9 millones). La ejecución del proyecto se realiza bajo la supervisión y garantía del PNUD, incluyendo los mecanismos de seguimiento y evaluación establecidos por el FMAM y el PNUD, incluyendo reportes periódicos, auditorías y evaluación de medio término (MTR) y evaluación terminal (TE).

Cabe precisar que desde marzo del presente año el Perú fue declarado en estado de emergencia que comenzó el 16 de marzo de 2020 así como la cuarentena que se levantó en mayo y luego se retomó en el mes de marzo del 2021 lo cual ha tenido un impacto significativo en el Proyecto, en lo que respecta a la implementación de servicios y actividades que requieren de viajes nacionales y el trabajo de campo en áreas rurales. Asimismo, la pandemia generó riesgos como resultado de la disponibilidad limitada de funcionarios gubernamentales, el sector privado, productores locales, incluidos los pueblos indígenas, para participar en las actividades del Proyecto.

No obstante, el proyecto ha continuado trabajando con sus socios para garantizar un reinicio efectivo a partir del tercer trimestre del 2020. Asimismo, el proyecto desarrolló un plan de trabajo ajustado para poder continuar con sus actividades cuando fue posible a través de uso intensivo de reuniones virtuales y diseño de protocolos de COVID-19 en el campo, entre otros.

El Documento de Proyecto se encuentra en los siguientes links:
https://info.undp.org/docs/pdc/Documents/PER/1.PRODOC_fdo.pdf

3. De la evaluación

3.1 Objetivos de la MTR

Los objetivos de la evaluación de medio término (MTR) son:

- Asegurar el éxito del proyecto, identificando cualquier cambio que sea necesario incorporar en la gestión adaptativa para conseguir los resultados esperados.
- Garantizar la rendición de cuentas para el logro de los objetivos del proyecto, así como los del PNUD-FMAM, y fomentar la responsabilidad en la utilización de recursos;
- Mejorar el aprendizaje organizacional mediante la documentación, retroalimentación y difusión de las lecciones aprendidas)
- Fortalecer las funciones de supervisión y gestión del proyecto

Específicamente la evaluación buscará evaluar:

- La estrategia del proyecto y los instrumentos complementarios (la lógica del proyecto y el Marco de Resultados)
- El progreso en el logro de los objetivos y resultados del proyecto establecidos en el Documento del Proyecto (PRODOC), analizando los indicios tempranos de logro, o de dificultades o imposibilidad de conseguir las metas del proyecto
- La ejecución y gestión adaptativa del proyecto
- Los riesgos de sostenibilidad del proyecto

La presente evaluación se enmarca en el Plan de Evaluación 2017-2021, de la Oficina de Perú del Programa de las Naciones Unidas para el Desarrollo.

Los usuarios finales de la evaluación serán las contrapartes gubernamentales (el punto focal operativo del FMAM), los socios en la ejecución, la oficina de país del PNUD y las demás partes interesadas del proyecto para la toma de decisiones durante el periodo de ejecución del proyecto.

3.2 Enfoque y metodología de la MTR

Los datos aportados por el MTR deberán estar basados en información confiable y útil.

El/la Evaluador/a del MTR examinará todas las fuentes de información relevantes; y en ese sentido se considerarán dos tipos de fuentes de información: la primera estará conformada por los documentos elaborados durante la fase de preparación (p.e. Project Identification Form - PIF, Plan de Iniciación del PNUD, Política de Protección Medioambiental y Social del PNUD, Documento del Proyecto - PRODOC), así como por los documentos de gestión elaborados durante la fase de implementación del proyecto (p.e. Examen Anual/Project Intermediate Report - PIR, informes de seguimiento PNUD, revisiones del

presupuesto y otros documentos que el consultor considere relevantes para una mejor comprensión de los antecedentes, contexto, planificación y gestión del proyecto). Ver **Anexo A: Lista Documentos a Revisar**. Asimismo, el/la consultor/a del MTR analizará la Herramienta de Seguimiento del área de actuación del GEF (GEF Tracking Tool convertida a Core Indicators) que se completó al inicio y a la mitad de ciclo del proyecto.

La segunda fuente de información está constituida por las entrevistas a actores directos del proyecto (socios implementadores, aliados estratégicos y beneficiarios) de modo que aporten en la evaluación del progreso del proyecto y con sugerencias para aumentar la probabilidad de lograr las metas propuestas. Los principales actores por entrevistar se encuentran los detallados en el **Anexo B: Lista de Actores a Entrevistar**.

En cuanto a la información recogida, esta deberá ser analizada mediante la triangulación entre la información recogida en las entrevistas, la revisión documental u otras herramientas de recolección de información. De esta manera, los hallazgos, conclusiones, lecciones aprendidas y recomendaciones que se obtengan del análisis de esta información deberán tener una sólida base en evidencias y mantener una misma lógica entre sí.

Frente al contexto COVID, el consultor deberá presentar una propuesta de adaptación de la metodología según corresponda, considerando restricciones de viajes, orientación de seguridad, reuniones virtuales, entre otros. Dicha propuesta, además de cualquier limitación que se enfrente durante el proceso de MTR, deberá detallarse en el informe inicial de MTR y en el informe final.

El diseño y la metodología específicos del MTR deben surgir de las consultas entre el equipo del MTR y las partes mencionadas anteriormente sobre lo que es apropiado y factible para cumplir con el propósito y los objetivos del MTR y responder a las preguntas de evaluación, dadas las limitaciones de presupuesto, tiempo y datos.

El evaluador deberá utilizar metodologías y herramientas sensibles al género y garantizar la igualdad de género y el empoderamiento de la mujer, así como otras cuestiones transversales como un enfoque participativo que garantice una relación estrecha con el Equipo de Proyecto, socios implementadores, partes responsables, puntos focales de entidades estatales relacionadas al proyecto y los Puntos Focales del GEF de las Oficinas de País, el Asesor Técnico Regional (RTA) del PNUD-GEF y otras partes interesadas clave. Además, deberá asegurar la incorporación de los ODS en el informe.

El enfoque metodológico final, incluido el calendario de entrevistas, las visitas de campo y los datos que se utilizarán en el examen de mitad de período, debe describirse claramente en el informe inicial y ser discutido y acordado por completo entre el PNUD, las partes interesadas y el equipo de examen de mitad de período.

El/la consultor/a debe realizar al menos tres reuniones de presentación, las cuales podrán ser virtuales:

- **Una al inicio**, para presentar el detalle de la metodología a seguir y el plan de trabajo de la evaluación;
- **otra al finalizar las entrevistas a los principales actores**, para presentar los hallazgos y conclusiones iniciales;
- **y otra al final de la evaluación**, para la presentación de los resultados.

El principal producto derivado de este proceso es el informe final de la MTR, el cual deberá contener una descripción completa de la metodología seguida y las razones de su adopción, señalando explícitamente las hipótesis utilizadas y los retos, puntos fuertes y débiles de los métodos usados para el MTR, de acuerdo con el formato del **Anexo C**.

3.3 Ámbito detallado de la MTR

El evaluador del MTR evaluará las siguientes cuatro categorías de progreso del proyecto. Para unas descripciones más amplias véase la Guía para la Realización del Examen de Mitad de Periodo en Proyectos Apoyados por el PNUD y Financiados por el GEF (Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects) (<http://web.undp.org/evaluation/guidance.shtml#gef>).

I. Estrategia del proyecto

Diseño del proyecto:

- Analizar el problema abordado por el proyecto y las hipótesis aplicadas. Examinar el efecto de cualquier hipótesis incorrecta o de cambios en el contexto sobre el logro de los resultados del proyecto recogidos en el Documento del Proyecto.
- Analizar la relevancia de la estrategia del proyecto y determinar si ésta ofrece el camino más eficaz para alcanzar los resultados deseados/buscados. ¿Se incorporaron adecuadamente al diseño del proyecto las lecciones aprendidas de otros proyectos relevantes?
- Analizar cómo quedan recogidas en el proyecto las prioridades del país y específicamente de los sectores competentes. Comprobar la propiedad nacional del proyecto. ¿Estuvo el concepto del proyecto alineado con las prioridades de desarrollo del sector nacional y los planes para el país?
- Analizar los procesos de toma de decisiones. ¿Se tuvo en cuenta durante los procesos de diseño del proyecto la perspectiva de quienes se verían afectados por las decisiones relacionadas con el mismo, de quienes podrían influir sobre sus resultados y de quienes podrían aportar información u otros recursos durante los procesos de diseño?
- Analizar hasta qué punto se tocaron las cuestiones de género relevantes en el diseño del proyecto.
- Analizar si existen áreas importantes que requieren atención, recomendar aspectos para su mejora.
- ¿Se recogió la voz de beneficiarios durante el diseño del proyecto?
- Analizar los mecanismos de evaluación de impacto en los beneficiarios considerados en el proyecto, principalmente, en los proyectos piloto.

Marco de resultados/marco lógico:

- Realizar un análisis crítico de los indicadores y metas del marco lógico del proyecto teniendo en cuenta los ajustes realizados a este (de haberlos), evaluar hasta qué punto las metas de mitad y final de periodo del proyecto cumplen los criterios "SMART"(abreviatura en inglés de Específicos, Cuantificables, Conseguidos, Relevantes y Sujetos a plazos) y sugerir modificaciones/revisiones específicas de dichas metas e indicadores en la medida que sea necesario.
- Determinar la factibilidad del logro de los objetivos y resultados del proyecto o sus componentes con los recursos disponibles de tiempo, humanos, económicos, entre otros.
- Analizar si el progreso hasta el momento ha generado efectos de desarrollo beneficioso o podría catalizarlos en el futuro (por ejemplo, en términos de generación de ingresos, igualdad de género y empoderamiento de la mujer, mejoras en la gobernabilidad, calidad de vida, etc.) de manera que deberían incluirse en el marco de resultados del proyecto y monitorizarse de forma anual.
- Asegurar un seguimiento efectivo de los aspectos más amplios de desarrollo y de género del proyecto. Desarrollar y recomendar los indicadores de "desarrollo" SMART, que deberán incluir indicadores desagregados en función del género y otros que capturen los beneficios de desarrollo.
- Analizar cómo se está considerando y/o aplicando el enfoque de género en los componentes del Proyecto, así como recomendar indicadores desagregados en función del género en la medida que sea necesario, con el fin de asegurar una plena y correcta integración de los beneficiarios de desarrollo del proyecto.

ii. Progreso en el logro de resultados

Análisis del progreso en el logro de resultados:

- Revisar los indicadores del Proyecto y compararlos con el progreso realizado en el logro de las metas establecidas para fin de proyecto mediante la **Matriz de Progreso en el Logro de Resultados (ver Tabla 1)** y en función de lo establecido en la "Guía para la Realización del Examen de Mitad de Periodo en Proyectos Apoyados por el PNUD y Financiados por el GEF"; reflejar los avances siguiendo el sistema de colores "tipo semáforo" basado en el nivel de progreso alcanzado; asignar una valoración del progreso obtenido a cada resultado; efectuar recomendaciones desde las áreas marcadas como "No lleva camino de lograrse" (rojo).

Además del análisis de progreso en la consecución de resultados:

- Comparar y analizar la Herramienta de Seguimiento del GEF (Core Indicators) al nivel inicial de referencia con la completada inmediatamente antes de la revisión de mitad de periodo.
- Identificar las barreras al logro de los objetivos del proyecto en lo que resta hasta su finalización, y aquellas relevantes que se hayan presentado en esta etapa de implementación del proyecto.
- Una vez examinados los aspectos del proyecto que han tenido éxito, identificar fórmulas para que el proyecto pueda ampliar los beneficios conseguidos.
- Revisión del Social and Environmental Screening Procedure (SESP) y su respectiva actualización

iii. Ejecución del proyecto y gestión adaptativa

Mecanismos de gestión

- Analizar la eficacia general en la gestión del proyecto tal y como se recoge en el Documento del Proyecto. ¿Se han realizado cambios? ¿Son efectivos? ¿Están claras las responsabilidades y la cadena de mando? ¿Se toman las decisiones de forma transparente y en el momento adecuado? Recomendar áreas de mejora.
- Analizar la calidad de la ejecución del Proyecto, de acuerdo con su modalidad de implementación.
- Analizar la calidad del apoyo proporcionado por el Organismo Asociado del GEF (PNUD) y recomendar áreas de mejora.
- Analizar la eficacia y empoderamiento de la participación de las entidades que integran el Consejo Directivo.
- Analizar cómo el contexto de la pandemia Covid-19 ha afectado la gestión del proyecto y cómo este se ha adaptado ante ello.

Planificación del trabajo

- Analizar cualquier demora en la puesta en marcha e implementación del proyecto, identificar sus causas y examinar si ya se han resuelto. Asimismo, evaluar si es necesario realizar un ajuste en los tiempos de implementación del proyecto, para la consecución de sus resultados y metas esperados.
- ¿Están los procesos de planificación del trabajo basados en los resultados? Si no es así, ¿se pueden sugerir maneras de reorientar la planificación del trabajo para enfocarse en los resultados?
- Examinar el uso del marco de resultados/marco lógico del proyecto como herramienta de gestión y revisar cualquier cambio producido desde el inicio del proyecto.

Financiación y cofinanciación

- Evaluar la gestión financiera del proyecto, con especial referencia a la rentabilidad o relación costo/rendimiento de las intervenciones. Se analiza la eficacia de la gestión financiera en base al presupuesto aprobado por el GEF.
- Analizar los cambios producidos en las asignaciones de fondos como resultado de revisiones presupuestarias y determinar si dichas revisiones han sido apropiadas y relevantes.
- ¿Cuenta el proyecto con controles financieros adecuados, incluyendo una apropiada información y planificación, que permitan a la Dirección del Proyecto tomar decisiones informadas relativas al presupuesto y que faciliten un flujo de fondos en tiempo y plazos adecuados?
- A partir de la información contenida en la tabla de seguimiento de la cofinanciación que hay que rellenar, ofrecer comentarios sobre la cofinanciación. ¿Se utiliza la cofinanciación estratégicamente para ayudar a los objetivos del proyecto? ¿Se reúne el Equipo del Proyecto regularmente con todos los socios en la cofinanciación a fin de alinear las prioridades financieras y los planes de trabajo anuales?

Fuente de Co-financiamiento	Nombre de institución Co-financiadora	Tipo Co-financiamiento	Monto de Co Financiamiento confirmado al Momento del Endoso CEO (US\$)	Monto de Co-financiamiento efectivo contribuido al momento de la Revisión de Medio Término (US\$)	% del Monto total esperado de Co-financiamiento
		TOTAL			

Sistemas de seguimiento y evaluación a nivel de proyecto

Analizar las herramientas de seguimiento usadas actualmente. ¿Ofrecen la información necesaria? ¿Involucran a socios clave? ¿Están alineadas con los sistemas nacionales o incorporados a ellos? ¿Usan la información existente? ¿Son eficientes? ¿Son rentables? ¿Se requieren herramientas adicionales? ¿Cómo pueden hacerse más participativas e inclusivas?

¿Se cuenta con instrumentos del monitoreo de indicadores del proyecto?

Analizar la gestión financiera del presupuesto para el seguimiento y evaluación del proyecto. ¿Se asignan recursos suficientes para el seguimiento y evaluación? ¿Se usan estos recursos con eficacia?

Implicación de las partes interesadas

Gestión del proyecto: ¿Ha desarrollado y forjado el proyecto las alianzas adecuadas, tanto con las partes interesadas directas como con otros agentes tangenciales?

Participación y procesos impulsados desde el país: ¿Apoyan los gobiernos locales y nacionales los objetivos del proyecto? ¿Siguen teniendo un papel activo en la toma de decisiones del proyecto que contribuya a una ejecución eficiente y efectiva del mismo?

Participación y sensibilización pública: ¿Hasta qué punto ha contribuido la implicación y la sensibilización pública en el progreso realizado hacia el logro de los objetivos del proyecto?

Estándares sociales y ambientales (salvaguardias)

Validar los riesgos identificados en el SESP más reciente del proyecto y las categorizaciones de esos riesgos; ¿Se necesitan revisiones?

Resumir y evaluar las revisiones realizadas desde la aprobación del Endoso CEO (CEO Endorsement) si corresponde) para:

- La categorización de riesgos de las salvaguardias generales del proyecto.
- Los tipos de riesgos identificados (en el SESP).
- Las calificaciones de riesgos individuales (en el SESP).

Describa y evalúe el progreso realizado en la implementación de las medidas de gestión social y ambiental del proyecto, como se describe en el SESP presentado en la Aprobación del CEO (y preparado durante la implementación, si corresponde), incluida cualquier revisión de esas medidas. Estas medidas de gestión pueden incluir planes de gestión ambiental y social (PGAS) u otros planes de gestión, aunque también pueden incluir aspectos del diseño de un proyecto; consulte la Pregunta 6 de la plantilla del SESP para obtener un resumen de las medidas de gestión identificadas.

Un proyecto determinado debe evaluarse en función de la versión de la política de salvaguardias del PNUD que estaba en vigor en el momento de la aprobación del proyecto.

Información

- Analizar los mecanismos empleados por la Dirección del proyecto para informar de los cambios en la gestión adaptativa y comunicarlos al Consejo Directivo del Proyecto.
- Evaluar hasta qué punto el Equipo de Proyecto y sus socios llevan a cabo y cumplen con todos los requisitos de información del GEF (p.e: ¿qué medidas se han tomado para abordar los PIR con valoraciones bajas, cuando sea aplicable)?
- Evaluar cómo se han documentado y compartido las lecciones derivadas del proceso de gestión adaptativa con los socios clave y cómo han sido internalizadas por éstos.

Comunicación

- Examinar la comunicación interna del proyecto con las partes interesadas: ¿Existe una comunicación regular y efectiva? ¿Hay partes interesadas importantes que se quedan fuera de los canales de comunicación? ¿Existen mecanismos de retroalimentación cuando se recibe la comunicación? ¿Contribuye la comunicación con las partes interesadas a que estas últimas tengan una mayor concienciación respecto a los resultados y actividades del proyecto, y a un mayor compromiso en la sostenibilidad a largo plazo de los resultados del mismo?
- Examinar la comunicación externa del proyecto: ¿Se han establecido canales de comunicación adecuados –o se están estableciendo– para expresar el progreso del proyecto y el impacto público deseado (por ejemplo, ¿hay presencia en la Web)? ¿Llevó a cabo el proyecto campañas de comunicación y sensibilización pública adecuadas?
- A efectos informativos, redactar un párrafo de media página que resuma el progreso del proyecto hacia los resultados en términos de su contribución a la generación de beneficios relacionados con el desarrollo sostenible y el medio ambiente global.

iv. Sostenibilidad

Validar si los riesgos identificados en el Documento del Proyecto, el Examen Anual del Proyecto/PIR y el Módulo de Gestión de Riesgos del Sistema ERP del PNUD denominado ATLAS son los más importantes y si las valoraciones de riesgo aplicados son adecuadas y están actualizadas. En caso contrario, explicar por qué.

Asimismo, evaluar los siguientes riesgos a la sostenibilidad:

Riesgos financieros para la sostenibilidad

- ¿Cuál es la probabilidad de que se reduzca o cese la disponibilidad de recursos económicos una vez concluya la ayuda del GEF (teniendo en cuenta que los recursos potenciales pueden provenir de múltiples fuentes, como los sectores público y privado, actividades generadoras de ingresos y otros recursos que serán adecuados para sostener los resultados del proyecto)?

Riesgos sociales o políticos para la sostenibilidad

- ¿Existen riesgos sociales o políticos que puedan poner en peligro la sostenibilidad de los resultados del proyecto? ¿Cuál es el riesgo de que el nivel de propiedad e implicación de las partes interesadas (incluyendo el de los gobiernos y otras partes interesadas) sea insuficiente para sostener los resultados/beneficios del proyecto? ¿Son conscientes las diversas partes interesadas clave de que les interesa que los beneficios del proyecto sigan fluyendo? ¿Tienen el público y/o las partes interesadas un nivel de concienciación suficiente para apoyar los objetivos a largo plazo del proyecto? ¿Documenta el Equipo del Proyecto las lecciones aprendidas de manera continuada? ¿Se comparten/transfieren a los agentes adecuados que estén en posición de aplicarlas y, potencialmente, reproducirlas y/o expandirlas en el futuro?

Riesgos para la sostenibilidad relacionados con el marco institucional y la gobernabilidad:

- ¿Presentan los marcos legales, las políticas, las estructuras y los procesos de gobernabilidad riesgos que puedan poner en peligro la continuidad de los beneficios del proyecto? Al evaluar este

parámetro, es preciso tener en cuenta también si están instalados los sistemas/mecanismos requeridos para la rendición de cuentas, la transparencia y los conocimientos técnicos.

Riesgos medioambientales a la sostenibilidad

- ¿Hay algún riesgo medioambiental que pueda poner en peligro la continuidad de los resultados del proyecto?

Las escalas de las valoraciones tanto sobre el progreso en el logro de resultados, ejecución del proyecto y gestión adaptativa como sobre la sostenibilidad del proyecto que se detallan en la "Guía para la Realización del Examen de Mitad de Periodo en Proyectos Apoyados por el PNUD y Financiados por el GEF". Ver: <http://web.undp.org/evaluation/guidance.shtml#gef>.

Conclusiones y Recomendaciones

El/la Evaluador/a del MTR incluirá una sección en el informe donde se recojan las conclusiones obtenidas a partir de todos los datos recabados y pruebas realizadas.

Las recomendaciones deberán ser sugerencias sucintas para intervenciones críticas que deberán ser específicas, cuantificables, conseguibles y relevantes. Se deberá incluir una tabla de recomendaciones dentro del resumen ejecutivo del informe de evaluación. Para más información sobre la tabla de recomendaciones y Rastro de Auditoría, véase la Guía para la Realización del Examen de Mitad de Periodo en Proyectos Apoyados por el PNUD y Financiados por el GEF. Las recomendaciones del MTR deberían limitarse a 15 como máximo.

Valoraciones

El/la Evaluador/a del MTR incluirá sus valoraciones de los resultados del proyecto y breves descripciones de los logros asociados en una Tabla Resumen de Valoraciones y Logros en el Resumen Ejecutivo del Informe del MTR (Véase ToR **Anexo E** (Valoraciones del MTR) de la "Guía para la Realización del Examen de Mitad de Periodo en Proyectos Apoyados por el PNUD y Financiados por el GEF" para comprobar las escalas de valoración). No es necesario hacer una valoración de la Estrategia del Proyecto ni una valoración general del mismo.

Tabla 2. Resumen de valoraciones y logros del MTR Proyecto

Parámetro	Valoración MTR	Descripción del logro
Estrategia del proyecto	N/A	
Progreso en el logro de resultados	Valoración del grado de logro del objetivo. Valoración del grado de logro del Componente 1 (Calificar según escala de 6 pt.)	
	Valoración del grado de logro del objetivo. Valoración del grado de logro del Componente 2 (Calificar según escala de 6 pt.)	
	Valoración del grado de logro del objetivo. Valoración del grado de logro del Componente 3 (Calificar según escala de 6 pt.)	
Ejecución del proyecto y gestión adaptativa, monitoreo y evaluación	Calificar según escala de 6 pt.	
Sostenibilidad	Calificar según escala de 4 pt.	

* Ver **Anexo F**: Escala de Valoraciones de la MTR.

El informe no debería superar las 40 páginas en total (sin incluir los anexos).

4. Plazo del servicio

La duración total del MTR será de **85 días calendario**, contados a partir del día siguiente a la firma del contrato. El cronograma tentativo de la MTR es el siguiente:

Tabla 3. Cronograma provisional de ejecución del MTR

PERIODO DE EJECUCIÓN	ACTIVIDAD
A la fecha de firma del contrato	Inicio del Servicio Preparación del/ de la Evaluador/a del MTR (envío virtual de los Documentos por parte del Proyecto)
A los 10 días calendario de iniciado el servicio	Presentación del Informe de iniciación del MTR de manera <u>virtual</u> .
A los 14 días calendario de iniciado el servicio	Presentación del Informe Inicial con observaciones levantadas vía correo electrónico.
A los 16 días calendario de iniciado el servicio	Inicio de la Misión del MTR: reuniones y/o entrevistas virtuales con las partes interesadas, en base a un cronograma de 15 días de duración como máximo, elaborado en coordinación con el equipo del CFI.
A los 45 días calendario	Reunión virtual de cierre de la misión y presentación de los primeros hallazgos y conclusiones.
A los 55 días calendario	Presentación del borrador del informe final completo con anexos (vía electrónica)
A los 70 días calendario	Recepción de comentarios y/u observaciones recibidos al borrador del informe final por parte de los socios y partes interesadas del proyecto
A los 70 días calendario de iniciado el servicio	Presentación de la respuesta de la Dirección
A los 85 días calendario de iniciado el servicio	Presentación del Informe Final de MTR revisado con anexos (incluida versión en inglés y español) incluyendo el rastro de auditoría (ver Anexo H) donde se detalla cómo se ha abordado (o no) en el informe todos los comentarios recibidos por parte de los socios y/o actores claves del proyecto (vía electrónica)
A los 85 días calendario de iniciado el servicio	Fecha prevista de finalización definitiva de la MTR
En función de la fecha que se coordine con el socio implementador y las partes interesadas de proyecto	Presentación virtual del informe Final de MTR en el taller de conclusión con las partes interesadas

5. Productos

El/la evaluador/a será responsable de entregar los siguientes productos:

No.	Producto	Descripción	Plazo	Responsabilidades
1	Informe de Iniciación del MTR (en español)	El consultor del MTR clarifica los objetivos, alcances y métodos de la revisión de mitad de periodo. Explica cómo entiende el proyecto examinado, el enfoque aplicado, presenta su plan de trabajo propuesto, matriz de evaluación y criterios aplicados	A los 10 días calendario de iniciado el servicio de consultoría y una vez realizada la revisión documentaria del proyecto.	El/la Evaluador/a del MTR lo presenta de manera virtual, a la Unidad Adjudicadora (PNUD) y al equipo del Proyecto
2	Presentación de hallazgos iniciales	Conclusiones Iniciales	A los 45 días calendario de iniciado el servicio (Incluye los hallazgos de la misión y del trabajo de gabinete)	El/la Evaluador/a del MTR los presenta, virtualmente, ante la Unidad Adjudicadora (PNUD), la Dirección Nacional del Proyecto, el equipo del proyecto y las demás partes interesadas del proyecto
3	Presentación de Borrador de Informe final	Informe completo con Anexos (usar las directrices sobre el contenido recogidas en el ToR Anexo B de la Guía de la MTR, incluida la nueva plantilla de Co-financiamiento	A los 55 días calendario del inicio del servicio	El/la Evaluador/a del MTR lo presenta de manera virtual a la Unidad Adjudicadora (PNUD), la Dirección Nacional, el equipo del proyecto y demás partes interesadas del proyecto
4	Presentación del Informe Final	Informe completo revisado (usar las directrices sobre el contenido recogidas en el ToR Anexo B de la Guía de la MTR), incluyendo la prueba de auditoría donde se detalla cómo se ha abordado (o no) en el informe todos los comentarios recibidos por parte de los socios y/o actores claves del proyecto. Incluir la revisión de las Herramientas de Seguimiento del GEF (TT por sus siglas en inglés) y la matriz de evaluación. Este informe deberá ser elaborado en idioma español e inglés. Breve informe de la reunión virtual de presentación del MTR.	A los 85 días calendario del inicio del servicio.	Enviado al PNUD (oficinas de país y oficina regional), a la Dirección Nacional, al equipo del proyecto y demás partes interesadas del proyecto

Todos los productos deberán ser entregados de manera virtual.

6. Forma de Pago

Los pagos se realizarán vía transferencia bancaria, a la cuenta del titular del contrato, dentro de los 10 días calendarios siguientes a la recepción de la conformidad por parte de la Unidad Adjudicadora (Oficina PNUD Perú) previa entrega del recibo por honorario, factura o documento que haga su vez en su país de origen, de acuerdo con el siguiente cronograma:

Producto	Pago	Condición de Pago
Primer Producto	20%	A la conformidad del Informe inicial de la MTR
Segundo y Tercer Producto	40%	Presentación de primeros hallazgos y aprobación del borrador de informe de la MTR
Cuarto Producto	40%	A la aprobación del informe final de la MTR en versión inglés y español

En caso de existir observaciones a los informes presentados, el plazo se contabilizará a partir del levantamiento de estas.

7. Arreglos para el MTR

La responsabilidad principal en la gestión de la presente Evaluación de Medio Término (MTR) corresponde a la Unidad Adjudicadora de este proyecto que es la Oficina PNUD Perú, la misma que está conformada por el área de Planificación Estratégica, Programa y Adquisiciones. La Unidad Adjudicadora contratará al consultor/a, asegurará el suministro oportuno del paquete de información del proyecto y garantizará el pago oportuno de los productos entregados, previa conformidad. La Unidad Adjudicadora verificará los productos entregados por el consultor de manera que se garantice la calidad requerida y el cumplimiento de la **"Guía para la Realización del Examen de Mitad de Periodo en Proyectos Apoyados por el PNUD y financiados por el GEF"**.

La Unidad Adjudicadora será responsable de ponerse en contacto con el consultor a fin de proporcionarle el paquete de información y todos los documentos pertinentes del proyecto. Asimismo, la Unidad Adjudicadora proporcionará al/a evaluador/a una lista actualizada de partes interesadas con los datos de contacto (teléfono y correo electrónico). El equipo del proyecto apoyará al consultor en la elaboración de un cronograma y la organización y/o coordinación de entrevistas con las partes interesadas para lo cual se deberá considerar medidas ante el COVID-19, como el uso de herramientas tecnológicas y entrevistas virtuales.

El lugar de trabajado será remoto y el/la evaluador/a deberá contar con su propia laptop.

La Unidad Adjudicadora, desde el equipo del proyecto, deberá preparar y proporcionar al/a evaluador/a una lista actualizada de las partes interesadas del proyecto con los datos de contacto (teléfono y correo electrónico). El Equipo del proyecto será responsable de mantenerse en contacto con el/la evaluador/a para organizar entrevistas con las partes interesadas, elaborando un cronograma.

Detrás de esta guía hay un principio de "no hacer daño" y una consideración de que la seguridad del personal, consultores, partes interesadas y comunidades es primordial y la principal preocupación de todos al planificar e implementar evaluaciones durante la crisis de COVID-19.

Todos los costos para la organización de reuniones y talleres deberán ser asumidos por el consultor.

8. Perfil característico de la(s) persona(s) Naturales a contratar

El Consultor/a no podrá haber participado en la preparación, formulación y/o ejecución del proyecto (incluyendo la redacción del Documento del Proyecto) y no deberá tener un conflicto de intereses con las actividades relacionadas con el mismo.

El/la Evaluador(a) firmará el Formulario del Acuerdo del Código de Conducta del Consultor de Evaluación¹⁶ (**Anexo E**).

Formación Académica

- Maestría culminada en medio ambiente, ciencias, ingenierías, economía u otro campo afín.
- Deseable especialización, o curso, o seminario, relacionado a: cambio climático, adaptación/mitigación, planificación del territorio, entre otros.
- Dominio del español escrito, leído y hablado, dominio de inglés escrito y leído.

Experiencia Profesional

- Al menos 7 años de experiencia en temas relacionados a cambio climático, adaptación/ mitigación, planificación del territorio, entre otros, conservación de ecosistemas, biodiversidad. Se valorará experiencia en poblaciones indígenas.
- Experiencia liderando al menos tres evaluaciones, similares a la presente, realizadas en proyectos o programas vinculados a cualquiera de los siguientes temas: a cambio climático, adaptación/mitigación, planificación del territorio, entre otros., conservación de ecosistemas, biodiversidad.
- Experiencia de al menos un servicio de trabajo con el GEF y/o con evaluaciones realizadas a proyectos financiados por el GEF. Se valorará si alguno de los proyectos fue implementado por el PNUD.
- 5 años en experiencia en la aplicación de indicadores SMART, ya sea en el marco del diseño, monitoreo o implementación de proyectos y reconstrucción o validación de escenarios iniciales (líneas de base).
- Deseable experiencia en evaluaciones y análisis sensibles a la interculturalidad y enfoque de género.

Se requiere que el/la candidato/a seleccionado/a tenga disponibilidad inmediata para realizar la consultoría.

9. Anexos

Se adjunta los siguientes anexos:

- Anexo A: Lista de documentos a revisar por parte del/la consultor/a
- Anexo B: Lista de actores a entrevistar
- Anexo C: Estructura del informe final
- Anexo D: Modelo de plantillas para la matriz de evaluación de la MTR
- Anexo E: Código de Conducta de UNEG para evaluadores de la MTR
- Anexo F: Escala de valoraciones (calificaciones) de la MTR
- Anexo G: Formulario de autorización del informe de la MTR
- Anexo H: Formato de Rastro de Auditoría de la MTR

7.2 Annex 2: Project Logical/Results Framework progress

Project strategy	Indicator	Base Line	Target Mid-term	Targets at the end of the project	Progress to MTR	Assessment of achievements	Justification of the assessment
<p>Project Objective: To generate multiple global environmental benefits through the application of an integrated approach to the management of Amazonian landscapes</p>	Total area of landscapes covered by improved planning and governance frameworks ⁸	<ul style="list-style-type: none"> La ZEE se ha desarrollado a nivel intermedio (pendiente de aprobación) en todo el paisaje (2,17 millones de ha)⁵ Huánuco y Ucayali cuentan con ZEE aprobado y concluido. Ninguna zona ha tenido ni ordenamiento territorial ni microzonificación (para más información véase el Prodoc). 	<ul style="list-style-type: none"> 40% of area of target landscapes (0.9 million ha) 	<ul style="list-style-type: none"> 80% of area of target landscapes (1.8 million ha) covered by a combination of management, planning and governance instruments, incorporating considerations of biodiversity conservation and sustainable use: <ul style="list-style-type: none"> ZEE, territorial land use planning Microzoning and forest zoning in selected areas Regional and local development plans Monitoring and governance 	<ul style="list-style-type: none"> 22% 	Moderately Unsatisfactory	There is a risk of not meeting 100% of the proposed goal.

				mechanisms and capacities																																
Area of of farming systems in the target landscapes managed to favour biodiversity, sustainable and management and ecosystem services (including reductions in carbon emissions)	Baseline area figures not available: 191 farmers (1.9% of the total) had organic certification in 2012 (156 in cacao, 15 in coffee, 13 in oil palm). Numbers of farms with Rainforest Alliance, Utz and other forms of certification to be determined at project	200ha in pilots 2,500ha elsewhere	500ha through support in pilots 10,000ha elsewhere in the target landscapes as a result of wareness and capacity development, strengthening of technical support systems, improved access to market and financial incentives, and improved private sector support to producers.	285 pilot actions involving 320 producers on 567.5 ha are currently underway; and 420 additional pilot actions involving 420 producers on 900 ha are being designed.	Moderately Satisfactory	The indicator is likely to meet the target																														
Reduction in rates of loss of forest cover in the target area, by forest type1011	Without project conversion of forest to annual crops, cacao, oil palm and pasture, mid-2017 to mid-2023: Forest type: <table border="1"> <thead> <tr> <th>Forest type</th> <th>ha</th> </tr> </thead> <tbody> <tr> <td>Primary</td> <td>99,060</td> </tr> <tr> <td>Logged</td> <td>89,791</td> </tr> <tr> <td>Secondary</td> <td>30,893</td> </tr> <tr> <td>Total</td> <td>219,744</td> </tr> </tbody> </table>	Forest type	ha	Primary	99,060	Logged	89,791	Secondary	30,893	Total	219,744	Avoided conversion of forest to annual crops, cacao, oil palm and pasture: <table border="1"> <thead> <tr> <th>Forest type</th> <th>ha</th> </tr> </thead> <tbody> <tr> <td>Primary</td> <td>10,000</td> </tr> <tr> <td>Logged</td> <td>10,000</td> </tr> <tr> <td>Secondary</td> <td>2,000</td> </tr> <tr> <td>Total</td> <td>22,000</td> </tr> </tbody> </table>	Forest type	ha	Primary	10,000	Logged	10,000	Secondary	2,000	Total	22,000	Avoided conversion of forest to annual crops, cacao, oil palm and pasture, mid-2017 to mid-2023: <table border="1"> <thead> <tr> <th>Forest type</th> <th>ha</th> </tr> </thead> <tbody> <tr> <td>Primary</td> <td>22,592</td> </tr> <tr> <td>Logged</td> <td>19,627</td> </tr> <tr> <td>Secondary</td> <td>6,179</td> </tr> <tr> <td>Total</td> <td>48,398</td> </tr> </tbody> </table>	Forest type	ha	Primary	22,592	Logged	19,627	Secondary	6,179	Total	48,398	Not reported	It was not possible to evaluate the indicator	It was not possible to evaluate the indicator
Forest type	ha																																			
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Total	48,398																																			
Net avoided emissions	Without project carbon balance over project	Net avoided emissions as a	Net avoided emissions as a	Not reported	It was not possible to	It was not possible to																														

	in the target area, resulting from avoided deforestation and degradation, and the improved management of production systems	period: 58,687,336tCO ₂ eq net GHG loss (based on ExACT)	result of the project: 7,000,000tCO ₂ eq	result of the project: 15,796,553tCO ₂ (based on ExACT)		evaluate the indicator	evaluate the indicator
	Number of people (by gender and ethnicity) obtaining net livelihood benefits as a result of the application of sustainable forms of production and resource management ¹⁴	To be confirmed through household surveys and focus groups. In the target area, the number of farmers or “producers” is approximately 16,100 (2012) and the population of inhabitants of indigenous communities is 5,000 (2015).	- 2,000 small producers - 300 members of indigenous communities	Increased levels of livelihood benefits as a result of the increased application of practices that contribute to environmental sustainability and landscape stability, in: - 6,000 small producers - 700 members of indigenous communities	3%	Unsatisfactory	Despite such a low level of progress, it is possible to achieve significant progress since the intervention will generate replications and therefore reach more beneficiaries.
Component 1: Improved policy planning and governance to reduce deforestation and enhance sustainable production	Outcome 1.1: Land-use policy and planning strengthened and aligned, including the approach of landscape sustainability, resilience and inclusiveness						
	Number of land-use policy and planning instruments developed and aligned, including the approach of landscape	Mesolevel zoning completed No forestry zoning No microzoning to date 10 indigenous life plans Regional Development Plans, Local Development Plans	<ul style="list-style-type: none"> 1 Regional Development Plans, 7 Local Development Plans, covering the whole project area. 	<ul style="list-style-type: none"> 2 Regional Development Plans and 10 Local Development Plans, covering the whole project area 2 Sector Development 	Overall progress of 36%. Detailed progress is as follows: - PDRC Ucayali 30%. - PDRC Huanuco	Moderately Satisfactory	The indicator shows that it is capable of reaching the proposed goal.

	sustainability, resilience and inclusiveness	and Sector Development Plans make reference to environmental issues but do not specifically provide for an integrated approach to the management of production landscapes	<ul style="list-style-type: none"> Plans - 65,000 ha covered by microzoning 8 additional indigenous life plans 	Plans <ul style="list-style-type: none"> 100,000 ha covered by microzoning, focused on priority localities 12 additional indigenous life plans 	35%. <ul style="list-style-type: none"> - Forest zoning in the province of Puerto Inca 63%. - Community Life Plans (PLLC) in 12 indigenous communities 21%. - CDLCPs at the provincial (Puerto Inca) and district (Yuyapichis, Codo del Pozuzo, Neshuya, Curimana and Irazola) levels 0%. - Cocoa and Chocolate Plan: 95%. - Palm Plan: 40%. 		
Outcome 1.2: Landscape governance strengthened for public policy development, land use management and participatory decision making							
	Degree of implementation of sector action plans developed by public and private sector multi-	N/A	Two sector action plans with at least 25% achievement of targets related to environmental sustainability	Two sector action plans with at least 50% achievement of targets related to environmental sustainability	Overall progress of 12%.	Moderately Unsatisfactor y	Despite showing little progress, there is a possibility of meeting the goal.

	stakeholder platforms ¹⁷						
	Levels of direct participation of different stakeholder groups (including women and indigenous people) in participation structures at regional and local levels taking decisions related to the sustainable, integrated and inclusive management of landscapes	Baseline value to be determined at project start	Target to be defined at project start	Target to be defined at project start	Overall progress of 41,6%.	Satisfactory	The indicator shows that it is capable of reaching the proposed goal.
	Multistakeholder capacities improved for the planning and sustainable management of landscapes	Institutional capacities are weak CAR, CAM are not activated or not performing their role	Capacities of 40 stakeholders being strengthened	At least 60 public and private stakeholders at national, regional and local levels with strengthened capacities in support of sustainable landscape management, including Ministries, regional and local governments in	Overall progress of 23%.	Moderately Satisfactory	Despite showing little progress, there is a possibility of meeting the goal.

				the Amazon basin, natural resource authorities, CAR, CAM, native communities, producer organizations, technical support			
Outcome 1.3: Monitoring and enforcement capacities strengthened							
Implementation of land-use change approval process according to zoning and transparently	Land-use change approval process is not in TUPA of Ucayali and Huanuco regions Authorities are not fully aware of the process and their competencies, resulting in illegal deforestation, especially in large areas.	Land-use change approval process is in TUPA of Ucayali and Huanuco regions	MINAM/ARRFS/ATTFFS/SERFOR/MINAGRI have the tools, procedures and capacity to apply land-use change approval process adequately, lowering the risk of illegal (or wrongly approved) land-use change	Overall progress of 13.5%.	Moderately Unsatisfactory	There is a risk of not meeting 100% of the proposed goal.	
% of the unauthorised land use changes detected with monitoring system that result in effective institutional responses	Forestry infractions between 2010 and 2016: Ucayali: 197; Huanuco: 330. Source: http://www.serfor.gob.pe/centro-de-información/registros-nacionales/registro-nacional-de-infraestructores To be confirmed at Project start from SERFOR, OSINFOR	10% increase over baseline percentage	30% increase over baseline percentage	Overall progress of 10%.	Moderately Unsatisfactory	There is a risk of not meeting 100% of the proposed goal.	

		and regional governments					
	Outcome 1.4: Public finance flows increased to sustain effective territorial governance						
	Amount of public funds at national and regional levels committed and disbursed in support of sustainable landscape management, including biodiversity conservation, ecosystem services and sustainable agricultural production models ¹⁸	Regional and local governments in the target area have investment projects related to production chains for a value of US\$49 million, of which US\$33 million is yet to be executed	In the Amazon in general: - US\$100 million committed - US\$4 million disbursed	In the Amazon in general: - US\$200 million committed - US\$12 million disbursed	Overall progress of 11%.	Moderately Unsatisfactory	There is a risk of not meeting 100% of the proposed goal.
Component 2: Financial	Outcome 2.1: Green commodity value chains have provided incentives to farmers for sustainable production						

mechanisms and market incentives promote sustainable production practices	Volume of products commercialized in the target landscapes that respond to sustainable production criteria, measured by compliance with sustainability criteria agreed by sector platforms and/or third party certification	Sustainability criteria not yet agreed - 191 farms (1.2% of total) with organic certification in 2012 (CENAGRO)	- 10% of cocoa, oil palm and coffee production in the target landscape complies with platform criteria - 30% increase in volume of cocoa, oil palm and coffee with some form of third-party certification (e.g. organic, Rainforest Alliance, Utz, Landscapes)	- 20% of cocoa, oil palm and coffee production in the target landscape complies with platform criteria - 50% increase in volume of cocoa, oil palm and coffee with some form of third-party certification (e.g. organic, Rainforest Alliance, Utz, Landscapes)	Overall progress of 15%.	Moderately Unsatisfactory	There is a risk of not meeting 100% of the proposed goal.
Outcome 2.2 Other sustainable economic activities in landscapes supported and linked to markets							
Number of viable business plans for sustainable economic activities developed and implemented	0	Viable business plans implemented for at least three sustainable economic activities, with benefits for men and women.	Viable business plans developed and implemented for at least three sustainable economic activities, with benefits for men and women.	Overall progress of 5%.	Unsatisfactory	There is a risk of not reaching the goal	
Volume of credit, incentives and insurance, by number of farmers and area covered, disbursed to benefit	To be determined at Project start (there are two REDD projects covering the Project area but no conditional direct transfers)	US\$15 million in the Peruvian Amazon as a whole; numbers of farmers and gender breakdown to be determined at Project start	US\$40 million in the Peruvian Amazon as a whole; numbers of farmers and gender breakdown to be determined at project start	Overall progress of 42%.	Moderately Satisfactory	The indicator shows that it is capable of achieving the proposed goal	

	sustainable resource management practices or subject to criteria of environmental sustainability						
Component 3: Technical capacity installed to restore and sustain ecosystem services in target landscape	Number of actors that learn about sustainable management practices and their benefits as a result of the pilots ²⁰	0	Experiences, including those developed by women, demonstrated in pilots to 500 actors with potential to replicate and/or disseminate them	Experiences, including those developed by women, demonstrated in pilots to 1,500 actors with potential to replicate and/or disseminate them	Overall progress of 21%.	Moderately Unsatisfactory	There is a risk of not meeting 100% of the proposed goal.
	Numbers of farmers (male and female) in target areas receiving technical and financial support for the application of sustainable management practices ²¹ , and applying enterprise and organizational development plans necessary for these practices	In 2012 (CENAGRO): - There are 16,120 farmers in the target area - In 2012 2,488 male farmers (18.9% of the total) and 531 women (18% of women farmers) received technical training or business advice - 1,961 farmers were receiving finance	- 2,000 farmers receive technical assistance (1,640 men and 360 women) for the application of sustainable management practices - 1,000 farmers receive financial assistance for the application of sustainable management practices - 5,000 farmers are implementing	- 4,550 farmers receive technical assistance (3,350 men and 1,200 women) for the application of sustainable management practices - 3,000 farmers receive financial assistance for the application of sustainable management practices - 1,000 farmers are implementing necessary	Overall progress of 19%.	Moderately Unsatisfactory	There is a risk of not meeting 100% of the proposed goal.

	to be viable and sustainable		necessary enterprise and organizational development plans	enterprise and organizational development plans			
	Number of farmers (of those who receive technical assistance), by area and gender, with increases in per hectare productivity levels due to the application of the sustainable management practices promoted by the project	Baseline productivity levels for participating farmers to be determined at project start.	40% of supported producers (male and female) are applying sustainable practices	25% of supported farmers (male and female) increase their productivity by at least 20% (in terms of productivity or profitability)	Overall progress of 16%.	Moderately Unsatisfactory	There is a risk of not meeting 100% of the proposed goal.
	Area of degraded landscapes subject to restoration and/or conservation in order to restore ecosystem services, with provisions for sustainability of management ²²	- Restoration: 0ha Conservation: - 125,000ha of Pas - 25,000ha of conservation concessions - 128 ha of private conservation areas - 9,000 ha of regional conservation areas proposed	Restoration: 1,500ha Conservation: 1,500ha increase	Restoration: 4,000ha Conservation: 4,000ha increase	Overall progress of 21%.	Moderately Unsatisfactory	There is a risk of not meeting 100% of the proposed goal.

	Numbers of institutions that receive publications and communication products aimed at improving knowledge and practices of sustainable management of Amazonian landscapes	0	40	100	Overall progress of 36%.	Satisfactory	The indicator shows that it is capable of reaching the proposed goal.
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7.3 Annex 3: Evaluation Design Matrix - Questions, Data Sources and Collection

Evaluative Questions	Indicators	Sources	Methodology
Relevance			
Does the project's objective align with the priorities of the local government and local communities?	Level of coherence between project objective and stated priorities of local stakeholders	- Local stakeholders - Document review of local development strategies, environmental policies, etc.	- Desk review
Does the project's objective fit within the national environment and development priorities?	Level of coherence between project objective and national policy priorities and strategies, as stated in official documents	National policy documents, such as National Biodiversity Strategy and Action Plan, National Capacity Self-Assessment, etc.	- Desk review - National level interviews
Did the project concept originate from local or national stakeholders, and/or were relevant stakeholders sufficiently involved in project development?	Level of involvement of local and national stakeholders in project origination and development (number of meetings held, project development processes incorporating stakeholder input, etc.)	- Project staff - Local and national stakeholders - Project documents	- Desk review
Does the project objective fit GEF strategic priorities?	Level of coherence between project objective and GEF strategic priorities (including alignment of relevant focal area indicators)	- GEF strategic priority documents for period when project was approved - Current GEF strategic priority documents	- Desk review
Was the project linked with and in-line with UNDP priorities and strategies for the country?	Level of coherence between project objective and design with UNDAF, CPD	- UNDP strategic priority documents	- Desk review
How relevant and effective has this project's strategy and architecture been? Is it relevant? Has it been effective? Does it need to change?	- Links to international commitments and national policy documents, relationships established, level of coherence between project design and implementation approach.	- Project documents - National policies or strategies, websites, project staff, project partners - Data collected throughout the mission	- Desk study - Interview with project staff - Observation - Focus groups

Evaluative Questions	Indicators	Sources	Methodology
What are the decision-making processes -project governance oversight and accountabilities?	- Roles and Responsibilities of stakeholders in project implementation. - Partnership arrangements.	- Project documents - National policies or strategies, websites, project staff, project partners - Data collected throughout the mission	- Desk study - Interview with project staff - Observation - Focus groups
What extent does the project contribute towards the progress and achievement of the Sustainable Development Goals (SDG)?	Project alignment with the SDGs	- Project documents	- Desk study
What extent does the Government support (or not support) the Project, understand its responsibility and fulfill its obligations?	Meetings of the Project Board, Technical Team, Consultation Groups	- Minutes - Project documents	- Desk study
Effectiveness			
Are the project objectives likely to be met? To what extent are they likely to be met?	Level of progress toward project indicator targets relative to expected level at current point of implementation	- Project documents - Project staff - Project stakeholders	- Desk review
What are the key factors contributing to project success or underachievement?	Level of documentation of and preparation for project risks, assumptions and impact drivers	- Project documents - Project staff - Project stakeholders	- Desk review
What are the key risks and barriers that remain to achieve the project objective and generate Global Environmental Benefits?	Presence, assessment of, and preparation for expected risks, assumptions and impact drivers	- Project documents - Project staff - Project stakeholders	- Desk review
Are the key assumptions and impact drivers relevant to the achievement of Global Environmental Benefits likely to be met?	Actions undertaken to address key assumptions and target impact drivers	- Project documents - Project staff - Project stakeholders	- Desk review

Evaluative Questions	Indicators	Sources	Methodology
<p>What has been (to date) this projects progress towards the expected results and log frame indicators?</p> <p>How do the key stakeholders feel this project has progressed towards the outcome level results (as stated in the original documents- inception report)?</p>	<ul style="list-style-type: none"> - Progress toward impact achievements - Results of Outputs 	<ul style="list-style-type: none"> - Project documents - Project staff - Project stakeholders 	<ul style="list-style-type: none"> - Desk review - Consultation with Project Board Members - PMU - Field Observation and discussion with beneficiaries
<p>What has been the progress to date and how has it led to, or could in the future catalyze beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved governance etc...).</p> <p>How cross cutting areas been included in the project are results framework and monitored on an annual basis?</p>	<ul style="list-style-type: none"> - Stakeholder involvement effectiveness - Gender gap - Plans and policies incorporating initiatives - Record of comments and response of stakeholders - Positive or negative effects of the project on local populations. 	<ul style="list-style-type: none"> - Project documents - Project staff - Project stakeholders 	<ul style="list-style-type: none"> - Desk review - Consultation with Project Board Members - PMU - Field Observation and discussion with beneficiaries
<p>What does the GEF Tracking Tool at the Baseline indicate when compared with the one completed right before the Terminal Review.</p>	<ul style="list-style-type: none"> - GEF Tracking Tools status at the closure of the project. 	<ul style="list-style-type: none"> - Project documents - Project staff - Project stakeholders 	<ul style="list-style-type: none"> - Desk review
<p>What are the remaining barriers to achieving the expected results as told by stakeholders interviewed?</p>	<ul style="list-style-type: none"> - Number of barriers in the project 	<ul style="list-style-type: none"> - Project documents - Project staff - Project stakeholders 	<ul style="list-style-type: none"> - Desk review
<p>What aspects of this project s implementation approach (pilots) (enabling activities) has been particularly successful or negative (as told by consults)</p>	<ul style="list-style-type: none"> - Number of project achievements - Progress toward impact achievements. 	<ul style="list-style-type: none"> - Project documents - Project staff - Project stakeholders 	<ul style="list-style-type: none"> - Desk review

Evaluative Questions	Indicators	Sources	Methodology
and how might the project stakeholders further expand or correct these benefits.			
Do the results framework indicators have a SMART focus?	Results framework indicators	M&E reports	- Desk review
Are the mid-term and end-of-project goals achievable?	% of results and results achieved: Progress towards the results framework	- M&E reports - ProDoc	- Desk review
Efficiency			
Is the project cost-effective?	- Quality and adequacy of financial management procedures (in line with UNDP, UNOPS, and national policies, legislation, and procedures) - Financial delivery rate vs. expected rate - Management costs as a percentage of total costs	- Project documents - Project staff	- Desk review
Are expenditures in line with international standards and norms?	Cost of project inputs and outputs relative to norms and standards for donor projects in the country or region	- Project documents - Project staff	- Interviews with project staff - Desk review
Is the project implementation approach efficient for delivering the planned project results?	- Adequacy of implementation structure and mechanisms for coordination and communication - Planned and actual level of human resources available - Extent and quality of engagement with relevant partners / partnerships - Quality and adequacy of project monitoring mechanisms (oversight bodies' input, quality and timeliness of reporting, etc.)	- Project documents - National and local stakeholders - Project staff	- Desk review - Interviews with project staff - Interviews with national and local stakeholders

Evaluative Questions	Indicators	Sources	Methodology
Is the project implementation delayed? If so, has that affected cost-effectiveness?	<ul style="list-style-type: none"> - Project milestones in time - Planned results affected by delays - Required project adaptive management measures related to delays 	<ul style="list-style-type: none"> - Project documents - Project staff 	<ul style="list-style-type: none"> - Desk review - Interviews with project staff
What is the contribution of cash and in-kind co-financing to project implementation?	Level of cash and in-kind co-financing relative to expected level	<ul style="list-style-type: none"> - Project documents - Project staff 	<ul style="list-style-type: none"> - Desk review - Interviews with project staff
To what extent is the project leveraging additional resources?	Amount of resources leveraged relative to project budget	<ul style="list-style-type: none"> - Project documents - Project staff 	<ul style="list-style-type: none"> - Desk review - Interviews with project staff
What is project related progress in the following 'implementation' categories?	<ul style="list-style-type: none"> - Number of project achievements 	<ul style="list-style-type: none"> - Project documents - Project staff 	<ul style="list-style-type: none"> - Desk review - Interviews with project staff
Management Arrangements and Implementation Approach (including any evidence of Adaptive management and project coordination and km with pilots)	<ul style="list-style-type: none"> - Project management and coordination effectiveness - Number of project achievements in pilots 	<ul style="list-style-type: none"> - Project documents - Project staff 	<ul style="list-style-type: none"> - Desk review - Interviews with project staff
How has the finances been managed, delivered and spent per outputs per year. What percentage is delivered to date? Is it low?	<ul style="list-style-type: none"> - Percentage of expenditures in proportion with the results - Financial Systems and effectiveness transparency 	<ul style="list-style-type: none"> - Project documents - Project staff 	<ul style="list-style-type: none"> - Desk review
Results			
Have the planned outputs been produced? Have they contributed to the project outcomes and objectives?	<ul style="list-style-type: none"> - Level of project implementation progress relative to expected level at current stage of implementation - Existence of logical linkages between project outputs and outcomes/impacts 	<ul style="list-style-type: none"> - Project documents - Project staff - Project stakeholders 	<ul style="list-style-type: none"> - Desk review

Evaluative Questions	Indicators	Sources	Methodology
Are the anticipated outcomes likely to be achieved? Are the outcomes likely to contribute to the achievement of the project objective?	Existence of logical linkages between project outcomes and impacts	- Project documents - Project staff - Project stakeholders	- Desk review
Are impact level results likely to be achieved? Are the likely to be at the scale sufficient to be considered Global Environmental Benefits?	- Environmental indicators - Level of progress through the project's Theory of Change	- Project documents - Project staff - Project stakeholders	- Desk review
Sustainability			
To what extent are project results likely to be dependent on continued financial support? What is the likelihood that any required financial resources will be available to sustain the project results once the GEF assistance ends?	- Financial requirements for maintenance of project benefits - Level of expected financial resources available to support maintenance of project benefits - Potential for additional financial resources to support maintenance of project benefits	- Project documents - Project staff - Project stakeholders	- Desk review
Do relevant stakeholders have or are likely to achieve an adequate level of "ownership" of results, to have the interest in ensuring that project benefits are maintained?	Level of initiative and engagement of relevant stakeholders in project activities and results	- Project documents - Project staff - Project stakeholders	- Desk review
Do relevant stakeholders have the necessary technical capacity to ensure that project benefits are maintained?	Level of technical capacity of relevant stakeholders relative to level required to sustain project benefits	- Project documents - Project staff - Project stakeholders	- Desk review
To what extent are the project results dependent on socio-political factors?	Existence of socio-political risks to project benefits	- Project documents - Project staff - Project stakeholders	- Desk review
To what extent are the project results dependent on issues	Existence of institutional and governance risks to project benefits	- Project documents - Project staff - Project stakeholders	- Desk review

Evaluative Questions	Indicators	Sources	Methodology
relating to institutional frameworks and governance?			
Are there any environmental risks that can undermine the future flow of project impacts and Global Environmental Benefits?	Existence of environmental risks to project benefits	- Project documents	- Desk review
What are the financial risks to sustainability?	Financial risks;	- Project documents	- Desk review
What are the Socio-economic risks to sustainability?	Socio-economic risks and environmental threats.	- Project documents	- Desk review
Institutional framework and governance risks to sustainability?	- Institutional and individual capacities	- Project documents	- Desk review
Gender equality and women's empowerment			
How did the project contribute to gender equality and women's empowerment?	Level of progress of gender action plan and gender indicators in results framework	- Project documents - Project staff - Project stakeholders	- Desk review
In what ways did the project's gender results advance or contribute to the project's biodiversity outcomes?	Existence of logical linkages between gender results and project outcomes and impacts	- Project documents - Project staff - Project stakeholders	- Desk review
Were women's groups, NGOs, civil society orgs and women's ministries adequately consulted and involved in project design? If not, should they have been?	Existence of logical linkages between gender results and project outcomes and impacts	- Project documents - Project staff - Project stakeholders	- Desk review
Were stakeholder engagement exercises gender responsive?	Existence of logical linkages between gender results and project outcomes and impacts	- Project documents - Project staff - Project stakeholders	- Desk review
For any stakeholder workshops, were women-only sessions held, if appropriate, and/or were other considerations made to ensure	Existence of logical linkages between gender results and project outcomes and impacts	- Project documents - Project staff - Project stakeholders	- Desk review

Evaluative Questions	Indicators	Sources	Methodology
women's meaningful participation?			
Cross-cutting and UNDP Mainstreaming Issues			
How were effects on local populations considered in project design and implementation?	Positive or negative effects of the project on local populations.	- Project documents - Project staff - Project stakeholders	- Desk review
Extent to which the allocation of resources to targeted groups takes into account the need to prioritize those most marginalized.	Positive or negative effects of the project on local populations.	- Project documents - Project staff - Project stakeholders	- Desk review
Positive or negative effects of the project on local populations (e.g. income generation/job creation, improved natural resource management arrangements with local groups, improvement in policy frameworks for resource allocation and distribution, regeneration of natural resources for long term sustainability).	Positive or negative effects of the project on local populations.	- Project documents - Project staff - Project stakeholders	- Desk review
Extent to which the project objectives conform to agreed priorities in the UNDP Country Programme Document (CPD) and other country programme documents.	Links between the project and the priorities of the UNDP Country Program.	- Project documents - Project staff - Project stakeholders	- Desk review
Whether project outcomes have contributed to better preparations to cope with disasters or mitigate risk	Risk mitigation	- Project documents - Project staff - Project stakeholders	- Desk review

Evaluative Questions	Indicators	Sources	Methodology
Extent to which poor, indigenous, persons with disabilities, women and other disadvantaged or marginalized groups benefited from the project	Positive or negative effects of the project on local populations.	- Project documents - Project staff - Project stakeholders	- Desk review
The poverty-environment nexus: how the environmental conservation activities of the project contributed to poverty reduction	Positive or negative effects of the project on local populations.	- Project documents - Project staff - Project stakeholders	- Desk review

- In your opinion, list what may be the lessons learned and that should / may be corrected in the future
- What recommendations would you make to improve the projet implementation, results or impacts of the project?

7.4 Annex 4: Midterm Review Data Request Checklist

N	Nombre
1	Project Form (PIF)
2	UNDP Initiation Plan
3	Final UNDP Project Document (PRODOC)
4	UNDP Environmental and Social Screening results
5	Project Inception Report
6	Progress reports (quarterly, semi-annual, or annual) with associated project work plans and financial report
7	All Project Implementation Reports (PIRs)
8	Quarterly progress reports and work plans of the various implementation task teams
9	Actual expenditures by project outcome, including management costs, and including documentation of any significant budget revisions
10	Co-financing table with expected and actual totals broken out by cash and in-kind, and by source, if available
11	Audit reports, electronic copies if available
12	Electronic copies of finalized relevant GEF tracking tools from CEO endorsement and midterm.
13	Oversight mission reports
14	Financial and Management Guidelines Used by the Project Team
15	Minutes of the Project Board meetings
16	Country Program Document (PCP) 2017-2021
17	Project deliverables that provide documentary evidence of the achievement of project results
18	Maps of location sites, as necessary
19	Minutes of the Project Board meetings or other meetings (i.e. Project Appraisal Committee meetings)
20	Other management related documents: adaptive management reports, management memos
21	Electronic copies of project products: newsletters, brochures, manuals, technical reports, articles, etc.
22	Any available information on relevant environmental monitoring data (species indicators, etc.), beyond what is available on indicators in logframe in PIRs
23	Any relevant socio-economic monitoring data, such as average incomes / employment levels of stakeholders in the target area, change in revenue related to project activities
24	List of related projects/initiatives contributing to project objectives approved/started after GEF project approval
25	Data on relevant project website activity – e.g. number of unique visitors per month, number of page views, etc. over relevant time period, if available

7.5 Annex 5: MTR Ratings

Ratings for Progress Towards Results: (one rating for each outcome and for the objective)		
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 (HU)	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

Ratings for Project Implementation & Adaptive Management		
6	Highly Satisfactory (HS)	Implementation of all seven components – management arrangements, work planning, finance and cofinance, 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 (HU)	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..

Ratings for Sustainability:

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

7.6 Annex 6: Interviews list and schedule

The list of strategic partners interviewed is presented below:

Tabla 6. Strategic partners identified

Date and time	Interviewed	Role / Institution
22/julio/2021 11:00 – 13: 00	Project team	
22/julio/2021 16:00 – 17: 00	Amalia Cuba	General Director of Natural Resources Strategies Ministry of Environment
23/julio/2021 09:00 – 10: 00	Rudy Valdivia	Asesor National Forest Conservation Program
23/julio/2021 10:00 – 11: 00	Luis Marino	General Director of Economy and Environmental Financing Ministry of Environment
26/julio/2021 09:00 – 10: 00	Elvis García	General Director of Agrarian Policy Ministry of Agrarian Development and Irrigation
26/julio/2021 10:30 – 11: 30	Augusto Aponte	Agricultural General Director Ministry of Agrarian Development and Irrigation
02/agosto/2021 15:00 – 16: 00	Luis Briceño	Governor of Huánuco Principal Advisor Regional Government of Huánuco
03/agosto/2021 09:00 – 10: 00	Vicente Núñez	Economic Development Regional Manager Regional Government of Ucayali
03/agosto /2021 16:00 – 17: 00	Lisette Rengifo	Under Manager of Strategic Planning and Statistics Regional Government of Ucayali
03/agosto/2021 17:00- 18:00	César	Planning Under Manager Regional Government of Huánuco
04/agosto /2021 17:00 – 18: 00	Josue Jumanga	President Federation of Native Communities of Ucayali and Tributaries-FECONAPIA
05/agosto /2021	Querwin Cruz	President

09:00 – 10: 00		Federation of Native Communities of the Aguaytía River Basin- FECONASHCRA
06/agosto /2021 09:00 – 10: 00	Luis Collado	Agreement with Catie Coordinator CATIE
06/agosto /2021 12:30 – 13: 30	Gilbert Bustamante	Advisory Services Manager, South America Root Capital Representative ACCDER / ROOT CAPITAL
06/agosto /2021 15:00 – 16: 00	Néstor Sánchez	President Peruvian Oil Palm National Board - JUMPALMA
09/agosto /2021 09:00 – 10: 00	Oscar Neyra	President COCEPU / OLAMSA
09/agosto /2021 14:00 – 15: 00	Samir Ghia	President Association for the Promotion of Peruvian Chocolate - APROCHOC

Elaboración: José Galindo, 2021

7.7 Annex 7: Comparative Matrix of Findings, Conclusions and Recommendations

Finding	Conclusion	Recommendation
<p>The project concept is nested around the COP 20 on Climate Change in 2014 and also is enrolled within the National Strategy for Forests and Climate Change identified priorities.</p>	<p>The project is highly relevant and appropriated for Peru, it is considered a great boost to the implementation of both the National Climate Change Strategy and the ENBCC, since it addresses value chains associated with deforestation, which are relevant for 4 NAMAS in the Amazon (cocoa, coffee, palm and livestock).</p>	<p>N/A</p>
<p>PPS is particularly ambitious. Its budget involves an annual execution of around USD 4 million, the number of results and differentiated areas of intervention, participation of non-traditional actors in conservation projects such as the productive and financial sector, and particularly the formulation of unprecedented goals for intervention sites.</p>	<p>The PPS is ambitious and complex, it involves an annual execution of around USD 4 million, under a results framework that proposes a large number of activities, actors, and different areas of intervention. Although the assumptions used were optimistic by underestimating the risks and complexity inherent in the execution of GEF projects, there was a risk that could not be foreseen, COVID-19, which affected by not having much more substantive progress.</p>	<p>N/A</p>
<p>The project presents a high number of outputs, activities and indicators, which can generate a risk of impact dispersion as well as a necessity of a greater management demand for its monitoring and following up</p>	<p>The project contemplates a significant number of results (16), which involves a considerable number of activities that are carried out simultaneously in different places, with the risk of impact dispersion.</p>	<p>N/A</p>
<p>None of the indicators have a compliance date. 40% of the indicators do not present a baseline, which makes it difficult for</p>	<p>Out of 16 result indicators, 4 indicators exceed 35% of progress and although they present delays, it could be considered that they are aimed at meeting</p>	<p>It is important that a comprehensive review of the results framework is carried out, including indicators, targets, means of verification, particularly for those</p>

<p>them to be quantifiable (indicators 2, 4, 5, 8, 11, 13, 15, and 18)</p>	<p>the established goals. On the other hand, 11 indicators show progress equal to or less than 21%, consequently, they show a reasonable risk of non-compliance.</p>	<p>indicators that have only a 15% progress, since there is a risk of non-compliance.</p>
<p>The goal of indicator 17 is not realistic since it did not consider that at least half of the coffee, palm and cocoa producers maintain their operation in irregular conditions</p>		<p>For this indicator in particular, it is recommended to review the baseline and its goal, considering that about half of the producers are irregular, and, therefore, the project will not be able to quantify them and the goal will not be reached.</p>
<p>Regarding results, an average progress of 51% is estimated in relation to midterm goals, and 25% compared to end-of-project goals.</p>		<p>It is important that a comprehensive review of the results framework is carried out, including indicators, targets, means of verification particularly for those indicators that have only a 15% progress, since there is a risk of non-compliance.</p>
<p>4 indicators from Component 1 report less than 15% progress and consequently present a reasonable risk of non-compliance</p>		<p>In relation to capacity building, during the coming months and while in-person work is regularized, it will be necessary to think about alternatives to in-person education, possibly by identifying partners that can facilitate technological platforms that allow progress in the project's objectives regardless of the time that full recovery takes.</p>
<p>Component 1 performance has been affected fundamentally by COVID 19 pandemic since a large part of the results involve planning tools design that require spaces for dialogue and interaction, which were not possible due to restrictions on mobility and conglomeration.</p>		<p>It is recommended that for Component 2 the project develop a market study to determine the demand for technical assistance, financing or credit services, and the adoption of best practices. This will guide the project towards cost effective strategies to achieve the established goal.</p>
<p>Component 2 shows the least balanced performance. On the one hand seems to be heading towards the achievement of its goals despite the considerable complexity associated with the credits and incentives, however it is verified that there is not market study that supports the demand for credit</p>		<p>To ensure goals and objectives compliance, it is necessary to speed up and specify the preparation of financial planning instruments, as well as planning instruments to strengthen the commitment of the different stakeholders involved, so that these tools are approved,</p>
<p>Progress in indicators show a reasonable risk of non-compliance, with a progress of 15% and 5% (indicators 13 and 14, respectively). However, the indicator 15 shows a 42% progress</p>		

		and they effectively can mobilize resources in territory.
Component 3 presents the most homogeneous performance; all its results exceed 15% progress towards the end-of-project goals. The component has a greater participation of executing partners in territory including CATIE, ICRAF, COCEPU, ECON		It is recommended to extend the duration of executing partners in territory agreements, since their presence has been beneficial, which can ensure cost-effective execution in the territory.
The main barrier identified is related to the uncertainty in relation to the COVID 19 pandemic, especially in terms of the existing restrictions so that the project team can again contact the actors in territory.	Social distancing and restrictions imposed by COVID-19 have prevented, or do not facilitate the integration of the team in terms of sharing the day-to-day and having in-person meeting and planning spaces, both within the team in Lima and at the deployment sites.	The PPS must develop, for each component, an implementation strategy for the life horizon of the project, which identifies actors and specific intervention actions in the post-COVID-19 context. The strategy must also provide a planification that allows executing an annual average of USD 5 million until the end of the project.
The project does not currently have a plan adjusted according to the impact and expectations or recovery scenarios post COVID 19.		
Some partners have an agreed collaboration horizon until December 2021, despite the fact that activities in the territory began in a staggered manner in April 2021 due to social distancing.	Regarding implementation, the project has managed to develop key alliances with strategic partners, such as the 6 Indigenous Federations, CEDRO, Pronaturaleza, CATIE, ICRAF and Root Capital and it is in the process of signing with ECOM and COCEPU. It is appreciated that the project managed to identify partners who not only had work experience in the area of intervention, complementary technical capacity to the project in the areas of specialization and offer opportunities to optimize the efficiency in the use of resources, but also align with the values, safeguards, and principles of UNDP intervention.	It is recommended to extend the duration of executing partners in territory agreements, since their presence has been beneficial, which can ensure cost-effective execution in the territory.
The ProDoc committed a significant amount of co-financing for a total of USD 129 million. Until this document was finished, only UNDP has reported a cofinancing of USD 8.6 million. Regarding other cofinanciers, it has not been	Until June 2021, once 54% of the planned time for project implementation has passed, USD 4.98 million has been disbursed, that is, 27% of the total available budget. Out of a total committed co-financing of USD 129 million, until this document closing, only	It is recommended to follow up on the committed co-financing, so that it can be anticipated, and act on time, to reach the commitments.

possible to verify the percentage of compliance.	UNDP has reported USD 8.6 million co-financing.	
The project has updated the associated risks each semester and year through the corresponding reports. It is evident that in some cases the follow-up activities are a long-term response.	The PPS is ambitious and complex, it involves an annual execution of around USD 4 million, under a results framework that proposes a large number of activities, actors, and different areas of intervention. Although the assumptions used were optimistic by underestimating the risks and complexity inherent in the execution of GEF projects, there was a risk that could not be foreseen, COVID-19, which affected by not having much more substantive progress.	It is recommended that short-term monitoring activities be generated, especially to the risks associated with climate change, since the Peruvian Amazon is already being affected by floods or droughts.
It is reported that the project developed a gender and intercultural proposal to include both approaches in the PPS execution of products, results, and indicators.	The project considers activities that add value in terms of vulnerable groups, indigenous peoples and nationalities, gender approach, and humanitarian response to the pandemic. The inclusion of these key cross-cutting aspects of the intervention have been incorporated since the design phase. The clearest project contribution in terms of gender and interculturality is reflected in the development of Life Plans.	It is recommended that the project begin to measure the indicators which are feasible, by gender. In this way, it will be possible to take better advantage of the gender proposal of the project and include a disaggregation by gender in certain indicators, for example, indicator 9 "Multiple actors have better capacities for sustainable landscape management", could be disaggregated by gender, in order to include its results at the end of the project.
The ProDoc included the participation of stakeholders, with practically no detail or analysis of the main stakeholders, but recognizing the importance that the inhabitants of the intervention areas, whose livelihoods and productive activities may be affected by the intervention of the PPS	At the end of the EMT, several lessons learned derived from the project design have been identified in order to contribute to the project documentation process. These lessons are listed below: An analysis of actors and stakeholders was not carried out, which led to the project to be implemented without a guide or a stakeholder involvement plan.	It is important that the project develop a clear strategy of how, in the project time left, cause involvement of indigenous communities.
The need for greater integration of the team and of in-person meeting and planning spaces is mentioned, both within the team and at the implementation sites.	The project could have done more in terms of strategic communication to support the intervention of its implementing partners in Components 2 and 3, particularly in terms of escalation and replication expectative.	The PPS must develop, for each component, an implementation strategy for the life horizon of the project, which identifies actors and specific intervention actions in the post-COVID-19 context. The strategy must also

	However, the PPS presents a greater positioning and visibility in Component 1, whose actors more clearly recognize the project, its scope, and different interventions.	provide a planification that allows executing an annual average of USD 5 million until the end of the project.
Given the production profile and the value chain approach, in general terms a relatively low participation of actors in the value chain of the selected products that represent the private sector is perceived.		It is important that the PPS maintain fluid communication levels with producers, but it is also key to build relationships of trust and a strategic line of communication with private actors in the coffee and palm value chains.
Risks identified in the SESP and their categorization were appropriate at the time, however, it is possible that there are new emerging challenges derived from the COVID 19 pandemic	The PPS is ambitious and complex, it involves an annual execution of around USD 4 million, under a results framework that proposes a large number of activities, actors, and different areas of intervention. Although the assumptions used were optimistic by underestimating the risks and complexity inherent in the execution of GEF projects, there was a risk that could not be foreseen, COVID-19, which affected by not having much more substantive progress.	It is recommended that the PPS considers the revision of this document from a strategic perspective, since there are important economic and social dimensions that derive possible adjustments to the intervention strategy, as well as the participation of the beneficiaries in the project activities. in a post-COVID 19 recovery context.
The project has not updated the GEF monitoring tool known as “tracking tools”, although they were completed at the beginning of the project, their update for the MTR has not yet been carried out.		The project must culminate with the tracking tools as soon as possible, beyond being a requirement for the MTR, this tool will allow evaluating the progress of the goals initially set and proposing the respective corrective measures.
For 2020, the PPS developed a communication strategy, which includes a methodological proposal with objectives, messages and ideas, and a list of actions to be implemented for a period of 1 year.	The project could have done more in terms of strategic communication to support the intervention of its implementing partners in Components 2 and 3, particularly in terms of escalation and replication expectative. However, the PPS presents a greater positioning and visibility in Component 1, whose actors more clearly recognize the project, its scope, and different interventions.	It is recommended that the PPS improves communication levels to give greater visibility and positioning to the project, especially to the Component 3 outputs, since a low level of recognition of the intervention and its different dimensions has been identified by the actors deployed in territory.
Change of producers’ priorities and value chains, in the context of post-COVID-19 recovery, which is a context of survival, lack of access to credit, and child labor. It is important	It is possible that the demand for credit will decrease, as has been observed in the last few months of the year, and on the other hand, it is possible that the credits will be	The assumptions and risks of the project must be updated based on COVID-19 context, in relation to the forward-looking information based on markets and opportunities of

<p>that the project works on these priorities to carry out its activities and results.</p>	<p>directed towards working capital rather than investments. The reality of producers may be more aimed at being able to pay wages and maintain operations that currently have difficulties to develop according to planning.</p>	<p>commodities markets in the post-COVID-19 recovery framework.</p>
<p>Valuation of commodities, which the project addresses, will go through complex periods in the current economic context, affected by the pandemic. The latter is important to consider, despite the fact that there has been a slight rise in their prices.</p>	<p>As part of the post-pandemic effects, it is possible that there will be a contraction in demand for the commodities that the project work with. Although they have been able to register a slight rebound in their prices and work on their valuation in recent months, they are indeed going through complex periods.</p>	<p>The project should consider developing a market study about commodities with which it works to demonstrate the current behavior of the markets and evaluate, if necessary, new strategies.</p>
<p>The PPS does not have a clear plan and tools to specify objectives for the mobilization of additional resources, placement of credits, scaling up, etc., to meet the proposed goals.</p>	<p>Until June 2021, once 54% of the planned time for project implementation has passed, USD 4.98 million has been disbursed, that is, 27% of the total available budget. Out of a total committed co-financing of USD 129 million, until this document closing, only UNDP has reported USD 8.6 million co-financing.</p>	<p>It is important that the proposed resource mobilization goal be reviewed within the framework of the new context, due to the pandemic, evaluating a specific strategy to mobilize resources.</p>
<p>One of the important risks to consider lies in the possible change of priorities by the states to attend the health emergency. In the long term, this could affect the availability of state resources, and consequently also the co-financing expectations that have been expressed in the ProDoc. It is recommended to follow up on the committed cofinancing, so that it can be anticipated, and act on time to reach the commitments. c.</p>		<p>It is recommended to follow up on the committed co-financing, so that it can be anticipated, and act on time, to reach the commitments.</p>

7.8 Annex 8: Evaluation consultant code of conduct agreement form

Evaluators:

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 imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Evaluation Consultant Agreement Form

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

Name of Consultant: José Fernando Galindo Zapata

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

Signed at Quito Ecuador on 05/01/2022



SIGNED MTR REPORT CLEARANCE FORM

**Mid-term Review Report for Sustainable Productive Landscapes in the Peruvian Amazon-
UNDP PIMS 5629**

Reviewed and Cleared By:

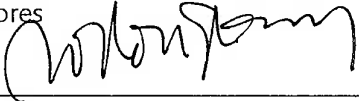
Commissioning Unit (M&E Focal Point)

Name: Maria Cebrian

Signature: Maria Cebrian Date: 05/01/2022

Regional Technical Advisor (Nature, Climate and Energy)

Name: Marlon Flores

Signature:  Date: 05/01/2022