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**United Nations Development Programme**  
**Country: Ecuador**  
**PROJECT DOCUMENT**

<b>Project title:</b> Sustainable Development of the Ecuadorian Amazon: integrated management of multiple use landscapes and high value conservation forests			
<b>Country:</b> Ecuador	<b>Implementing Partner:</b> MAGAP	<b>Responsible Party:</b> MAE	<b>Management Arrangements:</b> NIM
<b>UNDAF/Country Programme Outcome:</b> Outcome 4: By 2018, support has been provided to strengthening institutional and citizen capacities to promote the rights of nature, create conditions for a sustainable development, and improve the resilience and risk management facing the impacts of climate change and natural and man-made disasters. Outcome 5: By 2018, support has been provided to strengthening institutional and citizen capacities for socioeconomic inclusion of priority groups and promotion of sustainable and equitable livelihoods, in line with the change in the productive matrix and the popular and solidarity economy.			
<b>UNDP Strategic Plan Output:</b> Output 1.3. Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste			
<b>UNDP Social and Environmental Screening Category:</b> Moderate		<b>UNDP Gender Marker:</b> GEN2	
<b>Atlas Project ID/Award ID number:</b> 00085036		<b>Atlas Output ID/Project ID number:</b> 00092806	
<b>UNDP-GEF PIMS ID number:</b> 5606		<b>GEF ID number:</b> 9055	
<b>Planned start date:</b> 01/06/2017		<b>Planned end date:</b> 31/05/2023	
<b>LPAC date:</b> 22/05/2017			
<b>Brief project description:</b> The objective of the proposed project is to catalyze the transformation of land use planning and management in the Ecuadorian Amazon (CTEA) by building a governance and sustainable production framework based on a landscape approach and optimizing ecosystem services and livelihoods. It has been structured into four outcomes:  <ol style="list-style-type: none"> <li>1) Strengthened multi-level governance framework for sustainable management and production in multiple use landscapes (MUL) and high value conservation forests (HVCF) in the CTEA;</li> <li>2) Access to markets, credit and incentives for sustainable production of the main products in multiple use and high conservation value landscapes of the CTEA;</li> <li>3) Landscape level implementation of sustainable practices in commercial production and livelihoods systems, aligned with the conservation and restoration of HVCF;</li> <li>4) Dissemination of lessons learned, monitoring &amp; evaluation</li> </ol> To achieve the stated objective, the project will develop an enabling framework for an integrated approach to sustainable management and production in MULs of the CTEA. This will be done through mainstreaming of the landscape approach at different government levels coordinating national development objectives with the objectives at different provincial levels; capacity building for multi-level coordination to optimize joint planning and coordinated implementation of public policies and interventions in the CTEA; strengthening dialogue and decision making mechanisms; mainstreaming of the landscape approach and environmental sustainability criteria in land use planning and development; strengthening local enforcement of regulations; and knowledge management to support sustainable production and landscape management. This will create the conditions for undertaking interventions at landscape level and promoting replication, ensuring that the future expansion of production does			

not compromise biodiversity and ecosystem function and contributes to the establishment of deforestation free supply chains.

To stimulate the adoption of sound environmental practices, conservation of biodiversity, and compliance with sustainable land use plans the project will develop new market and financial opportunities through promoting commercial relations between producers and buyers of sustainable products at national and international level to stimulate offer and demand for sustainable coffee, cocoa, oil palm and livestock produced by large, medium and small producers, including indigenous peoples to access differentiated markets; strengthening of incentives for SFM and SLM through optimizing the access to, distribution and use of such incentives; and greening of financing for commercial producers of coffee, cocoa, oil palm and livestock and developing financial opportunities for small producers.

The project will undertake on the ground interventions in three selected landscapes that characterize the existing and emerging challenges in the CTEA. This will include training, technical assistance and financial and market incentives to achieve an attitudinal transformation of the productive sector (small, medium and large producers as well as indigenous peoples) to change from current non sustainable production practices toward sustainable forest and land management practices that conserve HCVMs and biodiversity and secure the unabated supply of the ecosystem services necessary for production, thereby contributing to development of deforestation free supply chains, and improving the livelihoods of the target groups, with special emphasis in small farmer and indigenous peoples.

Expected global environmental benefits to be accrued include: a) 1.859.600 of MUL and HCVM in target landscapes outside protected areas maintain the supply of ecosystem services (including conservation of biodiversity, soils, water resources and carbon sequestration) through a strengthened multi-level governance framework and capacities based on landscape approach, through direct effect of the project; 3.328.813 ha through indirect effect; and 6.470.386 ha in the long term; b) avoided emissions of CO<sub>2e</sub> through protection and sustainable management of forests (257,566.69 tCO<sub>2e</sub> in Morona y Zamora provinces over 6 years and 8,726,514.50 tCO<sub>2e</sub> in CTEA over 20 years); c) 439,369 ha of HCVMs in community and indigenous lands conserved through incentives; d) 172,646 ha production in farms/plots managed according to landscape approaches conserving forest ecosystem services; e) Improved capacities of at least 5,164 producers for sustainable forest and land management.

**FINANCING PLAN**

GEF Trust Fund	USD 12,462,550
UNDP TRAC resources	USD 0
Cash co-financing to be administered by UNDP	USD 0
<b>(1) Total Budget administered by UNDP</b>	<b>USD 12,462,550</b>

**PARALLEL CO-FINANCING**

UNDP	USD 1,000,629
Government	USD 34,347,440
NGO	USD 3,600,000
Private Sector	USD 1,986,008
Academia	USD 4,453,804
International Development Bank	USD 3,950,470
<b>(2) Total co-financing</b>	<b>USD 49,338,351</b>
<b>(3) Grand-Total Project Financing (1)+(2)</b>	<b>USD 61,800,901</b>

**SIGNATURES**

<b>Signature:</b>	<b>Agreed by:</b>	<b>Date/Month/Year:</b>
Minister of Agriculture, Livestock, Aquaculture and Fisheries	<b>Implementing Partner</b>  <b>Ministry of Agriculture, Livestock,</b>	

	<b>Aquaculture and Fisheries</b>	
<b>Signature:</b> UNDP Resident Representative	<b>Agreed by UNDP</b>	<b>Date/Month/Year:</b>
<b>Signature:</b> <b>Minister of Environment</b>	<b>Agreed by:</b> <b>Responsible Party</b>  <b>Ministry of Environment</b>	<b>Date/Month/year</b>

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## I. TABLE OF CONTENTS

I.	Table of Contents.....	4
II.	Development Challenge.....	7
III.	Strategy.....	16
IV.	Results and Partnerships.....	26
V.	Feasibility.....	63
VI.	Project Results Framework.....	73
VII.	Monitoring and Evaluation (M&E) Plan.....	81
VIII.	Governance and Management Arrangements.....	87
IX.	Financial Planning and Management.....	93
X.	Total Budget and Work Plan.....	98
XI.	Legal Context.....	105
XII.	Mandatory Annexes.....	106

### List of Annexes

- A. Multi year Workplan
- B. Monitoring Plan
- C. Evaluation Plan
- D. GEF Tracking Tool (s) at baseline
- E. Terms of Reference Project Management Unit and Project Board
- F. UNDP Social and Environmental and Social Screening Template (SESP)
- G. UNDP Project Quality Assurance Report
  
- H. Letter of Agreement with the Government of Ecuador and Description of UNDP Country Office Support Services
- I. Additional information on agricultural and livestock production in the CTEA
- J. Maps

### List of Acronyms and Abbreviations

AGROCALIDAD	Ecuadorian Agency for Agricultural Quality Assurance
AME	Ecuadorian Association of Municipalities
ATPA	Agenda for Productive Transformation of the Amazon
ART	Articulation of Territorial Networks Initiative
CAF	Development Bank of Latin America
COMAGA	Consortium of Amazonian and Galapagos Municipalities
COMAFORS	Corporation for Sustainable Forest Management
MCE	Ministry of Foreign Trade
CONAFIPS	National Popular and Solidarity Finance Corporation
CONFENIAE	Confederation of Indigenous Nationalities of the Ecuadorian Amazon
CONGOPE	Autonomous Provincial Government Consortium
COOTAD	Organic Code for Territorial Organization, Autonomy and Decentralization

CPAP	Country Programme and Action Plan
CSO	Civil Society Organization
CTEA	Special Amazonian Territorial Circumscription
EAP	Economically Active Population
ECORAE	Institute for Eco-development of Ecuadorian Amazon Region
ERC	Evaluation Resource Center
FAO	Food and Agriculture Organization
FFLA	Fundación Futuro Latinoamericano
GAD	Decentralized autonomous governments
GCF	Green Climate Fund
GEF	Global Environment Facility
GHG	Greenhouse gas emissions
GIS	Geographical Information Systems
GIZ	German International Cooperation
GoE	Government of Ecuador
GPS	Geographical Positioning Systems
HVCF	High Value Conservation Forests
IEPS	Institute of Popular and Solidary Economy
IKIAM	IKIAM Amazonian Regional University
INB	National Biodiversity Institute
INIAP	National Agricultural Research Institute
LUDP	Land Use and Development Plan
M&E	Monitoring and Evaluation
MAE	Ministry of Environment
MAGAP	Ministry of Agriculture, Livestock, Aquaculture and Fisheries
MICSE	Coordinating Ministry for Strategic Sectors
MINTUR	Ministry of Tourism
MIPRO	Ministry of Industry and Production
MUL	Multiple use landscapes
MTR	Mid-Term Review
NAE	Achuar Nationality of Ecuador
NGO	Non-Governmental Organization
NIM	National Implementation Modality
NPD	National Project Director
NTFP	Non-wood products
PANE	State Natural Heritage Areas Sub-system
PB	Project Board
PIR	Project Implementation Report
PIMF	Integral Farm Management Plans
POPP	Programme and Operations Policies and Procedures
PPR	Project Progress Reports
PSB	Socio-Bosque Program
PMU	Project Management Unit
REDD+ Programme	Programme on Reducing Emissions from Deforestation and Forest Degradation
ROAR	Results-Oriented Annual Report
RSPO	Roundtable for Sustainable Palm Oil
SACRE	Achuar System for Conservation and Ecological Reserves of Ecuador

SAF	Forestry Administration System
SAT	Early warning system
SBAA	Standard Basic Assistance Agreement
SDG	Sustainable Development Goals
SDSN	Sustainable Development Solutions Network
SENECYT	National Education, Science and Technology Secretariat
SENPLADES	National Planning Secretariat
SESP	Social and Environmental Screening Procedure
SFM	Sustainable Forest Management
SIN	National Information System
SLM	Sustainable Land Management
SNAP	National Protected Areas System
SUIA	Unified Environmental Information System
TE	Terminal Evaluation
TSA	Targeted Scenario Analysis
UEA	Amazonian State University
UTPL	Private Technical University of Loja
UNFCCC	United Nations Convention Framework on Climate Change
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
USD	United States Dollars
WWF	World Wide Fund

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## II. DEVELOPMENT CHALLENGE

### *Environmental context and global significance*

1. The Republic of Ecuador has a surface area of 283,561 km<sup>2</sup> and a population of 16.14 million inhabitants. The country has an extraordinary biological richness that makes it one of the 17 megadiverse countries in the world, hosting 8% of mammal species, 10% of amphibians, 18% of birds and 18% of orchids at a global level, in addition to being the country with the highest biodiversity per square meter in the world. Of the four major geographical regions<sup>1</sup> the Amazon or Special Amazonian Territorial Circumscription (CTEA) is the largest, with 116,588 km<sup>2</sup>, which represents 41% of the total country's area and is the intervention area of the proposed project. The CTEA contains 80% of the country's total forest cover, which corresponds to 9.6 million hectares, and includes territories of six provinces (Sucumbíos, Orellana, Napo, Pastaza, Morona Santiago and Zamora Chinchipe), 41 cantons and 206 parishes.
2. *Global and local values:* The CTEA has important global and local values in regards to biodiversity, carbon storage, and water resources. The Amazon lowlands host the country's largest number of herpetofauna species: 4,857 (28%) of which 235 are endemic. The CTEA has more than 5,000 vascular plant species, equivalent to 35% of the total number of species described for Ecuador. In the area of the *Yasuni* National Park alone there are 1,762 species of trees and shrubs, more than 450 species of lianas and 313 species of epiphyte vascular plants. Ecuador has made significant efforts to bring under protection ecosystems of the CTEA, with more than 3 million hectares (26.17% of the region) under the State Natural Heritage Areas Sub-system (PANE). Nearly 1 million additional hectares are designated as Protective Forest and Vegetation<sup>2</sup>. Nevertheless, the majority of the high conservation value forests in multiple use landscapes are located in the productive landscape and indigenous peoples' lands.
3. Ecuador stores an estimated 1.53 Giga tons of carbon, with the CTEA storing 36% of the total carbon, and 58% of the biomass carbon at pool level. The natural vegetation types of the CTEA have a high rate of net carbon sequestration (the Amazon Lowland Evergreen forests store 160 t/C/ha and the Andean Foothills Evergreen forests store 122 t/C/ha) compared to agricultural crops. Also the CTEA has the most important water resources in the country, covering eight watersheds (Napo, Putumayo, Tiger, Pastaza, Morona Santiago, Blanco and Zamora rivers), which represent 81% of the country's resource.
4. In addition to its natural values, the CTEA has an important cultural diversity. The indigenous population represents 33% of CTEA inhabitants (245,014 people) distributed in 10 of Ecuador's 17 indigenous nationalities (Achuar, Waorani, Kichwa, Siecopai (Secoya), A'í Cofan, Shiwiar, Shuar, Zapara, Andwa and Siona). The Kichwa nationality is the most numerous representing 51% of this population, followed by the Shuar nationality with 31.7% of the population and the Achuar nationality with 2.7%. The Achuar nationality has established the Achuar System for Conservation and Ecological Reserves (SACRE) to promote conservation, and Achuar culture and governance.

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<sup>1</sup> Galapagos Islands, Coast, Highlands and Amazon

<sup>2</sup> Protective forests are public or private areas comprising natural or cultivated vegetation, trees, shrubs or herbaceous located in sloped areas, watershed divides, or areas not apt for agricultural use. Its functions are to conserve water, soil, flora and wildlife. Limited productive activities may be undertaken in accordance with a management plan.

## Socio-economic context and land use

5. The CTEA's population is 739.814 (5% of the national population) with 52% male and 48% female<sup>3</sup>. Most of the population (61% or 452,664 people) lives in rural areas. More than 71.2% of the population is poor and 35.6% is extremely poor as per Unmet Basic Needs<sup>4</sup>. Social and economic growth in the CTEA has been traditionally based on the use of natural resources. In the CTEA, 64.8% of the land is owned or inhabited by indigenous communities<sup>5</sup>. However, sub-soil resources, like oil, are owned by the State, and a large degree of extractive activities in the CTEA (61%) are undertaken on indigenous land. Extractive and agricultural activities characterize the economy and the main land uses are summarized below:

**Table 1.** Land uses in the CTEA

Land use	Surface (ha)	%
Agriculture	887.835	7,6
Livestock production	1.164.512	10,0
Forests (with different degrees of intervention)	6.127.132	52,6
Protected areas (SNAP)	2.984.310	25,6
Other uses	480.328	4,1
<b>Total</b>	<b>11.644.117</b>	<b>100,0</b>

Source: Project Identification Form (PIF)

6. *Main economic activities:* The economically important sectors in the region are production and commercialization of oil, timber, minerals, agricultural production and, more recently, eco-tourism. However, some activities such as extractive activities, especially oil, generate income but not necessarily for the local population, while other such as agriculture generate income to the local population. More than half (56.1%) of the Economically Active Population -EAP- (182,148 people) is employed in the agriculture, livestock, hunting and forestry sector, covering small, medium and large producers (around 38% are women most of them without remuneration).

7. Coffee, cocoa and oil palm are the predominant crops in the CTEA with 52,296 hectares, 35,000 hectares and 48,127 hectares respectively<sup>6</sup>. The cultivated area of coffee represents 31.5% of the national area and supplies 62% of national production (2,662 tons). Cocoa crops represent 12% of the national cultivated area and provide 7% of the national volume (11,849 ton). Oil palm plantations represent 16.9% of the national surface area and supply 20.9% of the country's production (735,279 tons). Livestock production in the CTEA has increased from 645,538 heads in 2002 to 751,451 heads in 2013 representing 9% of the total number of cattle in the country. Some 432 species of non-wood products (NTFP) have been identified in the CTEA with commercial value with diverse uses (medicine, construction materials, food for both persons and animals<sup>7</sup>). NTFPs are especially important for the food security of indigenous nationalities (see Annex K for additional information on agricultural and livestock production). Traditionally the economy of Amazonian indigenous peoples in all sub-regions has been based on hunting, fishing and gathering, and cultivating traditional *chakras* and *ajás*<sup>8</sup> (tended mainly by women). With greater access to markets and the high poverty levels, they have shifted production practices to cover their own

<sup>3</sup> INEC, 2010. ECORAE, 2011

<sup>4</sup> MAGAP-ATPA, 2014. INEC, 2010

<sup>5</sup> The Ecuadorian constitution guarantees the collective property and resource use rights of indigenous communities. It furthermore guarantees the right of indigenous people to conserve and practice their management practices for biodiversity and of their natural surroundings.

<sup>6</sup> MAGAP, 2014

<sup>7</sup> Idrovo, Jorge. Consultoría en Mercados e Incentivos para Producción Sostenible para la Amazonía Ecuatoriana. 2016

<sup>8</sup> Traditional production systems that combines the main crops (e.g. coffee and cocoa) with staple crops, trees for timber production (from natural regeneration) and medicinal plants, thus creating a special landscape of traditional agroforestry systems.



subsistence but also market supply. Men and women have different roles in productive activities. Women's participation in economic processes is directed to reproductive and household activities, and producing goods and services for family sustenance, which are non-remunerated, while men have greater participation in organizational activities, community work, repairs and maintenance and remunerated work. Rural women, including indigenous women, work between 23-24 hours/week more than men.

8. There are clear sub-regional differences. In Northern Amazon (Sucumbios, Orellana and Napo provinces) there is growing commercial agriculture alongside livestock production and timber extraction; and, to a lesser extent, small-scale mining, tourism, trade and manufacturing. More than 80% of cocoa production is concentrated in this sub-region. The oil palm plantations are located in this sub-region and the highest yields of the country are obtained in Sucumbios. In Central Amazon (Pastaza, and north of the Morona Santiago province) livestock production is the main economic activity, followed by agriculture. Pastaza has been an exception; with less intervention as indigenous peoples' lands and territories comprise approximately 90% of its territory. Cocoa production is incipient. Likewise, coffee plantations are mostly new and the first harvests are expected in 2018. In Southern Amazon (Zamora Chinchipe province and south of Morona Santiago), the population is engaged mainly in agriculture and livestock production and to a lesser extent in mining and quarrying. Cocoa production is incipient and crops have been established only four years ago. There are experiences with organic certification of coffee and export. There are NTFP initiatives commercializing *ungurahua* (*Oenocarpus bataua*), *guayusa* (*Ilex guayusa*), *ishpingo* (*Ocotea quixos*), citronella and Lemon Verbena (*Aloysia citriodora*) among others in national and international markets. The main land uses and producers in each sub-region are summarized below:

**Table 2.** Main land uses and productive stakeholders

Sub-region	Main land uses and productive stakeholders
North	Oil palm – large producers with access to capital, medium producers with some capital, majority of small producers Livestock – small, medium and large producers Cocoa, coffee – small, medium and large producers Conservation – the main PANE protected areas (Yasuni, Cuyabeno, Sumaco-Napo-Galeras) are located here as well as important protective forests. Community lands under the Socio-Bosque Incentives Program
Center	Livestock –medium and large producers Cocoa, temporary crops – small producers Chakra systems – small producers Conservation – low representativity of PANE/SNAP protected areas. Community lands under the Socio-Bosque Incentives Program. The Achuar System of Conservation and Ecological Reserves (SACRE) has been designed.
South	Livestock –medium and large producers Agroforestry (coffee, yucca, maize, plantain) – small and medium producers Conservation – low representativity of PANE protected areas. Important protective forests (e.g. Kutuku Shaimi protective forest)

Source: Project Identification Form (PIF)

### *Loss of global and local values*

9. Agricultural activities coupled with migration from other areas have driven the expansion of the agricultural frontier in the CTEA. In part because large areas of previously inaccessible forested areas were opened up by new roads to facilitate oil extraction and have led to human colonization and more recently expansion of oil palm plantations, pastures, and other agricultural crops and mining. These activities are driving deforestation, habitat loss and ecosystem fragmentation with concomitant loss of global values. The level of each driver however varies for each Amazonian sub-region.

10. *Northern Amazon*: historically deforestation has been high in Sucumbios and Orellana largely as a result of the extensive road construction in both provinces in the 1980s for oil extraction and subsequent agricultural expansion: rates were 17,287 ha/year in 1990-2000 but fell to 9,140 ha/year in 2000-2008. Napo has experienced the opposite with increase in deforestation from 1,682 ha/year (1990-2000) to 2,735 ha/year (2000-2008). In 2015 deforestation affected 5,416 ha in Sucumbios, 3,087 ha in Orellana and 599 ha in Napo. The agricultural sector is currently the main driver of deforestation, through cultivation of pastures for livestock, (increase of 49,100 has in 2000-2008) and cocoa and oil palm. Oil palm increased by 4,500 ha in the 2000-2008 period. Of the total national harvested area 19% is produced in Sucumbios. As for cocoa, there is a growing trend toward monoculture of the CCN-51 variety due to its greater productivity and profitability, accounting for 50% of the total production in 2013. The cultivated area of cocoa in this sub-region increased by 16,600 ha in 2000-2008. Illegal timber extraction is another driver of deforestation and degradation. The opening of new frontiers to oil extraction in the Yasuni National Park constitutes an emerging driver of deforestation, mainly in Orellana.

11. *Central Amazon*: Deforestation in this sub-region has historically been low, but has increased in the last decade. Pastaza registered the lowest deforestation rate of the six provinces with 2.432 ha/year between 1990-2000. However, deforestation almost doubled to 4.773 ha/year between 2000-2008; 2.846 ha were deforested in 2015. The pressures have been substantially lower than in the other two sub-regions, and this sub-region contains large expanses of still intact forests. However, there are emerging drivers that could increase deforestation. The proposal for expanding the oil extraction frontier into the Yasuni National Park would place pressure on the forests of the northern area of this sub-region. There are proposals for construction of roads<sup>9</sup>. Road construction and new settlements could increase illegal extraction of timber. During the 2000-2008 period cattle stock increased 9,500 heads, temporary crops increased 9,200 ha, and sugar cane increased 1,600 ha, while traditional farming systems decreased 1,400 ha.

12. *Southern Amazon*: historically deforestation has been moderate but has significantly increased in recent periods, from 11,254 ha/year in 1990-2000 to 21,343 ha/year in 2000-2008. In Morona 7,925 ha were deforested in 2015 and 1,277 in Zamora Chinchipe. Expansion of the agricultural frontier and mainly livestock production, which experienced an increase of 23,700 ha (2000-2008), has been a significant driver of deforestation. Mining is another significant driver (the greater number of concessions have been granted in this sub-region). New emerging drivers of deforestation include expansion of the road network in forested areas of high conservation priority in Morona Santiago, and new mining concessions.

13. Anthropogenic activities have historically generated impacts on the values of the CTEA and there are risks of continued loss of these values in the future if environmental sustainability is not secured. Amazonian soils have low agricultural aptitude (only 17.5% of the territory is adequate for agricultural and livestock production) and their intensive use could lead to significant ecological impacts. In the Northern Amazon provinces 53% of lands are overused, while in the Southern Amazon 80% are overused. These values could increase as a result of emerging development processes that continue deforestation and over use of cleared land. Soil erosion is the main form of land degradation followed by acidification, salinization and increase in chemical toxicity leading to loss of fertility. Soil erosion levels are already high in the headwaters of the Amazon watershed with 10-30 ton/ha/year on 12-25% slopes and 5 ton/ha/year on slopes lower than 12% (based on 2002 data). Moreover, vulnerability to degradation due to climate change indicate that agricultural zones in highly fragile ecosystems, as in the CTEA, will be the most affected by degradation due to deforestation, agriculture, livestock and informal mining<sup>10</sup>.

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<sup>9</sup> Decentralized governments have received the authority to develop road infrastructure and are constructing roads through public enterprises. The provinces of Orellana and Zamora have initiated road development through this mechanism.

<sup>10</sup> Regional Studies on Climate Change Economics. ECLAC, 2010?

14. Ecuador has undertaken significant institutional changes in recent years, from a new political constitution including the rights of nature to decentralization development and land-use planning. This provides an opportunity to manage the CTEA through an effective decentralized system that could manage the heterogeneity of a complex system. However, at the same time these opportunities pose challenges. National and local government levels must assume new challenges and responsibilities in their planning processes, including promoting coordination and strengthening of an agreed common vision for the governance of the natural resources in the CTEA. The government proposes a change in the country's production matrix that involves simultaneous and progressive changes of the current production models moving towards a diversified economy guided by knowledge and innovation. Given the vast wealth of ecosystem goods and services found in the Amazon the Government of Ecuador (GoE) has identified this region as having a great potential to contribute to this change, harmonizing development and conservation of global and local values.

15. However, interventions in the CTEA are still characterized by their sectorial approach and lack of integration and production is still highly dependent on the use of natural resources (water, soil, air, biodiversity). Under the business-as-usual scenario, these programs will continue to be implemented largely through a sector approach or at farm/plot level and will not be sufficient to enable a shift towards sustainable forest management through integrated landscape level planning and governance nor to launch incentive payments for sustainable land use at scales large enough to arrest deforestation of HCFVs, and contain land degradation sufficiently to protect the region's ecosystem goods and services.

16. There are three main barriers that need to be addressed (see also Figure 1: Theory of Change below). Firstly, there are weaknesses for multilevel governance for management and sustainable production within landscapes. This is due to:

- i) Weak multi-sectorial dialogue and coordination between bodies and institutions that share forest and land management responsibilities e.g. Ministry of Environment (MAE); Ministry of Agriculture, Livestock, Aquaculture and Fisheries (MAGAP), National Planning Secretariat (SENPLADES), Coordinating Ministries, and Citizen Sectorial Councils<sup>11</sup> of each ministry, resulting in overlapping of responsibilities, lack of integrated policies and insufficient long-term planning;
- ii) Coordination weaknesses between national institutions and Decentralized Autonomous Governments (GAD) at provincial, municipal and parish levels, and among GADs. GADs have limited capacities to develop and implement the plans and regulations that harmonize development and conservation in the CTEA;
- iii) Land Use and Development Plans (LUDPs) partially mainstream environmental sustainability criteria, but they are not adequately implemented. They generally lack gender and inter-cultural approaches;
- iv) Decentralized bodies (GADs, Citizen Assemblies, Planning Councils) have insufficient capacities for land use planning and public and administrative management, and gender and inter-cultural mainstreaming, low level of knowledge on the environmental and forest legal framework, hence enforcement capacities are low. There is no mechanism to promote collaboration between local authorities and communities in monitoring and surveillance processes. Gaps in participation of women in decision making spaces;

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<sup>11</sup> National Citizen Sectorial Councils are bodies related to the different sectorial ministries, for dialogue, debate and follow-up of national and sectorial public policies that guarantee inter-cultural citizen participation. They act as communication channels between civil society and the ministries to which they belong for issues relative to the specific sector.

- v) Stakeholder dialogue within the region is sectorial in nature and there is a lack of multi-sectorial and inter-institutional dialogue and decision-making mechanisms involving government and key stakeholders, including the productive sector;
- vi) Information is dispersed and there is no mechanism to identify and disseminate knowledge and successful experiences generated by different stakeholders in the region, as well as to exchange such knowledge and lessons with the other countries of the Amazon basin.

17. Secondly, there are limitations in access to market, credit and incentives to promote deforestation free supply chains and market access for sustainable products, be it from main commodities or NTFP. This is due to:

- i) Low technological level of producers and institutional weaknesses, little value adding, low yields and quality of products, and weak coordination of the supply chain links. Lack of organizational and management capacities for sustainable production by local institutions and individuals.
- ii) Insufficient market assessments, including identification of requirements to access markets for sustainable products (there is a lack of knowledge within organizations to go through the process of having new products registered as well as lack of capacity of government institutions to register new innovative products), of buyers, best market practices for the main commodities, and potential for the implementation of certification schemes, among others.
- iii) No traceability systems for Amazonian products (agriculture, livestock <sup>12</sup>, forestry, biodiversity) to help encourage sustainable production, optimize existing value chains or developing new chains, and promoting differentiated prices. Furthermore, there is a lack of communication and marketing efforts, which could connect these products with the international markets.
- iv) In terms of incentives, the Socio-Bosque Incentives Program<sup>13</sup> has succeeded in signing conservation agreements covering a large area of the CTEA. However, there are limitations in planning and use of the incomes by the beneficiary communities, with a lack of long-term projection for the distribution of funds in the community and optimization to support the conservation, restoration and sustainable production in appropriate areas of the community lands.
- v) In terms of credit, between 2009-2015 an annual average of over USD 32 million in loans have been disbursed in the CTEA for coffee, cocoa, oil palm and livestock production (75% livestock, 13% cocoa, 7% oil palm and 5% coffee). The main borrowers are medium and large producers. However, loan requirements do not mainstream environmental sustainability criteria to promote sustainable and deforestation free production.
- vi) Communities and small-scale producers have difficulties to access credit services due to the inability in complying with the formal requirements and the long distances to urban centers, and borrowing modalities suited to the conditions of these stakeholders are not available.

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<sup>12</sup> In the case of livestock a traceability system is being implemented for Foot and Mouth Disease. An Ecuadorian Animal Identification Traceability System was established in 2012, with the objective of identifying and tracing livestock to develop a data base to aid in improving productivity of livestock production (animal health, mobilization of technical assistance, control of cattle rustling, and commercialization of products and by-products). The National Program for Eradication of Foot & Mouth Disease bases its actions on this system (control of livestock movements, sanitary controls).

<sup>13</sup> The Socio-Bosque Program offers non-reimbursable economic incentives to owners of land (communities and individuals) with native forests to guarantee its protection over the medium to long-term. It consists of direct payments for each hectare of native forest or other native vegetation; payments are made annually for a period of 20 years. The amount varies according to the size of the area entered into the program, with a maximum payment of US\$ 30 per hectare

- vii) Limited institutional experience on practical mechanisms to diversify incomes, reduce costs and increase sales prices, through partnerships between the governments, local communities and producers/forest owners.

18. Thirdly, there are low capacities for sustainable production practices and focus is principally on field and plot levels; therefore, low productivity, which in turn leads to continue the expansion of production areas over forestlands. This is due to:

- i) Expansion of the agricultural frontier does not follow the LUDPs but rather support standardized interventions at farm level. Producers lack information of the impacts of their farm activities and knowledge to adopt the best options for production for their location in the landscape. Nor are they fully aware of the benefits of forests and ecosystem services for agricultural production and the impact that non-sustainable activities have on them. Production is not undertaken with a supply chain approach and there is little value adding at farm level.
- ii) In the case of coffee, poor crop management practices are used hence the low productivity and increase in monocultures over forested areas. Reduced access to differentiated markets.
- iii) In the case of cocoa there is increasingly widespread use of the CCN-51 species linked to expansion of production in forested areas and indiscriminate use of agro-chemicals in monocultures. Volume and quality could allow accessing international buyers but although there are commercialization mechanisms in place, organizational capacities are weak. Certification schemes have been implemented with donor support but in general discontinued upon finalization of funding. Marketing and communication efforts in support of certified products have been insufficient.
- iv) Oil palm is grown as a monocrop and requires large surfaces to be profitable; cultivation expands without planning and is often introduced in areas under some protection scheme. There is intensive use of agro-chemicals. Large producers buy lands from small and medium landholders to expand production, promoting concentration of property. Lack of crop management by small producers and low yields. Lack of organizational capacities of small producers for accessing differentiation strategies or certification schemes.
- v) Livestock production lacks land use planning identifying the most adequate areas for this activity, and it is often undertaken in sloped areas, there is low use of best practices. Extensive production systems with few trees in pastures, with soil and pasture degradation.
- vi) Landowners lack capacities for SFM hence the unsustainable use of forests and given the growing demand for timber, illegal extraction is encouraged. The use of biodiversity products, especially NTFPs encounter several problems due to forest degradation, lack of SFM, weak institutional surveillance and control, weak organizational capacities for production and commercialization. Low market access due to lack of specific regulations and procedures for NTFP and management plans for species with potential for value adding.
- vii) Weak institutional capacities to provide technical assistance and support to producers for adoption of sustainable production practices, conservation and restoration, and to upscale experiences and lessons to the whole of the CTEA.

19. By removing these barriers, the project will promote a sustainable forest and land management model in the Amazon that involves the development of a highly strategic landscape and ecosystem-based approach to territorial planning that is backed by a policy and legal framework and local and regional institutions with integrated decision making and oversight functions; and financial and incentive instruments to

encourage the uptake of sustainable land uses within critical areas of forested landscapes and strengthened capacities of different producers and stakeholders for their implementation.

20. As such, it is in line with national priorities established in the Constitution of the Republic of Ecuador; the National Good Living Plan (2013-2017); MAE's National Biodiversity Strategy and Action Plan (NBSAP), National Climate Change Strategy (2012-2015), the National REDD+ Program, and the National Incentives Program for Conservation and Sustainable Use of the Natural Heritage; MAGAP's Amazonian Productive Transformation Agenda (ATPA), the Ministry of Foreign Trade's (MCE) National Action Plan for Green Exports; the Amazon Integral Plan; and the LUDPs of the Amazonian provinces.

21. The project is aligned with the GEF 6 Objectives and Programs, namely: Biodiversity Focal Area Objective 4 *Mainstream biodiversity conservation and sustainable use into production landscapes and seascapes and production sectors*, Program 9 *Managing the Human –Biodiversity Interface*; Land Degradation Focal Area Objective 3 *Integrated Landscapes: Reduce pressures on natural resources from competing land uses in the wider landscape*, Program 4 *Scaling-up sustainable land management through the Landscape Approach*; and Sustainable Forest Management Objective 1 *Maintained Forest Resources: Reduce the pressures on high conservation value forests by addressing the drivers of deforestation*.

22. The project is consistent with the Aichi Biodiversity Targets and will contribute to their achievement, particularly Strategic Goal B: *Reduce the direct pressures on biodiversity and promote sustainable use*, Target 5: *By 2020, the rate of loss of all natural habitats, including forests, is at least halved and where feasible brought close to zero, and degradation and fragmentation is significantly reduced* and Target 7: *By 2020 areas under agriculture, aquaculture and forestry are managed sustainably, ensuring conservation of biodiversity*; and under Strategic Goal D: *Enhance the benefits to all from biodiversity and ecosystem services*, Target 14: *By 2020, ecosystems that provide essential services, including services related to water, and contribute to health, livelihoods and well-being, are restored and safeguarded, taking into account the needs of women, indigenous and local communities, and the poor and vulnerable*; and Target 15: *By 2020, ecosystem resilience and the contribution of biodiversity to carbon stocks has been enhanced, through conservation and restoration, including restoration of at least 15 per cent of degraded ecosystems, thereby contributing to climate change mitigation and adaptation and to combating desertification*.

23. Furthermore, the project is consistent with the Sustainable Development Goals (SDGs), in particular SDG Goals 2, 5, 12 and 15 and its targets: Goal 2 *End hunger, achieve food security and improved nutrition and promote sustainable agriculture*, and its targets 2.3 *By 2030, double the agricultural productivity and incomes of small-scale food producers, in particular women, indigenous peoples, family farmers, pastoralists and fishers, including through secure and equal access to land, other productive resources and inputs, knowledge, financial services, markets and opportunities for value addition and non-farm employment*; and 2.4 *By 2030, ensure sustainable food production systems and implement resilient agricultural practices that increase productivity and production, that help maintain ecosystems, that strengthen capacity for adaptation to climate change, extreme weather, drought, flooding and other disasters and that progressively improve land and soil quality*; Goal 5 *Achieve gender equality and empower all women and girls* and its target 5.5 *Ensure women's full and effective participation and equal opportunities for leadership at all levels of decision-making in political, economic and public life*; Goal 12 *Ensure sustainable consumption and production patterns*, and its target 12.2 *By 2030, achieve the sustainable management and efficient use of natural resources*; Goal 15 *Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss* and its targets 15.2 *By 2020, promote the implementation of sustainable management of all types of forests, halt deforestation, restore degraded forests and substantially increase afforestation and reforestation globally*; 15.3 *By 2030, combat desertification, restore degraded land and soil, including land affected by desertification, drought and floods, and strive to achieve a land degradation-neutral world*; 1.5.5 *Take urgent and significant action to*

*reduce the degradation of natural habitats, halt the loss of biodiversity and, by 2020, protect and prevent the extinction of threatened species; and 15.9 By 2020, integrate ecosystem and biodiversity values into national and local planning, development processes, poverty reduction strategies and accounts.*

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### III. STRATEGY

24. The objective of the proposed project is to catalyze the transformation of land use planning and management in the Ecuadorian Amazon (CTEA) by building a governance and sustainable production framework based on a landscape approach and optimizing ecosystem services and livelihoods.

25. The project has been organized into four outcomes:

1. Strengthened multi-level governance framework for sustainable management and production in multiple use landscapes (MUL) and high value conservation forests (HVCF) in the CTEA;
2. Access to markets, credit and incentives for sustainable production of the main products in multiple use and high conservation value landscapes of the CTEA;
3. Landscape level implementation of sustainable practices in commercial production and livelihoods systems, aligned with the conservation and restoration of HVCF;
4. Dissemination of lessons learned, monitoring & evaluation

26. **Project Outcome 1** will take actions at systemic level (national and sectorial levels) addressing the central and decentralized (provinces, cantons and parishes) government levels to strengthen the institutional stakeholders for developing the governance, financial and market frameworks for sustainable production and management of MULs and delivery of global environmental benefits through Components 1 and 2. Project support to the different government partners will take into account their respective legal competences in planning of activities.

27. The project will support mainstreaming of the landscape approach for multiple environmental benefits at different government levels coordinating national development objectives at different provincial levels. At central level, the project will support capacity building for multi-level coordination among the public stakeholders with responsibilities in the sustainable development of the CTEA to optimize joint planning and coordinated implementation of public policies, and improving efficiency and effectiveness of government interventions in the CTEA under a landscape approach.

28. At provincial level the project will promote mainstreaming of the landscape approach in several manners. The planning and management capacities of the GADs will be strengthened based on a multiple use landscape approach by training of key staffs of the provincial, municipal and parish GADs, and relevant stakeholders in issues such as: land use planning, landscape approach, SFM and SLM, roles and responsibilities of decentralized structures, and legal frameworks. Moreover, strengthened coordination between local communities, GADs and central government (MAE and MAGAP) will improve efforts in generating early warnings on deforestation, monitoring and surveillance linked to the national forest monitoring system, and to support sustainable deforestation free production.

29. With key stakeholders better prepared and organized the project will strengthen the dialogue and decision making mechanisms. This will include mainstreaming of the landscape approach and environmental sustainability criteria in land use planning and development in selected pilot landscapes. A Territorial Coordination Platform for multilevel governance for managing CTEA landscapes will be developed involving the different government levels, civil society and private sector. The project will support the platform in developing instruments and assessments (e.g. territorial priority documents, Targeted Scenario Analysis) that will serve as input for the adjustment of sectorial policies and LUDPs, incorporating guidelines and specific guidance on types and production models for different categories of forest (protection, production, private) and levels of land degradation (high, medium, low). Strengthening of the planning and enforcement framework under this component will help land-owners exercise their rights in terms of sustainable resource use, in effective coordination with other actors, specifically different levels of government.



30. A key component of the governance framework will be to ensure adequate enforcement of the environmental and forest regulations at local level. Thus the project will develop a participatory local monitoring and surveillance program incorporating local participation in the enforcement of sustainable production regulations in the CTEA. This will include capacity building of local authorities and communities, and developing an early warning and grievance mechanism to report illegal activities. Also a knowledge management program will be developed to support sustainable production and landscape management. This will include the establishment of or access to existing knowledge networks among NGOs, universities and communities to document best practices and lessons for different types of production in different landscape conditions and locations (e.g. production systems, yields, sustainability); developing learning materials; and promoting links with other Amazonian countries by linking Ecuadorian networks with the Amazon Sustainable Development Solutions Network (SDSN) for exchange of lessons and experiences, promotion of innovative technologies and replication of best landscape governance practices.

31. This set of interventions will create an enabling framework for effective governance managing conflicting land uses and optimizes sustainable land and forest management and biodiversity conservation, as well as the conditions for undertaking interventions at landscape level and promoting replication, ensuring that the future expansion of production does not compromise biodiversity and ecosystem function and contributes to the establishment of deforestation free supply chains that provide sustainable products to the markets.

32. Outcome 1 will mainstream gender and inter-cultural issues through several strategies: i) mainstreaming of a gender and inter-cultural approach in LUDPs; ii) training programs for MAE, MAGAP, GADS and other key public entities will include a gender awareness raising module that includes empowerment of family groups and organizations to raise awareness on the division of roles and a more equitable distribution of workloads between men and women and show how women, especially indigenous women, use their time; iii) fostering participation of women in planning and decision-making in the Territorial Coordination Platform (40% participation of women and 60% participation of indigenous peoples); iv) training of Territorial Coordination Platform members on gender and inter-cultural approaches; v) promoting the participation of the Gender Equality Council (in charge of national gender policies) in the Territorial Coordination Platform; vi) developing an edu-communication strategy with contents and materials in line with family realities, ethnicity, and respect for local cultural practices and traditional knowledge; and vii) assessments and studies will include methodologies that disaggregate data by sex, age, ethnicity to assess population statistics, family income, number of women and youths, population characteristics, number of male and female heads of households, roles of family members in productive systems, and roles of indigenous families located in critical areas for conservation.

33. **Project Outcome 2** will develop new market and financial opportunities to stimulate the adoption of sound environmental practices, conservation of biodiversity, and compliance with sustainable land use plans. This will be achieved through a threefold approach. One approach will envisage promoting commercial relations between producers and buyers of sustainable products at national and international level to stimulate offer and demand for sustainable coffee, cocoa, oil palm and livestock to access differentiated markets for these products. This will include establishing and/or strengthening Regional Platforms for Sustainable Supply Chains of coffee, cocoa, oil palm and livestock.

34. The platforms will serve the purpose of fostering multi-stakeholder dialogue and consensus; promoting the development of sustainable and deforestation free supply chains for the selected products; and connecting buyers of sustainable products with producers to establish preferential purchasing agreements for products that comply with sustainable production standards and/or implement certification schemes. The coffee, cocoa and palm oil platforms will address accessing opportunities in market niches that value environmentally and socially responsible production to access differentiated prices to increase producers'

incomes and contribute to financial sustainability of adopting sound environmental practices and certification schemes. The livestock platform will focus on sustainability of production, and quality and safety of products for the domestic market.

35. Furthermore, a Roundtable for Wood, Non-wood and Biodiversity Products will be established seeking to set the foundations for the development of bio-commerce enterprises linked to their demands in the domestic market<sup>14</sup>. The roundtable will promote market access for selected biodiversity products and support specific actions to make commercial use of live natural resources from ecosystems (e.g wildlife and NTFP), through a competitive grants mechanism, supporting local initiatives that strengthen an integrated approach to sustainable supply chains, generating added value to the raw materials and developing diversified produce and products based on biodiversity and sustainable forest management, thereby promoting economic growth.

36. In parallel, the second approach will address the strengthening of incentives for SFM and SLM through developing systems and capacities to optimize the access to, distribution and use of the Socio-Bosque Program (PSB) conservation incentive for integrated conservation, restoration, sustainable production and use of biodiversity, hence improving access and benefit sharing and ensuring conservation of ecosystem services at landscape level. It will also promote access to MAE's recently established "Incentive for Sustainable Forest Management"<sup>15</sup> in protective forests. These actions will be undertaken in protective forests and PSB conservation areas, not in SNAP protected areas. Moreover, modeling of income distribution systems for other SFM incentives including results-based incentives such as the REDD+ national program will be supported. These actions will serve to generate inputs to improve coordination between current incentive programs and policies through generating a baseline of how incomes for these selected activities are distributed in the CTEA; providing inputs to propose a better distribution of incomes to support more effective SFM and SLM practices in the CTEA; and improving monitoring systems on the distribution and use of incomes.

37. A third approach will entail greening of financing for commercial producers of coffee, cocoa, oil palm and livestock to stimulate dissemination and adoption of best practices. The project will establish partnerships with financial institutions that provide loans to the productive sector in the CTEA. This will include working with institutions that finance production of the selected commodities through training programs to support these institutions in developing investment portfolios to finance deforestation free production for commercial producers, as well as methods to assess the production practices eligible for financing in HCVF or according to the level of land degradation in the area. In the case of small producers and communities that lack access to credits, the project will support the development of micro-credit lines and modalities adapted to these beneficiaries so as to allow them access to financing and to incur in sustainable production.

38. Outcome 2 will mainstream gender and inter-cultural issues through: i) fostering participation of women and indigenous peoples in the platforms and roundtable for market access (at least 40% women and 60% indigenous men or women); ii) identifying specific opportunities for business opportunities and market access for women and indigenous peoples in market and feasibility studies, and platform action plans; iii)

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<sup>14</sup> The domestic market will be targeted in this case based on the lessons of the GEF BioCAN Project, which recommends to prioritize the national or regional level first, developing the national policies, regulations, thematic roundtables, and training to then target access to international markets.

<sup>15</sup> The Incentive for Sustainable Forest Management (Socio-Management) (MAE Agreement #187) was established in 2014 is a non-monetary incentive to promote SFM practices through training and technical assistance to reduce production and transaction costs within the supply chain (production, commercialization, processing). Technical assistance includes – among others – promotion of SFM practices, access to credits, tax exemptions, organizational strengthening, land titling, market access, awareness raising to promote responsible purchases, and obtaining a certificate of legal origin of wood. Technical assistance is to be provided by forestry advisors (MAE staff) with the support of local forest extension agents who may be selected among community members.

developing a competitive grants mechanism emphasizing in indigenous women and youths to support startups for income generation through sustainable use of biodiversity products; iv) specific training on gender and inter-cultural issues to financial institutions' personnel; v) developing special credit lines for women and indigenous men and women; and vi) fostering participation of women in optimizing Socio-Bosque investment plans and identifying specific conservation, restoration and sustainable production and use of biodiversity activities that will generate socio-economic benefits to women.

39. **Project Outcome 3** will intervene in three selected landscapes in the North, Center and South comprising five cantons<sup>16</sup> that characterize the existing and emerging challenges in each sub-region but that are replicable to the entire CTEA. The project will build upon experience and lessons generated by ongoing MAGAP and MAE programs and projects (e.g. MAGAP's Agenda for Productive Transformation of the Amazon –ATPA, Coffee and Cocoa Reactivation Project, Sustainable Livestock Project; GAD and producers' associations technical assistance programs), delivering direct environmental and social benefits and generating lessons to improve their implementation, shifting from their current sectorial approaches to an inter-sectorial integrated landscape management approach. Through training, technical assistance and with the support of the financial and market incentives developed under Outcome 2, the project will promote an attitudinal transformation of the productive sector to achieve a change from the current non sustainable production practices undertaken in the CTEA toward sustainable forest and land management practices that secure the unabated supply of the ecosystem services necessary for production, thereby contributing to development of deforestation free supply chains. In planning field interventions, the project will take into account MAGAP's monitoring system for land use change and expansion of the agricultural frontier, which allows measuring the impact of the different actions foreseen by the project for reduction of deforestation and adequate use of natural resources; and that support to local initiatives be undertaken following an integrated approach to sustainable supply chains.

40. The project will not work with SNAP protected areas; it will focus efforts on areas in the landscape where threats to HCVPs and critical connecting forests are most acute, focusing on forest clearance, forest degradation and other unsustainable practices. In doing so, the project will reduce deforestation and enhance restoration of natural habitats and biodiversity conservation. This will help secure the flow of ecosystem services from productive landscapes and natural habitats. The experiences and lessons generated will be replicable to the whole region facilitated through Components 1 and 2. The table below summarizes key characteristics of the pilot landscapes.

**Table 3.** Main characteristics of selected pilot landscapes

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<sup>16</sup> The selected landscapes comprise the following cantons: in the North: Orellana (Orellana province) and Shushufindi (Sucumbios province); in the Center: Taisha (Morona Santiago province) and in the South: Morona (Morona Santiago province) and Nangaritza (Zamora Chinchipe province). The selection process included the definition of 23 criteria: 1) PIF objective and outcomes; 2) Presence of international cooperation; 3) Carbon contents; 4) Political affinity and level of conflicts; 5) Qualification of the Land Use and Development Plans; 6) Technical capacity of GADs for environmental management; 7) Capacity for managing international cooperation; 8) Availability of geographical information; 9) Percentage of surface area under agricultural use; 10) Presence of the Socio-Bosque Program; 11) Air access; 12) Land access; 13) River access; 14) Presence of collection centers for harvests; 15) Areas of field work by universities and research centers; 16) Presence of indigenous peoples; 17) Presence of private sector and financial institutions; 18) Deforestation rates; 19) Conservation gaps; 20) Presence of strategic projects; 21) Poverty rates; 22) Presence of protected area buffer zones and protective forests; 23) threats and vulnerability of ecosystems. Information and maps related to each criteria were collected and the following maps were prepared as part of the geographical analysis: 1) Carbon contents; 2) Surface area under agricultural use; 3) Presence of Socio-Bosque Program; 4) Air access; 5) Road access; 6) River access; 7) Presence of collection centers; 8) Indigenous peoples; 9) Deforestation; 10) Conservation gaps; 11) Presence of strategic projects; 12) Protected area buffer zones and protective forests; and 13) Threats and vulnerability of ecosystems. Scores were assigned to each criterion and three landscapes were selected (Northern, Central and Southern Amazon) based on the highest scores. Once the landscapes were validated with MAE, the maps and thematic coverage were clipped through Geographical Information Systems (GIS) and thematic and environmental maps were prepared for each landscape, namely: 1) Political-administrative division; 2) Protected Areas; 3) Protective forests; 4) Biosphere reserves; 5) RAMSAR sites; 6) Socio-Bosque conservation areas; 7) Land use; and 8) Watersheds. The environmental maps collected from different institutions were clipped following the boundaries of the selected landscapes in order to prepare thematic maps of each selected area. Clips of the geographical coverage were the basis to prepare the maps for each environmental component. See maps generated in Annex K. The detailed report on selection of the three landscapes in Spanish is available at request.

	<b>Northern Amazon</b>	<b>Central Amazon</b>	<b>Southern Amazon</b>
<b>Cantons</b>	- Orellana (Province of Orellana) - Shushufindi (Province of Sucumbios)	- Taisha (Province of Morona Santiago)	- Morona (Province of Morona Santiago) - Nangaritza (Province of Zamora Chinchipe)
<b>Number of parishes</b>	18	5	12
<b>Surface area (of cantons)</b>	961,291 ha	616,056 ha	667,610 ha
<b>Main land uses</b>	- Coffee-cocoa: 20,145 ha - Oil palm: 39,787 ha - Livestock: 91,042 ha - Forests: 550,767 ha (*) - Other uses/ vegetation remnants: 63,928 ha	- Livestock: 39,461 ha - Forests: 565,651 ha (*) - Other uses/ vegetation remnants: 9,109 ha	- Coffee-cocoa: 167 ha - Livestock: 87,500 ha - Forests: 330, 692 ha (*) - Other uses/ vegetation remnants: 57,007 ha
<b>Protected areas &amp; Socio-Bosque community conservation areas</b>	- Protected areas: 192,160 ha - SB: 31,886 ha	- Protected areas: 0 ha - SB: 1,693 ha	- Protected areas: 188,585 ha - SB: 2,649 ha
<b>Number of producers and types</b>	Cocoa: 2,153 (small) Coffee: 1,769 (small) Oil palm: 459 (91% small, 7% medium, 2% large) Livestock: 3,688 (76% small, 5% medium, 3% large)	Cocoa: 303 (small) Coffee: 40 (small) Livestock: 875 (76% small, 5% medium, 3% large)	Cocoa: 184 (small) Coffee: 247 (small) Livestock: 3,237 (76% small, 5% medium, 3% large)

(\*) Includes forests in productive landscape, community lands and protective forests.

Source: Based on: Idrovo, Jorge. Consultoría en Mercados e Incentivos para Producción Sostenible para la Amazonía Ecuatoriana. 2016; Segarra, Pool. Consultoría para apoyo a la definición de tres paisajes piloto en el marco del proyecto “Manejo integrado de paisajes de uso múltiple y de alto valor de conservación para el desarrollo sostenible de la Región Amazónica Ecuatoriana”.

41. In the North the project will foster the adoption of environment-friendly practices in cocoa, coffee and oil palm, which have promising opportunities in market niches that value environmentally and socially responsible production. Environmentally sustainable production will help reduce the current and emerging pressures and impacts on the ecosystems and develop deforestation free supply chains. Environment-friendly production of coffee and cocoa will seek to increase productivity while at the same time contributing to improve connectivity and conservation of HVCFs and biodiversity in MULs through agroforestry systems, *chakra* systems, soil management and conservation and reduced and adequate use of agro-chemicals, that are replicable to the Center and South. These practices will serve to demonstrate the advantages of shade-grown coffee given that new plantations such as the ones that have been established to replace degraded pastures have not taken into account the inclusion of trees, which has clear benefits in terms of improving soil structure, increasing yields, better quality of the product and creating habitats for wildlife. Furthermore, the project will generate experiences for adequate planning of future plantations taking into account land use planning based on the landscape approach and biodiversity considerations through instruments developed in Outcome 1 e.g. mapping of cultivation areas identifying the optimal areas, areas with moderate to severe limitations and areas with no aptitude including critical areas for conservation (HCFVs, connectivity corridors, protected areas). Best practices and certification schemes in oil palm will seek to increase productivity solely in optimal areas for cultivation based on agro-ecological mapping developed in Outcome 1. Work will also include facilitating the reconversion of palm areas that may be located in protective forests to areas not apt for agricultural use through incentives. There will be no encouragement of expansion of palm through deforestation of native forest. The project will not work with SNAP protected areas but will do so in forests in the production landscape that are under protective forests category and corridors to avoid expansion of palm thus maintaining connectivity in key areas. In addition, conservation agreements will be promoted with coffee, cocoa and oil palm producers who conserve remnants of primary or secondary forests in areas of HCV.

42. In the Center, SFM and sustainable use of biodiversity and complementary livelihood options will be promoted with communities and indigenous peoples to generate lessons addressing decision-making on land use options to face emerging development processes. Three interventions will be undertaken. The first one will entail strengthening the Achuar System for Conservation and Ecological Reserves of Ecuador (SACRE) through supporting the Achuar Nationality of Ecuador (NAE) organization in developing the management plan of their territory (covering most of the Taisha canton) and its designation as a protected area under the SNAP. As a protected area, sustainable NTFP management will be the permitted productive option. Therefore, the project will technically support the Achuar communities in developing management plans for *morete*, *ungurahua*, *ishpingo* and forest and fruit tree seeds and in building their capacities for implementing such plans. These will constitute pilot experiences to develop an approach to sustainable use including technical studies of the species, productive aspects, communities involved, markets, innovations in harvesting technologies, extraction and processing, as well as identification of feasible bio-commerce initiatives.

43. The second set of interventions will address SFM in the Kutuku Shaimi Protective Forest<sup>17</sup>. Given that the location of Kutuku Shaimi is mostly in the Southern landscape, the description of the project activities is included under this landscape (see below) and not under this outcome to avoid duplication of text. Nevertheless, the activities outlined below will also be undertaken in the Central Amazon portion of the protective forest. The third set of interventions will comprise the promotion of sustainable tourism as an alternative option for economic diversification and livelihood improvement, identifying existing initiatives, strengthening community capacities for managing sustainable tourism and promoting links to ongoing government funding opportunities for tourism.

44. In the South the project will promote the strengthening of the Kutuku Shaimi Protective Forest and sustainable livestock production best practices and conservation agreements. Strengthening of the Kutuku Shaimi Protective Forest will pursue the objective of generating experiences and lessons to improve conservation and sustainable management of protective forests that are replicable throughout the CTEA. Project support will address developing the new 5-year management plan for Kutuku Shaimi<sup>18</sup> and innovative SFM approaches. These will include piloting “Management Plans for Protection, Monitoring and Mitigation Measures for SFM, NTFP and Forest-associated Fauna” for SFM designated zones and “Integral Plans for SFM of Multiple Species” at plot level (based on the regulations developed under Outcome 1.1). These plans will contain a more comprehensive approach to SFM and will go beyond the traditional plans that are limited to wood harvesting and incorporating the sustainable use of NTFPs and other biodiversity products. They will also serve the purpose of identifying business opportunities based on the sustainable use of wood products and NTFPs, hence increasing the value of forests. The project will also develop a management effectiveness tool specific for protective forests that will be piloted in the Kutuku Shaimi forest to support MAE in improving its management effectiveness capacities. This will set the foundation for adopting and applying this tool to other protective forests in the country. Support will be also provided to Shuar communities for the development of management plans and sustainable use of *morete*, *ungurahua*, *ishpingo* and forest tree seeds. Furthermore, sustainable tourism will be considered as an alternative option for economic diversification and livelihood improvement, through identifying existing initiatives, strengthening community capacities for managing sustainable tourism and promoting links to ongoing government funding opportunities for tourism. Once the zoning of the Kutuku Shaimi forest is completed, the farms located within the protective forest will prepare Integrated Management Farm Plans,

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<sup>17</sup> The Kutuku Shaimi protective forest has a surface area of more than 300,000 ha, of which 193,737 stretch over the cantons of Taisha in the Central Amazon landscape (approximately 21% of its surface area) and the Morona canton in the Southern Amazon landscape (79% of its surface area).

<sup>18</sup> Current plan covers the period 2012-2017

including activities linked to REDD+ measures and actions, climate change and sustainable production for climate smart agriculture that also supports conservation of the protective forest.

45. Environmentally sustainable livestock best practices will serve the purpose of improving connectivity, reducing soil degradation and restoring degraded pastures through agroforestry and silvopastoral systems, soil conservation and management practices and pasture management, increasing productivity and incomes to prevent further expansion of the livestock frontier in HCV forests. In addition, conservation agreements will be promoted with producers who conserve remnants of primary or secondary forests in areas of HCV. These interventions will be replicable to the North and Center where livestock production is also important. The project will also support the strengthening of the existing Foot and Mouth Disease traceability system by incorporating livestock management variables and environmental sustainability indicators, and piloting these innovations with producers to acquire experience and identify lessons that can serve to improve sustainability of production and at the same time provide feedback to the platform efforts (Outcome 2) in exploring benefits and costs of promoting environmentally responsible livestock products for the domestic market.

46. The project will make use of ATPA-MAGAP's methodology for elaboration of Integral Farm Management Plans (PMIF). The PMIF is a tool for landscape planning at micro (farm) level to concretize the territorial level planning contained in the LUDPs; support regulating of land use; and facilitate articulation between MAE and MAGAP. The PMIF contains a detailed economic and financial analysis of the farm's current and future productive activities to ensure economic sustainability of the proposal, as well as social, cultural and environmental aspects. It constitutes the mechanism for delivery of incentives, specialized technical assistance and support for accessing loans, as well as for effective monitoring and evaluation of the proposed land use changes. Additionally, the investment plans for associative initiatives will be taken into account; these plans group several individual management plans with the same productive orientation with the purpose of securing volumes for commercialization and/or processing. The experience and lessons acquired during implementation may serve to improve the PMIF methodology, including incorporating methodological or technological innovations.

47. To ensure uptaking of best practices in all three landscapes and contributing to the development of supply chains the project will provide support to build the managerial and business capacities through organizational strengthening, harvest and post-harvest management, national and international market standards, and commercialization strategies for market access. Implementation of registry systems will be a key aspect in capacity building of producers seeking to set the foundations for the implementation of traceability systems to aid in future development of certification schemes, such as organic production, collective marks and certification of origin. The widespread adoption of best practices will contribute to promoting minimum quality standards and sufficient volume of offer of sustainable products to access markets that pay differentiated prices, thereby increasing producers' incomes and eventually improving their livelihoods.

48. Finally, upscaling sustainable production at landscape level in the CTEA will be promoted through several approaches. One approach will be the strengthening of extension services in sustainable production practices and landscape approach, and of producers' associations on best practices and standards to comply with market requirements for sustainable products. This will include training and exchange of experiences for technicians and producers' associations from both the pilot landscapes and the rest of the Amazonian provinces e.g. technicians and producers from the South to observe the coffee and cocoa experiences in the North; oil palm experiences within the North; from the North and Center to observe the livestock experiences in the South; from the North and within the Center the SFM/NTFP experiences in the Center; and within the South the SFM/NTFP experiences in the southern portion of Kutuku Shaimi. Another approach will address support to producers to access inputs, technology and other services for production through disseminating information on the existing government monetary and non-monetary incentives

addressing conservation, restoration and sustainable production and the credit lines for sustainable production developed under Outcome 2. These approaches will contribute to a widespread dissemination of best practices and standards to comply with market requirements for sustainable products, hence contributing to the development of value chains and increase in the offer of this kind of products, while at the same time contributing to conservation of HVCFs and biodiversity, and restoration of degraded areas.

49. Outcome 3 will mainstream gender and inter-cultural issues through several strategies: i) best practices guidelines and training and technical assistance programs will be prepared based on a gender and inter-cultural approach; ii) fostering equal participation of women and indigenous peoples in trainings, meetings and technical assistance; iii) promoting participation of men and women in technical assistance teams, preferably mixed teams to create an enabling environment for gender and inter-cultural mainstreaming; iv) training and technical assistance will take into account the work schedules of producers and their families for minimum interference with the daily chores of men and women in order to ensure their participation in the activities organized by the project. Given that indigenous women are in charge of traditional *ajás* and *chakras* an important aspect to be taken into account is that training and technical assistance in these cases be delivered by female technicians and local promoters, respecting their cosmovision and traditional knowledge, fostering dialogue and learning by doing; v) SFM and NTFP management plans will mainstream gender and inter-cultural issues - including traditional knowledge, cultural uses of the forest and inter-cultural dialogue - and will include specific activities targeting women (e.g. training, specific business opportunities and value adding initiatives); vi) promoting equal participation of men and women in NTFP business opportunities; vii) promoting access of women to incentives and credit lines for sustainable production, value adding and alternative livelihoods (aquaculture, meliponiculture, sustainable tourism); and viii) promoting exchange visits for groups of women and youths to successful experiences.

50. In planning of interventions under the above outcomes the project will take into account building upon previous experiences and lessons learned. Training programs will be developed on the basis of a training needs assessment, following innovative and participatory training methods, and promoting a learning by doing approach. Additionally, the project will take into account coordination with the existing official government mechanisms in the region, ongoing programs and projects, in particular the Project “Priming Financial and Land-Use Planning Instruments to Reduce Emissions from Deforestation” to be funded by the Green Climate Fund (GCF), which also includes the CTEA as its target area<sup>19</sup>.

51. **Project Outcome 4** will provide the necessary means for the monitoring and evaluation (M&E) of project results in order to inform adaptive management and improve the implementation of the project. A Mid-term (MTE) evaluation will be executed between the second PIR and third PIR and the terminal evaluation (TE) will be prepared by independent evaluation teams and compiled into reports. Outcome 4 will also enable consolidation of best practices and lessons learned extracted throughout the course of the project’s implementation and support dissemination of lessons-learned and experiences at regional and national levels and to other Amazonian countries. To this purpose, it will make use of existing online communities of practice such as the Sustainable Development Solutions Network (SDSN) Amazon<sup>20</sup> the UNDP-Yammer group and UNDP-Exposure platforms<sup>21</sup>, UNDP corporate webpages at national, regional and global levels as well as government platforms, especially the MAE webpage and newsletters. This will

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<sup>19</sup> The GCF project will support the implementation of the National REDD Strategy and Action Plan that includes priority actions and measures to reduce and avoid deforestation focusing primarily on the Amazon. A program approach has been designed whereby multiple funding sources are contributing to the reduced deforestation. Each is supporting a specific part of the larger picture and synergies and complementarities have been optimised during the design phase of this GEF initiative. By setting up a governance framework for sustainable production based on a landscape approach and implementing this in three landscapes the GEF-UNDP project will overcome barriers and help catalyse the transformation of land use planning and management. The broader program with the GCF and other resources will take this further to scale across the entire Amazon region priming financial and land-use planning instruments

<sup>20</sup> <http://unsdsn.org/what-we-do/national-and-regional-networks/regional-sdsn/regional-sdsn-for-the-amazon>

<sup>21</sup> <https://undp.exposure.co/>

help ensure access to this information by the wider stakeholder community to the experiences, failures and successes of the project. Project M&E will take into account collecting and monitoring sex-disaggregated and inter-cultural data related to governance, participation, access to credits and incentives, and sustainable production as well as participatory methodologies (e.g. Closing the Gap and Measuring Empowerment in Organizations). Furthermore, the MTE and TE will provide an overview of the processes developed to extract lessons and best practices from the interventions targeting women and youths, especially indigenous peoples.

52. Project design takes into account the assumption that achievement of the proposed outcomes relies heavily on the willingness of the national and decentralized institutions and key stakeholders to overcome the identified barriers that result in inefficiencies, superposition of actions, and missed opportunities for inter-sectorial collaboration. The strategy explained in detail above is built upon the active participation of public, private and civil society partners and is expected to result in the development of an enabling framework for an integrated approach to sustainable management and production in MULs of the CTEA that envisages the development of policies, plans and participatory strategies that improve inter-institutional and intersectorial coordination; strengthening opportunities for dialogue and consensus; capacity building of national and provincial stakeholders, access to finance and markets for sustainable production and promotion of sustainable production practices, conservation and restoration for the long-term protection of global and local values of the CTEA (see also Figure 1 – Theory of Change).

53. The project will deliver a number of environmental and socio-economic benefits, which are detailed in the Results Framework (Section VI) below, including: a) 1.859.600 of MUL and HCVF in target landscapes outside protected areas maintain the supply of ecosystem services (including conservation of biodiversity, soils, water resources and carbon sequestration) through a strengthened multi-level governance framework and capacities based on landscape approach, through direct effect of the project; 3.328.813 ha through indirect effect; and 6.470.386 ha in the long term; b) avoided emissions of CO<sub>2e</sub> through protection and sustainable management of forests (257,566.69 tCO<sub>2e</sub> in Morona y Zamora provinces over 6 years and 8,726,514.50 tCO<sub>2e</sub> in CTEA over 20 years); c) 439,369 ha of HCVFs in community and indigenous lands conserved through incentives; d) 172,646 ha production in farms/plots managed according to landscape approaches conserving forest ecosystem services; e) Improved capacities of at least 5,164 producers for sustainable forest and land management. These benefits will also translate into direct benefits for species many of which are significant globally, including: mammals such as the White-bellied Spider Monkey (*Ateles belzebuth*), Poepig's Woolly Monkey (*Lagothrix poeppigii*), Giant Otter (*Pteronura brasiliensis*), Lowland Tapir (*Tapirus terrestris*), Giant Armadillo (*Priodontes maximus*), Golden-mantled Tamarin (*Saguinus tripartitus*), Margay (*Leopardus wiedii*), Short-eared Dog (*Atelocynus microtis*), White-lipped Peccary (*Tayassu pecari*), Jaguar (*Panthera onca*), Bush Dog (*Speothos venaticus*), Amazonian Manatee (*Trichechus inunguis*) and Oncilla (*Leopardus tigrinus*) and Melissa's Yellow-eared Bat (*Vampyressa melissa*); birds such as the Wattled Curassow (*Crax globulosa*), Harpy Eagle (*Harpia harpyja*) and Crested Eagle (*Morphnus guianensis*); trees such as *Rollinia helosioides* and Cedar (*Cedrela fissilis*).



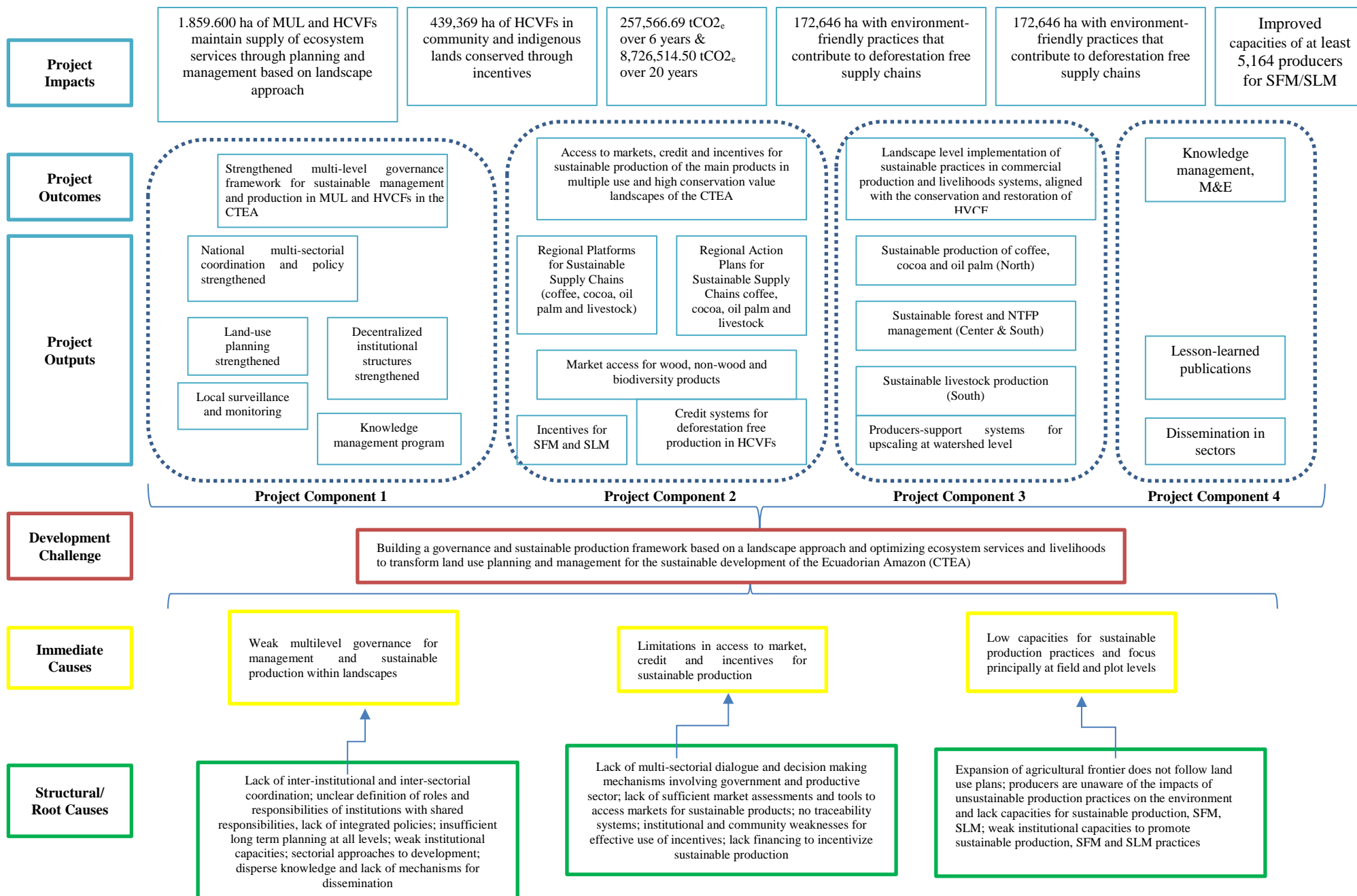


Figure 1. Theory of Change

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## IV. RESULTS AND PARTNERSHIPS

### i. Expected Results:

54. The principal outputs of the project, which will support the achievement of the project's five (4) outcomes, are the following:

55. **Outcome 1:** Strengthened multi-level governance framework for sustainable management and production in multiple use landscapes (MUL) and high value conservation forests (HVCF) in the Special Amazonian Territorial Circumscription (CTEA)

56. *Output 1.1: National multi-sectorial coordination and policy strengthened to support sustainable production in MULs*

57. The project will support strengthening of national multi-sectorial coordination and policy through two approaches. The first approach will address the strengthening at central level of the mechanisms foreseen under the Constitution and laws for multi-level coordination among the diverse public stakeholders with responsibilities in the sustainable development of the CTEA. This will be achieved through support to SENPLADES in promoting and improving coordination between the Citizen Sectorial Councils for Production, Environment, Water, Transport and Mining<sup>22</sup> and between Sectorial Councils and their respective ministries (MAGAP, MAE, Water Secretariat, Ministry of Transport and Public Works and Ministry of Mining). Support will comprise several activities: i) awareness raising and presentations to each Sectorial Council by project specialists and external thematic experts on key project themes e.g. global and local values of the CTEA, current development initiatives and risks of continued loss of these values in the future if environmental sustainability is not secured, landscape approach as an instrument, landscape approach to territorial planning, sustainable land uses, potentials for accessing differentiated markets with sustainable products; ii) targeted training for Sectorial Council members on how to mainstream the landscape approach in development plans; and iii) inter-sectorial meetings and exchanges between representatives of the different Sectorial Councils and their respective ministries to promote inter-sectorial and inter-institutional dialogue and collaboration on issues such as defining roles and responsibilities of the ministries to avoid overlapping of activities, strengthening coordination, integration of policies, long term planning and allocation of financial resources.

58. The second approach will address strengthening regulations on forest conservation and land use to mainstream guidance for sustainable production of non-timber forest products (NTFP) and deforestation free production of palm, coffee, cocoa and livestock in HVCFs; and strengthening of national capacities for regulation enforcement. The project will technically assist MAE and MAGAP at their request in reviewing, analyzing and developing regulations. This will include developing regulations to promote the production of deforestation free products (including decision-making, institutional roles, methodologies and institutions responsible for verifying and controlling compliance of such regulations); and developing manuals and guidelines and other procedural documents in project-related subjects, which will be prepared jointly by both institutions or in a coordinated manner.

59. Support will be provided to MAGAP in coordination with MAE, to develop the instruments contained in the Organic Law of Rural Lands and Ancestral Territories that currently do not exist: i) environmental parameters for protection of soils under vegetation cover; ii) an instrument for zoning community or

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<sup>22</sup> The Environment, Production and Water Sectorial Councils are operational. The Mining Sectorial Council was established at the end of 2015 and the Transport Sectorial Council was established at the beginning of 2016. Sectorial Councils are made up of representatives from the country's territories. SENPLADES is in charge of convening the Sectorial Councils.

individual lands of small subsistence farmers based on the landscape approach, that includes co-management responsibilities in controlling the expansion of the agricultural frontier and environmental management; and iii) regulations for conservation and use of fragile ecosystems of the CTEA based on the landscape approach and HCVFs<sup>23</sup>.

60. Furthermore, the project will support MAE in: i) mainstreaming gender and inter-cultural approaches in forest regulations; ii) developing regulations for Special Management Plans for Protection, Monitoring and Mitigation Measures for SFM, NTFP and Forest-associated Fauna (for areas designated for SFM in protective forests) and Integral Plans for SFM of Multiple Species (for community or individual lands). These plans currently do not exist and will contain a more comprehensive approach to SFM and will go beyond the traditional integral plans required by MAE for issuing wood harvesting permits. The Integral Plans for multiple species will also serve the purpose of identifying business opportunities based on the sustainable use of wood products (e.g. crafts, furniture), NTFPs (e.g. tree nurseries) and fauna, hence increasing the value of forests; iii) design of administrative procedures for issuing forest harvesting permits, transport permits for forest products, supervision of establishments that process, commercialize or store wood products, control and supervision of native forest use in any degree of intervention (e.g. natural regeneration, secondary forests, agroforestry systems, trees outside the forest, forest plantations in protective forests), and parameters for implementing sustainable forest management incentives; and iv) updating and approval of the proposal for a regulation for sustainable management of NTFPs developed in 2013 by the GEF supported Andean Bio-trade project<sup>24</sup>.

61. These revised regulations will provide reference frameworks for several project processes related to territorial planning and articulation (Output 1.2), land use planning (Output 1.3), local monitoring systems (Output 1.4), dialogue platforms for deforestation free supply chains (Outcome 2) and sustainable forest, NTFP and agricultural production (Outcome 3).

*62. Output 1.2: Decentralized institutional structures strengthened for management and surveillance of sustainable production in MULs*

63. The project will support the provincial and municipal levels through strengthening the decentralized institutional structures. This will be done through several interventions. A first set of interventions will entail the development of a multi-level governance model for MUL management involving provincial, municipal and parish levels. This will be done through establishing a Territorial Coordination Platform for the CTEA. This platform will have the objective of being a long-term space where the different national and local sectors can align, take ownership and develop joint concrete actions in terms of coordinating and articulating development interventions in the CTEA; exchanging information on ongoing and planned interventions; sharing information, lessons and experiences; and optimizing the impact of the different interventions.

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<sup>23</sup> The law has the objective of regulating use and access to the property of rural lands and the fulfillment of the social and environmental function of the land. Art.12 stipulates that environmental parameters must be developed to ensure fulfillment of the environmental function of the law. Art. 50 stipulates that the advance of the agricultural frontier over fragile ecosystems (e.g. native forests) must be limited; that activities of community and individual small subsistence farmers should be based on an instrument for managing land zoning; and that the environmental and agrarian authorities shall regulate conservation and use of fragile ecosystems.

<sup>24</sup> This proposal was prepared with the objectives of simplifying the administrative procedures to authorize the commercial use of NTFPs to reduce illegal harvesting and commercialization, facilitate compliance of legal requirements and promote mechanisms to incentivize the registry of NTFP users with MAE to develop a countrywide inventory and generate information for sustainable use

64. Establishment of the platform will build upon UNDP’s ART Initiative and the experience acquired in implementing the ART methodology in Ecuador. The platform will be led by SENPLADES and will include national public institutions, GADs, private sector, universities, CSOs and NGOs, and donors. Tables 5, 6, 7 and 8 below include preliminary lists of stakeholders identified during the project design phase. A detailed stakeholder mapping will be undertaken during project implementation and other relevant institutions that may be identified will be invited to participate in the platform. Participation of women and members of indigenous nationalities representing their organizations will be encouraged (at least 40% women and 60% indigenous peoples). Upon establishment of the platform, the Project will support drafting of Statutes defining the rules of procedure for the platforms, including objectives, protocol for meetings, record keeping, decision making and coordination mechanisms.

65. Following the ART methodology, Provincial Work Groups will be established made up by SENPLADES and the provincial GADs of Orellana, Sucumbios (Northern Amazon), Morona Santiago (Central and Southern Amazon) and Zamora Chinchipe (Southern Amazon), where the target landscapes for on the ground interventions are located (see Outcome 3 for further information on field interventions). The five cantons that comprise the three landscapes will be the target cantons under the ART methodology. The Provincial Work Groups will lead the establishment of Municipal Work Groups with wide participation of key stakeholders of the selected cantons. Under the guidance of the Provincial Work Groups, the Municipal Work Groups will work in reviewing and articulating the existing municipal and provincial development plans with the National Development Plan. This will allow highlighting the development priorities that coincide at different levels and preparing territorial priority documents identifying ongoing and planned initiatives, territorial priorities, actions, project ideas. These priority documents will also provide a reference framework for the land use planning activities under Output 1.3 below. Based on the priority documents, the platform will prepare an Action Plan to promote partnerships between the participating institutions to mobilize national, territorial and international resources addressing the development challenges in the CTEA, follow the development of these partnerships and promote the optimization of plans and resources for the CTEA to fulfill the proposed objectives of the platform. Furthermore, within the framework of the platform, the project will promote dialogue between MAE and MAGAP to generate proposals for definitions related to MULs, HCVFs, NTFPs, ancestrality/ancestral lands, and others necessary to develop official definitions by the national institutions.

66. A second set of interventions will entail strengthening the local participatory structures of the five selected cantons, namely the GADs’ Municipal Planning Councils<sup>25</sup> and Citizen Assemblies<sup>26</sup> as a means to support the articulation processes to be developed through the Territorial Coordination Platform. The project will assist the five GADs in establishing Citizen Assemblies, with 30 members each, preferably women, youths and members of indigenous nationalities (40% women and 60% indigenous peoples). This will be done through information dissemination and awareness raising. Once the assemblies have been established the project will provide training to its members on constitutional rights, citizen participation, roles and responsibilities of Citizen Assemblies, landscape approach and land use planning, deforestation free production, and gender and inter-cultural mainstreaming. The existing Planning Councils will be strengthened to fulfill their duties through training on constitutional rights, citizen participation, roles and responsibilities of Planning Councils, landscape approach and land use planning, deforestation free production, and gender and inter-cultural mainstreaming. Representatives of both Citizen Assemblies and

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<sup>25</sup> Planning Councils part of Ecuador’s Citizen Participation System. They are participatory spaces for preparing development plans and local policies based on the priorities identified by the participatory mechanisms. Councils are made up of representatives of institutions and at least 30% citizens.

<sup>26</sup> Citizen Assemblies are part of Ecuador’s Citizen Participation System. They are basically participatory spaces where individuals and representatives of organizations debate and define local development agendas, submit proposals for activities/initiatives under land use plans (e.g. initiatives included in indigenous communities life plans), and monitor and undertake social control of the local development plans.

Planning Councils will participate in the Territorial Coordination Platform providing inputs to the articulation processes.

67. A third set of interventions will address the capacity building of local governments and regional divisions of MAE and MAGAP. The project will develop two training programs. One program will target the capacity building of 150 MAE, MAGAP and GAD technicians (at least 40% women) for an integrated landscape approach to land use planning. It will be designed in collaboration with MAE, MAGAP and Amazonian universities and will include: landscape approach; environmental, land use and production regulatory frameworks; land use planning and conservation compatible development; planning instruments; development of land use plans; how to mainstream landscape approach in planning instruments; gender and inter-cultural mainstreaming in planning; sustainable supply chains. The second training program will target the capacity building of 30 GAD technicians (at least 20% women) in Geographical Information Systems (GIS) and the national forest monitoring system to support enforcement of environmental regulations and monitoring of implementation of land use plans and sustainable deforestation-free production. It will be designed in collaboration with MAE's Unified Environmental Information System (SUIA) and Forestry Administration System (SAF) and academic expertise in GIS and land use planning; and will include: managing GIS and Geographical Positioning Systems (GPS); Open Source software and its use in land use planning; National Information System (SIN); cartography and cadaster. Training will enhance capacities for land use planning based on a landscape approach and including gender and inter-cultural mainstreaming (Output 1.3), monitor deforestation and enforce regulations (Output 1.4) and implement and monitor land use plans (Outcome 3).

68. A fourth set of interventions will include technical support to the five municipal GADs to analyze the viability of establishing Local Development Agencies. The agencies will be established within GADs that meet the minimum requirements to ensure their functioning and sustainability and taking into account lessons learned and methodologies by the UNDP CO's Territorial Development Area. The agencies will be established in collaboration with relevant stakeholders and will have the objective of promoting local popular and solidary economies and livelihoods through business incubation such as those based on sustainable use of biodiversity and emphasizing in indigenous women and youths. Local agencies will support local initiatives based on an integrated approach to sustainable supply chains. GAD staff assigned to the Local Development Agencies will be trained in business management to assist communities in developing opportunities for sustainable use of NTFPs and value adding under Outcome 3; all this within the framework of the role assigned by the Organic Code for Territorial Organization, Autonomy and Decentralization (COOTAD) of promoting local economic development.

69. *Output 1.3: Land-use planning strengthened with multi-sectorial dialogue & decision-making mechanisms*

70. Within the collaborative framework established through the Territorial Coordination Platform, the project will support coordination between the national, provincial, municipal and parish levels for land use planning integrating landscape approach. Firstly, the project will technically assist the platform in collaboration with universities and the National REDD+ Program in reviewing the sectorial policies related with the CTEA using Target Scenario Analysis to be undertaken for each target landscape, comparing current land uses (business-as-usual) with alternative scenarios<sup>27</sup>. The analyses will address coffee, cocoa

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<sup>27</sup> The UNREDD Program developed an assessment of opportunity costs which provides Ecuador with a map of trajectories of opportunity costs that enables identifying the reasoning behind transitions from forest to non-forest and vice-versa through restoration processes. The map of opportunity costs provides information on productive transitions valued in terms of net carbon emissions. The Project will make use of this information; however it is not sufficient for land use planning, which must integrate sectorial, territorial, biophysical elements, among others.

and oil palm in the North, alternative uses of the forest (biodiversity, NTFPs, agroforestry) in the Center, and livestock in the South and will weigh the pros and cons of continuing with business-as-usual or following a sustainable development path in which ecosystems are more effectively managed. Results, together with the territorial priority documents prepared under Output 1.2 will serve as input for the adjustment of sectorial policies (through the improved coordination between National Citizen Sectorial Councils and ministries under Output 1.1), for developing Regional Action Plans for Sustainable Supply Chains (Output 2.2) and Land Use and Development Plans (LUDPs), incorporating guidelines and specific guidance on types and production models for different categories of forest (protection, production, private) and levels of land degradation (high, medium, low).

71. Secondly, the project will undertake baseline assessments in each of the five cantons as a first step to update LUDPs<sup>28</sup>. The project will undertake an assessment of the existing information in MAE, MAGAP and other institutions (including inter-ministerial agreements, UNREDD+ opportunity cost analyses, information on natural resources, forests, biodiversity, wildlife, water resources, and demographic and socio-economic data, current and emerging threats, including road infrastructure and others). In case there are information gaps and in agreement with MAE and MAGAP, fieldwork will be undertaken. Baseline surveys will include methodologies that disaggregate data by sex, age, ethnicity to assess population statistics, family income, number of women and youths, population characteristics, number of male and female heads of households, roles of family members in productive systems, and roles of indigenous families located in critical areas for conservation. Assessments will include mapping of agro-ecological areas and aptitudes for production of coffee, cocoa, oil palm and livestock taking into account high conservation value areas and connectivity corridors based on collecting information from different official sources and applying field surveys on representative samples in key areas for intervention.

72. Thirdly, based on instruments developed under Output 1.1 (e.g. harmonized inter-ministerial agreements), the territorial priority documents, the results of the TSAs, and baseline information and maps, the project will technically support the municipal GADs of the five cantons in updating their LUDPs to incorporate environmental sustainability criteria. Furthermore, five parish GADs will be selected to receive support for updating their LUDPs. The parishes will be selected through the Territorial Coordination Platform taking into account criteria such as location within protective forests, critical areas for conservation or presence of road infrastructure crossing critical areas. LUDPs will be updated in accordance with the legal competences of the national institutions and their technical guidance, following participatory processes, and will mainstream gender and inter-cultural issues. The project will also support selected indigenous peoples' communities to mainstream the landscape approach in their Life Plans<sup>29</sup>. Dialogue will be undertaken between government stakeholders and communities through the Citizen

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Therefore the Project will supplement this information with Targeted Scenario Analysis for each target landscape, comparing current land uses (business-as-usual) with alternative scenarios thus adding value to the UNREDD opportunity cost assessment and capturing more accurately the value of ecosystem services.

<sup>28</sup> Intervention at canton (municipal) level has been prioritized given that this level has direct responsibility over land use and occupation in accordance with national legislation. The Constitution stipulates that municipalities have the exclusive responsibility for planning municipal development and preparing land use and development plans to regulate urban and rural land use and occupation, and exercising its control within the canton. The COOTAD ratifies these roles and further specifies that it is municipal responsibility to control the use and occupation of the land within the territory of the canton. Furthermore, the Organic Law for Land Use Planning and Management stipulates that municipal governments shall classify municipal lands into urban and rural and will define the use and management of such lands, identifying natural and anthropogenic risks; promote environmental quality, security, social cohesion and mobility and accessibility. It also stipulates that the land use and occupation planning decisions at this level will rationalize the interventions in the territory of the other government levels.

<sup>29</sup> Life Plans are planning instruments that indigenous communities develop and agree through a participatory process. It contains a information a self-assessment on the community, resources and needs; the changes the community wishes to achieve and the projects to achieve such changes and improve their livelihoods; and the community's position in regards to indigenous governance and government stakeholders and other stakeholders, as well as the community's long term political vision. As happens with other planning instruments, Life Plans lack articulation with planning instruments at different levels (e.g. Land Use and Development Plans).

Assemblies established in Output 1.2. Furthermore, within the framework of the LUPD updating, indigenous communities' Life Plans will be taken into account.

### 73. *Output 1.4 Local surveillance and monitoring systems*

74. The project will support the development of a local surveillance and monitoring system and early warning system (SAT) in the three target landscapes building upon experiences and lessons learned by ongoing initiatives such as UTPL's Socio-environmental Conflicts Observatory<sup>30</sup>; World Wide Fund (WWF) and Fundación Futuro Latinoamericano (FFLA) early warning system<sup>31</sup>; Cofan indigenous organizations; PSB community monitoring; and FAO Guide to community monitoring. The project will develop a training program for local surveillance and monitoring, which will include themes such as environmental regulations, environmental penal regulations, human rights, LUDPs, use of GPS, computer equipment and early warning system (SAT) online tools (mobile applications, web-platforms).

75. The SAT will comprise the following: i) a team of local monitors selected by the communities who will be trained to undertake surveillance and monitoring. These local monitors will have Android cell phones and will be responsible for collecting and entering data into a mobile application, which contains several parameters, namely: type of threat (e.g. agro-industry, forestry, mining, oil/gas, squatting, illegal hunting/fishing, roads); degree of threat (e.g. no threat, possible threat, threat present, threat urgent); environmental impact (e.g. minimum, moderate, grave, very grave); social impact (e.g. no risk, potential risk, material damage present, human and material damage present); stakeholder producing the threat (e.g. settlers, private company, public company, local government, national government); ii) a SAT administrator, preferably a GAD technician responsible for an online platform that receives the data entered by the local monitors and allows visualizing the data in maps and verification of the entered data; iii) a response protocol to ensure immediate and effective response to prevent, mitigate and respond to situations of conflict. This response protocol will be connected to the ECU-911 emergency number, the Ministry of Interior's 1-800-DELITOS (Spanish for crime) number and the Local Prosecutor. The SAT will be articulated with MAE's National Forest Monitoring System. In this sense, the project will supply computer and GPS equipment to the five GADs in support of training to enable GADs to link to the national deforestation monitoring system to access information and apply the acquired skills. Design of the SAT will take into account the REDD+ social and environmental safeguards and alignment with future reporting by the safeguards information system currently under development. It will also incorporate the participation of indigenous peoples and communities.

76. The SAT will be piloted in the three landscapes, preferably at parish level with the Parish Councils to support enforcement of land use plans and sustainable agriculture, livestock and forestry regulations under Outcome 3. Furthermore, the project will support local initiatives to pilot Citizen Observatories at canton level to monitor land use changes related to the productive activities undertaken in the productive landscape outside of protective forests where the project is being implemented. These observatories will receive training by MAE and MAGAP monitoring units and will coordinate actions with these units. It will also be a key instrument in promoting municipal ordinances declaring the cantons in the target landscapes as ecological or deforestation free territories. In addition, the project will undertake awareness raising and information dissemination on the SAT targeting local prosecutors, MAE, MAGAP, GADs, producers'

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<sup>30</sup> The Observatory is working since 2012 in implementing a monitoring model with early warning system in several cantons, including in the Amazon. The model includes software for entering data and emission of early warnings. The SAT has been socialized in the Zamora Chinchipe province and comments/inputs from different public institutions received.

<sup>31</sup> WWF and FFLA are supporting the Coordinator of Indigenous Organizations of the Amazon Basin (COICA) in developing an early warning system for threats to indigenous territories. The system is being currently developed. A User Manual has been developed and piloted in Colombia.

associations and civil society. Information materials will be prepared in Spanish and languages of local nationalities.

*77. Output 1.5 Knowledge management program for sustainable production and landscape management*

78. A knowledge management program will be developed to support sustainable production and landscape management through disseminating the findings from Outcome 3 and also linking to the broader Amazon region and knowhow through the Amazon SDSN. This will include the establishment of knowledge networks among NGOs, universities and communities to document best practices and lessons for different types of production in different landscape conditions and locations (e.g. production systems, yields, sustainability). It will strengthen the National Biodiversity Institute (INB) and IKIAM's "OPEN Amazonia" online platform as an information hub for collection of best practices and lessons on sustainable use of NTFPs and biodiversity products. The project will develop a Communication, Education and Public Awareness Strategy (CEPA) to disseminate information and learning materials in Spanish and indigenous languages on project progress and success stories. The strategy will make use of printed materials, radio, quarterly E-bulletin, project web page and web pages of institutional partners. It will also explore opportunities for partnerships with other institutions to translate SDSN best practices, publications and communication materials to Spanish and disseminating the translations.

79. The establishment of an Information Node for the Ecuadorian Amazon will be promoted between SENPLADES, MAE, MAGAP, GADs, AME, ECORAE and Amazonian universities through meetings and a workshop for articulation of land use planning information systems. The purpose will be to encourage coordination, sharing of information and protocols, and exchange of experiences between the institutions to develop and implement an action plan for strengthening of the existing information systems of the GADs' planning and land use units to enable them accessing relevant information for LUDPs.

80. Links with other Amazonian countries will be promoted by linking Ecuadorian networks with the Amazon SDSN for exchange of lessons and experiences, and replication of best landscape governance practices. This will be done through workshops for exchange of experiences on research in the Amazon; meetings between researchers of the Amazon basin; and a workshop on information systems for the sustainable development of the Amazon. The reports and results of these activities will be disseminated through the CEPA strategy.

**81. Outcome 2: Access to markets, credit and incentives for sustainable production of the main products in multiple use and high conservation value landscapes of the CTEA**

*82. Output 2.1: Regional Platforms for Sustainable Supply Chains of coffee, cocoa, oil palm and livestock in Northern and Southern Amazon for multi-stakeholder dialogue and consensus and connecting buyers of sustainable products with producers*

83. The project will support the establishment of four regional platforms for participatory management of sustainable and deforestation free production where the key stakeholders in the supply chains of coffee, cocoa, oil palm and livestock will be able to dialogue and reach agreements to promote deforestation free supply chains, namely: a Regional Platform for the Sustainable Supply Chain of Coffee, a Regional Platform for the Sustainable Supply Chain of Cocoa and a Regional Platform for the Sustainable Supply Chain of Oil Palm in Northern Amazon, and a Regional Platform for the Sustainable Supply Chain of Livestock in Southern Amazon.



84. The platforms will constitute the mechanism to convene and coordinate the public and private sectors to promote sustainable production of coffee, cocoa, oil palm and livestock (beef and dairy) and to define the sustainability priorities and policies for these products; and reach agreement on key issues such as environment-friendly best practices, traceability and certification, policies and regulations for sustainable production, market access and incentives for sustainable products. The project will seek to help the platform members develop a long-term space where the different sectors can align, take ownership and develop joint concrete actions to mitigate the negative impacts of commodity production and maximize productivity, hence strengthening the country's enabling environment for sustainable commodity production. The platforms will be based on the following principles: neutral, empowerment and social inclusion, multi-stakeholder, strong facilitation, and conflict resolution.

85. The platforms will build upon UNDP's experience developing National Commodity Platforms under its Green Commodities Program and taking into account specificities of the Amazon region. Establishment of the platforms will take into account existing platforms, roundtables and local ongoing initiatives, avoiding new structures and duplication with local initiatives. Key members of the platforms will include MAE, MAGAP, GADs, producers' associations, public and private financial institutions, private companies that buy, process and export commodities, universities and research centers, and NGOs. Tables 5, 6, 7 and 8 below include preliminary lists of stakeholders identified during the project design phase that will be invited to participate. A detailed stakeholder mapping will be undertaken in each target landscape and other relevant institutions that may be identified will be invited to participate in each platform. Participation of women and members of indigenous nationalities representing their organizations will be encouraged (at least 40% women and 60% indigenous peoples). Upon establishment of the platforms, the Project will support drafting of Codes of Conduct, which will be discussed and agreed by the platform members. The Code of Conduct will define the rules of procedure for the platforms, including objectives, protocol for meetings, record keeping, decision making and coordination mechanisms. Each platform will elect a lead agency, which will chair the platform for a period of two years. The project will also support the platforms with a financial sustainability study to ensure the continuation of the actions initiated under the project.

86. Each platform will hold plenary meetings throughout the project's lifetime where representatives of each of the involved sectors will be convened. All members will be invited. The plenary sessions will consist of presentations given by different working groups, stakeholders and institutions related to issues identified in the action plans and that have a direct relation to defining the model for responsible production and trade under the project. They will be an opportunity for stakeholders to voice opinions and reach consensus on key issues.

87. *Output 2.2: Regional Action Plans for Sustainable Supply Chains coffee, cocoa, oil palm and livestock to access markets for deforestation free products*

88. The project will technically and operationally support the regional platforms so that each platform, following UNDP's Green Commodities Program methodology will generate Regional Action Plans to promote the sustainable and deforestation free supply chain for the selected products (coffee, cocoa, oil palm and livestock) thereby contributing to strengthen policies and instruments toward increasing the demand of deforestation free products from the Amazon region. Furthermore, the action plans will provide inputs to the Citizen Sectorial Councils and ministries under Output 1.1 for improving national level inter-sectorial coordination and policy review.

89. Each platform will direct its efforts to promote market access at different levels. The coffee platform will seek to increase productivity within the framework of MAGAP's "Coffee and Fine Aroma Cocoa Reactivation Project" to supply the domestic market to fill in the commercial deficit substituting coffee

imports. The cocoa platform will support MAGAP's National Fine Aroma Cocoa Policy seeking to identify market niches with differentiated prices that may contribute to the financial sustainability of certification schemes, guide product differentiation according to origin and terroir management (e.g. unique organoleptic properties, nutraceutical properties, socio-environmental ethics) and generate technical standards. The oil palm platform will seek to promote certification schemes to achieve differentiated prices hence increasing producers' incomes and financing the sustainable development of the supply chain in support of the policy for increase in productivity of established palm plantations without expanding the cultivated area in farms, pastures and forests. The livestock platform will focus on sustainability of production, and quality and safety of products for the domestic market, promoting registry systems in support of traceability linked to environmentally responsible production, eradication of Foot and Mouth Disease and correct management of animal health, slaughtering processes and cold chains to guarantee product safety.

90. The project will undertake several studies that will provide inputs to the platforms so that they may undertake the assessment processes leading to the development of action plans for sustainable and deforestation free supply chains. The coffee, cocoa and oil palm chains have promising opportunities to enter market niches that value environmentally and socially responsible practices therefore the first study will focus on the demand and markets for deforestation free products of the Amazon. The study will include among others, markets, commercialization processes and channels, stakeholders, relevant case studies, and methods for assessing and measuring the demand for products from deforestation free commodities; and will be undertaken in collaboration with MAGAP, Ministry of Foreign Trade (MCE)-PROECUADOR, NGOs and Universities.

91. Two studies on traceability systems for oil palm and livestock will be undertaken in the cases of coffee and cocoa the project MAGAP's Coffee and Cocoa Project is undertaking these studies and will make them available to the project. Given that market niches that value environmentally and socially responsible production -in the case of coffee, cocoa and oil palm- also require high quality products the implementation of traceability systems in these supply chains may contribute to add value to the products in the medium and long term. Similarly, in the case of livestock given the increasing domestic demand for beef and that most of the livestock raised in target landscapes is commercialized in the main cities of the country where there is greater purchasing power. The studies will be undertaken in collaboration with MAGAP, GADs, producers' associations, NGOs and Universities. They will cover a number of themes, including: traceability models, strengths and opportunities, cost and investment needs, feasibility for recovery of investment costs through certification schemes (e.g. international certification schemes, certificates of origin, collective marks or even the development of a national certification scheme for deforestation free products); and potential co-benefits of traceability (e.g. georeferenced information for GADs on agricultural production to aid in monitoring land use and potential encroachment of agriculture on protected areas).

92. Based on the studies the platforms will undertake the root cause analysis of each supply chain, identifying the root causes of the socio-environmental externalities of coffee, cocoa, oil palm and livestock production. The analysis will also include organizational aspects, links between producers and supply chains at local level, and inter-institutional coordination between national and local level public and private institutions. It will identify the strategies and lines of work for each product, including assessing and verifying the legal mandates and competencies of institutional stakeholders, and assessing public sector budgets. Draft action plans will be prepared and validated through the plenary sessions. The action plans will include the design and adoption of specific mechanisms to integrate organizational aspects, links between producers and supply chains at local level, and inter-institutional coordination that will be implemented through the sustainable production practices to be undertaken under Outcome 3 below. The final action plans will be officially adopted by MAGAP (Regional Action Plan for the Sustainable Supply Chain of Coffee, Regional Action Plan for the Sustainable Supply Chain of Cocoa, Regional Action Plan

for the Sustainable Supply Chain of Oil Palm<sup>32</sup>, Regional Action Plan for the Sustainable Supply Chain of Livestock).

93. The project will support the socialization and dissemination of information on the platforms and their action plans. Within the framework of each action plan the platforms will promote the establishment of partnerships between producers and buyers of sustainable products. The project will provide support to the regional platforms for organization of interviews and business conferences with international buyers of sustainable products to promote the export of sustainable coffee, cocoa and oil palm; and promotion of sustainable meat in national fairs and events.

94. *Output 2.3 Market access for wood, non-wood and biodiversity products in Central and Southern Amazon*

95. The project will support the establishment of a Roundtable for Wood, Non-wood and Biodiversity Products with the participation of MAE; INB; MAGAP; GADs; Ministry of Industry and Production (MIPRO); PROECUADOR; Secretariat for Higher Education, Science, Technology and Innovation (SENECYT); financial entities, Universities, existing bio-commerce enterprises, buyers of wood, non-wood and biodiversity products and other relevant stakeholders. The roundtable will seek to set the foundations for the development of bio-commerce enterprises linked to their demands in the domestic market.

96. As with the platforms above, the roundtable will constitute the mechanism to convene and coordinate the public and private sectors to reach agreements on the sustainable production and use and market access of wood, non-wood and biodiversity products. Establishment and operation of the roundtable will follow UNDP's Green Commodities platforms methodology. The roundtable will have its Code of Conduct defining the rules of procedure, objectives, protocol for meetings, record keeping, decision-making and coordination mechanisms. It will be chaired by a lead agency elected by the members and will hold plenary meetings with presentations by different the working groups, stakeholders and institutions related to issues identified in its action plan and that have a direct relation to defining the model for responsible production and trade under the project.

97. The project will undertake a market study to identify the potential for sustainable use of at least four NTFPs, namely *morete* (*Mauritia flexuosa*), *ungurahua*, *ishpingo* and forest and fruit tree seeds as well as the sustainable commercial use of live natural resources from the forests (e.g. wood products and fauna). The study will be undertaken in collaboration with Amazonian Universities, INB, and SENECYT's Traditional Knowledge Unit. It will include systematizing the existing but currently dispersed information, experiences and lessons learned by other initiatives (including the GEF-FAO project in Napo)<sup>33</sup> and potential certification schemes in line with international standards. The study will also assess the roles and responsibilities of MAE and MAGAP in regards to NTFP management and how they will be fulfilled, taking into account how to manage the transition from harvesting and cultivation, as well as proposals for

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<sup>32</sup> Ecuador has a national level public-private coordination mechanism in oil palm (Oil Palm Consultative Council), which has a 5 year National Competitiveness Plan. The Regional Action for the Sustainable Supply Chain of Oil Palm may provide inputs to the plan and provide a model for the development of a National Action Plan for the Sustainable Supply Chain of Oil Palm.

<sup>33</sup> In terms of availability of information the Chankuap Foundation has developed management plans and inventories for *ungurahua* and *ishpingo* although these are limited to the communities with which they work. There is incipient experience extraction of essential oils and there is information available on production costs. In terms of value adding there is experience with commercialization of soaps, shampoos, hair conditioners and beauty creams. In the case of *morete* there are no management plans or inventories in Ecuador; however there are experiences in its use in Peru, Brazil, Venezuela and Colombia. Venezuela has developed specific regulations for the species. There are graduate degree theses on level of fatty acids in *morete* oil for cosmetic uses. Regarding seeds, they are traditionally used in handcrafts and tree nurseries.

parameters to define what is native and what is cultivated. It will provide inputs to identify and develop business opportunities with wood products and fauna within the proposed interventions in the Kutuku Shaimi Protective Forest (Output 3.3). The findings of the study will be socialized through the knowledge platforms and networks (Output 1.5) to facilitate access to information by existing bio-commerce initiatives as well as for the development of new ones. The study will be followed by a feasibility study on the bio-commerce initiatives identified by the Socio-Bosque Program that could contribute to the development of NTFP, wood and biodiversity products supply chains. The study will include aspects such as legal requirements, government institutions involved and their specific role, how to reach a market base, marketing strategies, where to find information on best practices, financial advice.

98. Based on the above study the roundtable will undertake the root cause analysis incorporating the political, legal, economic, market, social and productive variables. The Regional Action Plan for Forest Products will be prepared, validated and officially adopted by the MAE.

99. To support the implementation of bio-commerce enterprises identified in the studies above as well as in the development of sustainable forest and NTFP management plans under Outputs 3.2 and 3.3 below the project will design a competitive grants mechanism to finance innovative income-generating startups (up to USD 50,000) for sustainable production, value adding and commercialization of NTFPs and complementary livelihood options (e.g. aquaculture and meliponiculture) to reduce forest degradation and illegal extraction of wood. These grants will be directed mainly to indigenous communities, and especially women and youths. The project will disseminate information on the mechanism through local radios and information materials in Spanish and local indigenous languages and will undertake the calls for proposals. Proposals will be selected in collaboration with GADs, Universities and other relevant organizations. The selected proposals will be implemented under Outputs 3.2 and 3.3.

#### 100. *Output 2.4 Incentives strengthened for SFM and SLM*

101. The project will support a threefold approach to strengthening incentives for SFM and SLM in North, Center and Southern Amazon, comprising: i) the strengthening of systems and capacities for optimizing access to, and distribution of the Socio-Bosque Program (PSB) conservation incentive; ii) disseminating MAE's "Incentive for Sustainable Forest Management (Socio-Management)" within protective forests; and iii) modeling income distribution systems for other SFM incentives including results-based incentives.

102. *PSB conservation incentive.* The first approach will strengthen the long-term investment potential of the PSB conservation incentive to support conservation, restoration and sustainable production in community lands and individual properties. The project will technically support the PSB to undertake a review of the agreements between MAE and PSB beneficiaries to assess the afore-mentioned opportunities and to develop new proposals for investing the resources in activities that will contribute to deforestation free production, conservation and sustainable use of biodiversity and securing the supply of ecosystem services. Based on the assessment and proposals the PSB beneficiaries will receive training and technical assistance (at least 30% women) to build their capacities for preparing and managing participatory investment plans reflecting the use of the incentive to improve forest and land management in the rest of their lands surrounding the conservation areas, including e.g. sustainable forest and NTFP management, SLM and environment-friendly production practices. Training will include themes such as components of an investment plan; sustainable production and forest management; financial planning and management; NTFP management plans and requirements for managing NTFPs.

103. In support of the PSB investment plans, the project will work with PSB, INB and Universities to develop management plans for *morete*, *ungurahua*, *ishpingo* and forest and fruit tree seeds and a

management plan for sustainable use of fauna for PSB beneficiaries. These management plans will be mainstreamed into the investment plans of the PSB beneficiaries that choose to work with NTFPs. Management plans will include: assessment of resources in PSB community lands; carrying capacity; best harvesting practices; post-harvesting management; monitoring plots; registry systems. Training of PSB beneficiaries will be undertaken with the Local Development Agencies (established under Output 1.2) to build their capacities in producing business plans for NTFPs, and will include themes such as: best practices; commercialization; development and management of enterprises; financial management; collective marks; and management of NTFP plans. Based on the investment plans the agreements between PSB and beneficiaries will be renewed and the incentive will be disbursed annually and monitored following such plans.

104. *Socio-Management incentive.* The project will support the dissemination and uptake of the recently established Socio-Management incentive through developing a training program for local forest extension agents targeting community members in protective forests to build their capacities and skills so that they will provide field support to MAE's forestry advisors in promoting, implementing and monitoring the incentives in protective forests. Forty local agents, especially indigenous women and youths, will be trained. MAE, GADs or local organizations may eventually hire these local agents to support SFM activities foreseen by the incentive.

105. *Modeling income distribution systems.* The project will technically assist MAE and MAGAP to model income distribution systems from SFM and SLM incentives, including the REDD+ national program, through analyzing selected cases: i) sustainable forest management linked to a forest harvesting plan<sup>34</sup>; ii) an NTFP management plan for a determined species; iii) agricultural and livestock best practices (based on an integral farm management plan); iv) conservation linked to a PSB investment plan; and v) conservation and restoration of the Pastaza watershed (Upano River) and Santiago watershed (Nangaritza River) and conservation of the Alto Upano Municipal Conservation Area for sustainable use of protected areas and wildlife. The project will collect income related information for each case to model the distribution of SFM and SLM incomes per frequencies or class intervals. The models will include, among others: primary income; self-consumption; self-supply; property income; current transfers, and non-current incomes. These will serve to improve coordination between current incentive programs and policies through generating a baseline of how incomes for these selected activities are distributed in the CTEA; providing inputs to propose a better distribution of incomes to support more effective SFM and SLM practices in the CTEA; and improving monitoring systems on the distribution and use of incomes.

#### 106. *Output 2.5 Strengthened credit systems for deforestation free production in HCVFs*

107. The project will outreach to the financial institutions that lend to the productive sectors in the CTEA and target landscapes. The project will seek to engage public banks (e.g. BANECUADOR and the National Popular and Solidarity Finance Corporation (CONAFIPS) and private banks (e.g. Pichincha, Austro, International, FINCA, Solidarity and ProCredit Ecuador) and cooperatives (CODESARROLLO, *Jardín Azuayo* Savings and Credit Cooperative and Pastaza Savings and Credit Cooperative) that are lending to producers.

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<sup>34</sup> The forest-harvesting plan is approved by MAE and defines harvesting and use of timber. It includes: forest inventory, tabulation of inventory data and legal documents of the landowner (property register, certificate of being registered in MAE, certificate of previous obligations – previous experience in adequate management – MAE fees paid). This information is uploaded to MAE's Forestry Administration System and the type of product identified: boards, planks and/or logs

The Comprehensive Farm Management Plan is the land use planning instrument at farm level, which justifies and regulates land use and sustainable management and use of natural resources in a certain area.

108. Project support will have a two-fold approach. Firstly, the project will support these banks to mainstream environmental standards into their lending procedures, in particular ensuring that clients comply with MAE requirements (e.g. environmental licensing where needed) to develop specific financial products to finance sustainable production best practices. This will include undertaking assessments on the economic feasibility of financing best practices and certification schemes, including all aspects related to risk analysis (e.g. business plans, guarantees for recovery, recovery periods, costs, and return flows of capital); as well as estimating the demand of credits for implementing best practices. The assessments will take into account findings of the studies undertaken under Output 2.2 (market studies, traceability and certification schemes).

109. The project will partner with the Development Bank of Latin America (CAF) to work with the banks to adjust their lending procedures by mainstreaming environmental criteria, environmental legal requirements and adoption of best practices as part of their requirements for granting loans to commercial producers of coffee, cocoa, oil palm and livestock. The project will also work with the banks to develop specific financial products to finance certification schemes for coffee, cocoa and oil palm. Furthermore, the project will, in collaboration with CAF, the Superintendency of Banks and Insurance, and Universities, develop a training program on sustainable finance targeting public and private banks through which 120 bank and credit officials will be trained. The program will include issues such as: environmental regulatory framework; the negative social and environmental impacts of expansion of the agricultural frontier and unsustainable production practices on HCVFs and biodiversity; economic viability of the best practices to be promoted by the project; the project will connect producers of sustainable products with exporters and buyers to improve export agreements and guarantee sales, improving commercialization of sustainable producers and reducing markets for unsustainable production, hence making it more preferable for banks to lend to producers involved with sustainable production. The program will include gender and inter-cultural issues.

110. Secondly, the project will technically support BANECUADOR in developing specific financial products for small producers, women and youths, for adding value to NTFPs and alternative products. This work will build upon on the ongoing study initiated by MAGAP and BANECUADOR on the subject and will undertake further studies that may be needed. The study will take into account the findings of the market study on NTFPs and the feasibility studies on bio-commerce initiatives undertaken under Output 2.3 and will include among other issues assessing the economic viability of sustainable use of NTFPs, and financing sources. Based on these findings the project will work with BANECUADOR to develop the financial products, including environmental criteria as part of the lending procedures and requirements. The project will develop a sustainable finance training program targeting small producers to build their capacities for accessing and adequately managing credits, emphasizing on women and youths, with special credit lines for them. The program will include themes such as: investments and expenditures, savings, management of credits for agricultural initiatives, seed capital, how to qualify and apply for credits. The credit lines will be disseminated to small producers, emphasizing in women and youths (e.g. beneficiaries of the Socio-Bosque Program, communities and landholders especially in Central and Southern Amazon where NTFP management will be promoted).

### **111. Outcome 3: Landscape level implementation of sustainable practices in commercial production and livelihoods systems, aligned with the conservation and restoration of HVCF**

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

113. *Coffee and cocoa*. The project will technically assist MAGAP in developing best practices guidelines for sustainable production of coffee and cocoa in Northern Amazon. These guidelines will be based on the current regulations<sup>35</sup>, successful experiences and incorporating best practices for improving productivity as well as environment-friendly practices that take into account biodiversity conservation, ecosystem services and the rational use of agro-chemicals. The guidelines will also mainstream gender and inter-cultural issues and traditional knowledge.

114. The project will work with MAGAP, the Ecuadorian Agency for Agricultural Quality Assurance (AGROCALIDAD) and the National Agricultural Research Institute (INIAP) to develop a training program for sustainable coffee and cocoa based on the best practice guidelines and for mainstreaming environmental standards, best practices and biodiversity considerations in the ongoing technical assistance programs (e.g. MAGAP's ATPA and Coffee and Cocoa Reactivation Project; GADs; producers' associations). The training program will target technicians from MAGAP, GADs and producers' associations, and individuals (e.g. producers, youths) who may be interested to act as local promoters providing technical assistance services to producers or eventually being hired as extension agents by the institutions that provide extension services in the region. This training program will have the objectives of increasing the technicians' knowledge for sustainable production of coffee and cocoa and developing their skills and abilities to transfer such knowledge and technology to producers. It will be implemented with the support of a university, which will issue a certificate to participants. Through the program 150 technicians will be trained, with at least 30% of them being women preferably from indigenous nationalities.

115. Training and technical assistance to coffee and cocoa producers (colonists and Kichwa communities) will seek to build the capacities of producers to adopt sustainable production practices that increase productivity while at the same time contributing to improve connectivity and conservation of HVCFs and biodiversity in MULs; and will be implemented by the technicians and local promoters trained through the previous program. Technical assistance will be based on the "learning-by-doing" methodology and will include aspects such as learning and listening to traditional knowledge, field demonstrations and exchange visits to successful experiences. Training and technical assistance will take into account the work schedules of producers and their families for minimum interference with the daily chores of men and women in order to ensure their participation in the activities organized by the project. Given that women are in charge of traditional *ajas* and *chakras* an important aspect to be taken into account is that training and technical assistance in these cases be delivered by female technicians and local promoters.

116. Both training programs (coffee and cocoa) will cover a number of themes, including: landscape approach, biodiversity conservation, HCVFs; productive and environment-friendly practices, agroforestry systems; conservation agreements; production and farm registries; monitoring of environmental indicators; assessment of physical and organoleptic qualities of production; business plans; product development; commercialization; development of client portfolios; legal framework for production and commercialization; financial and credit opportunities for sustainable production (based on the new financial products developed under Output 2.4); access to national and international markets; and platform methodology for sustainable supply chains. Content development will be coordinated with other GEF projects (e.g. conflicts between people and fauna). The programs as well as the information and training materials will take into account respect for traditional knowledge and inter-cultural practices in *ajas* and *chakras* as well as the role of women in their management.

117. The technicians and local promoters will promote the adoption of environment and biodiversity friendly practices by coffee and cocoa producers taking into account the different types of productive

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<sup>35</sup> AGROCALIDAD Resolution #183 contains the Best Practice Guidelines for Cocoa stipulating the procedures for production, infrastructure, equipment, inputs, water use, personnel, nurseries, transport, management of soil, luminosity, shadows, weed control, fertilization, use of pesticides, post-harvest management.

systems. In *chakras* where coffee and cocoa are part of mixed agricultural systems, training and assistance will target the increase of productivity of shade-grown coffee and cocoa through best practices such as pruning, organic fertilization and integrated pest management. In farms where either coffee or fine aroma cocoa is a predominant crop (a model being promoted to replace pasture areas of Orellana and Shushufindi) the technical assistance will promote the incorporation of native forest trees to provide shadow and live fencing; soil conservation practices (e.g. green fertilizers); use of organic fertilizers and integrated pest management. In addition, in the case of fine aroma cocoa a number of additional practices will be promoted, including post-harvest management (e.g. storing, grain selection, fermentation control, humidity); registry systems to trace production from the *chakra* or farm to the collection center; and continuation of the certification schemes previously promoted by other projects in connection with the Regional Platform for Sustainable Supply Chain of Cocoa (Output 2.1), which will seek to access market niches with differentiated prices that may contribute to the financial sustainability of the certification schemes. In farms where the CCN-51 variety of cocoa is predominant, technical assistance will promote the incorporation of live fences and soil improvement through organic matter and organic fertilizers. Information on the new financial products for sustainable production developed under Output 2.4 will be disseminated among producers to encourage access to financial assistance to implement sustainable best practices and certification schemes. The project will support implementation, socialization, and training on MAE-MAGAP traceability systems.

118. Technicians and local promoters will raise awareness of producers in HCVFs who conserve remnants of primary or secondary forests in their properties to establish conservation agreements with MAE to protect critical areas for connectivity, fragile ecosystems, water recharge areas and connectivity corridors. The project will support the MAE provincial offices to identify the potential areas for conservation, undertake a preliminary inventory of natural, biological and wildlife resources, and prepare a management plan including a monitoring plan.

119. *Oil palm*. The project will support MAGAP and producers' associations to encourage the uptake of more sustainable production practices seeking to increase oil palm yields in the already existing plantations. There will be no encouragement of expansion of palm through deforestation of native forest. The project will support awareness raising and training of small, medium and large producers (settlers and indigenous communities) on landscape approach and including the definition and identification of primary forests or other areas of high value for conservation, as well as secondary forests. This will be done through meetings, workshops and information materials.

120. The project will work in coordination with MAGAP, INIAP, AGROCALIDAD and producers' associations to develop best practice guidelines for sustainable oil palm production that include productive, environmental, social and organic practices. These guidelines will build upon the current regulation<sup>36</sup> and mainstreaming biodiversity conservation and high conservation value areas considerations. Based on the guidelines, the project will develop a training and technical assistance program targeting technicians of MAGAP, INIAP, GAD and AGROCALIDAD. The training program will cover the following themes: landscape approach; HCV forests; biodiversity conservation; sustainable and environment-friendly practices; certification schemes and organic production; and production management practices (e.g. population densities, seed and species improvement; pruning; mulching; weed control; crop nutrition; association of oil palm with short cycle legumes; cover crops for soil protection; incorporation of biological corridors between forest areas or between buffer zones; protection of riverside areas in plantations with native trees; harvesting; post-harvesting practices; processing; successful experiences in South America on use of agroforestry systems<sup>37</sup> with small producers); and financing for sustainable production (e.g. new

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<sup>36</sup> MAGAP-AGROCALIDAD Resolution #303 "Guide on Best Agricultural Practices for Oil Palm"

<sup>37</sup> Note: Oil palm is not considered in these systems as the forest element.



financial products developed under Output 2.4). Content development will be coordinated with other GEF projects (e.g. conflicts between people and fauna).

121. The strengthened technicians will provide technical assistance to producers through two approaches. One approach will address large producers. The producers' associations have local technical units that provide training and technical assistance to members the associations. The technicians of these local units will be trained on the best practices for sustainable palm production so that they in turn will promote the best practices to encourage producers to uptake the sustainable production practices. Another approach will target small and medium producers and will entail promoting certification schemes for sustainable best practices and organic production.

122. The local technical units will also provide training and technical assistance to the small producers to develop their capacities to comply with the regulatory framework, adopt sustainable best practices and implement certification schemes; and will also monitor the compliance of the best practices by producers. Information on the new financial products for sustainable production developed under Output 2.4 will be disseminated among producers to encourage access to financial assistance to implement certification schemes. In the long term it is expected that the financial sustainability of the certification schemes will be ensured through the increase in yields and the differentiated prices for certified products that will be sought in the international markets through the Regional Platform for Sustainable Supply Chain of Oil Palm (Outputs 2.1 and 2.2). Conservation agreements will be established between MAE and producers who conserve remnants of primary or secondary forests in areas of HCV.

123. In addition, the project will support MAGAP and INIAP to develop a study on the potential use of palm wastes from oil filtering for producing bioenergy, as an input to the National Bioenergy Strategy. The study will be developed with the participation of the Roundtable for Academic Support to Bioenergy, which gathers the public and private sector to promote bioenergy related projects.

124. *Complementary livelihood options.* Through the competitive grants mechanism developed under Output 2.3 the project will financially support small producers in critical conservation areas of Northern Amazon, especially youths, women and indigenous peoples with additional food and livelihood options through environment-friendly initiatives to promote aquaculture with native fish species and meliponiculture. These initiatives will aim at supporting economic diversification and income generation as a means to help reduce deforestation. Potential beneficiaries (e.g. Kichwa communities<sup>38</sup>) will prepare their proposals with the support of Universities and/or NGOs. The awarded proposals will be implemented by the communities and monitored by the supporting Universities and/or NGOs.

125. *Output 3.2 Sustainable use of biodiversity including NTFPs in the Central Amazon landscape, sustainable forest management in the Central Amazon portion of the Kutuku Shaimi Reserve and complementary livelihood options*

126. This output will address three types of interventions in Central Amazon. The first intervention will entail developing the capacities of the Achuar communities in Taisha canton for sustainable use of NTFPs in their territory. The second intervention will entail sustainable forest management in the Kutuku Shaimi Protective Forest (description of activities under Output 3.3). The third intervention will comprise promotion of sustainable tourism as an alternative option for economic diversification and livelihood improvement.

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<sup>38</sup> Fish represents between 17-30% of the animal protein consumption of Kichwas.

127. *Sustainable use of NTFPs.* The project will support the organization Achuar Nationality of Ecuador (NAE) to undertake the participatory elaboration of the Achuar Territory Management Plan, covering the Achuar territory in the Taisha canton and the designation by MAE of this territory as a private protected area within the SNAP<sup>39</sup>. Within the framework of the territorial management plan and based on the market studies undertaken in Output 2.3 the project will work with the Taisha GAD's Local Development Agency (established under Output 1.2) to develop management plans<sup>40</sup> for sustainable use of four NTFPs, namely *morete*, *ungurahua*, *ishpingo* and forest tree seeds. The management plans will take into account the traditional knowledge and practices that will contribute to guarantee the sustainable use of the species.

128. The project will develop in coordination with MAE and the INB a training program to strengthen the capacities of the Achuar communities, mainly women and youths, for implementation of the management plans. Training will include building the capacity of communities for preparing proposals under the competitive grants mechanism (developed under Output 2.3) through which the project will finance the implementation of income generating projects for sustainable production, value adding and commercialization of NTFPs to reduce forest degradation and illegal extraction of wood. The Parish Councils of the canton will be trained to monitor the implementation of the NTFP management plans.

129. The Local Development Agency, within the framework of the management plans, will provide support to Achuar communities through socializing and raising awareness on the legal framework for NTFPs, including the regulations developed under Output 1.1; developing a data base on community organizations, associations and enterprises; supporting compliance of NTFP related requirements by the institutions regulating commercialization and intellectual property; promoting business incubation; strengthening the managerial and commercial capacities of community organizations, associations and enterprises and supporting their qualification as State providers<sup>41</sup>; promoting public-private-community partnerships to develop innovative products based on sustainable use of NTFPs. The Agency will work with the Parish Councils to strengthen their capacities for early warning and monitoring the implementation of the plans.

130. *Sustainable forest management in the Kutuku Shaimi Protective Forest.* See Output 3.3 below.

131. *Complementary livelihood options in Central Amazon.* To promote the diversification of livelihood options the project will develop together with the Local Development Agency, the Ministry of Tourism (MINTUR), the Association of Ecuadorian Municipalities (AME) and the Consortium of Amazonian and Galapagos Municipalities (COMAGA) a training program to build the capacities of the Achuar communities for sustainable tourism. Training will be undertaken by the Local Development Agency with the support of MINTUR and will include: preparation of tourism business plans, assessment of offer and demand of tourism services, customer service, marketing of local initiatives and services. Training will be emphasized on women and youths. The Local Development Agency will technically support the communities to access MINTUR financial support to their tourism initiatives.

132. *Output 3.3 Sustainable livestock production and environment-friendly practices to improve connectivity and restore degraded lands in MUL and HCVMs in the Southern Amazon landscape, and sustainable forest and NTFP management in the Kutuku Shaimi Protective Forest (Southern Amazon portion)*

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<sup>39</sup> The procedures for designating private areas under the SNAP have been elaborated with support of the GEF-UNDP Project #3829 "Sustainable Financing of Ecuador's National System of Protected Areas"

<sup>40</sup> Management plans will include as per MAE regulations, the identification of the area to be managed, identification of the NTFP collectors, assessment of the resources to be used, best management practices, follow-up and monitoring plan, and registry system.

<sup>41</sup> Natural and juridical persons may register with the Ecuadorian public procurement system to provide goods, services and works

133. *Sustainable livestock production*. The project, in coordination with MAGAP's Under-secretariat of Livestock, the National Sustainable Livestock Program and the GEF-FAO Sustainable Livestock Project, will promote the adoption of livestock best practices for sustainable and environment-friendly production to improve connectivity and reduce soil degradation, desertification risks, soil and water contamination and GHG emissions, as well as preventing further expansion of the livestock frontier. This will be done through several approaches.

134. Firstly, the project will technically assist MAGAP and INIAP in developing best practices guidelines for sustainable livestock production building upon current best practices guidelines<sup>42</sup>, successful experiences and incorporating best practices for improving beef and dairy productivity as well as environment-friendly practices that take into account biodiversity conservation, HCVPs and ecosystem services. The guidelines will also mainstream gender and inter-cultural issues and traditional knowledge.

135. Secondly, and based on the best practices guidelines, the project will work with MAGAP's Under-secretariat of Livestock and INIAP to develop two training and technical assistance programs. The first program will address the training of technicians from MAGAP and its field projects<sup>43</sup> in the area, GADs, producers' associations and financial entities, and local promoters who may be hired by the former institutions as extension agents. Seventy-five technicians and local promoters will be trained (at least 30% women and 60% from indigenous nationalities). Trainings will also include providing information on the new financial products for sustainable production (developed under Output 2.4) to help dissemination among producers.

136. The second program will entail training and technical assistance to producers (colonists and Shuar indigenous peoples) by the strengthened technicians and local promoters, who will work in close coordination with ongoing MAE<sup>44</sup> and MAGAP projects. Training and technical assistance will include: environmental impacts and risk management; soil conservation and management; pasture management (e.g. paddock rotation with electric fences); incorporation of forage legume species in pastures to improve soil coverage and nutrition and animal nutrition; incorporation of forest tree species in pastures or as live fences to provide shadow to livestock, promote connectivity in the landscape and contribute to restore degraded areas in slopes<sup>45</sup>; animal husbandry practices (e.g. genetic improvement, animal nutrition and health); commercial production of milk and dairy products for income generation. Content development will be coordinated with other GEF projects (e.g. conflicts between people and fauna). An additional strategy to promote economic diversification and income generation will be the introduction of locally adapted native fruit species<sup>46</sup>. Training and support will be provided to producers to increase their managerial capacities and for keeping records at farm level (e.g. purchases, management, performance, sales and destiny of livestock) to help in decision-making for improved performance and as the basis for future traceability systems. Furthermore, the project will undertake an exchange of experiences and lessons with the GEF-FAO sustainable livestock project. Information on the new financial products for sustainable production developed under Output 2.4 will be disseminated among producers to encourage access to financial

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<sup>42</sup> Guide to Best Livestock Practices for Milk Production (AGROCALIDAD Resolution #217). There are no best practices guidelines for beef production.

<sup>43</sup> "Sustainable Livestock Project" and ATPA

<sup>44</sup> GEF-FAO Project "Promotion of climate-smart livestock management integrating reversion of land degradation and reduction of desertification risks in vulnerable provinces".

<sup>45</sup> MAGAP's "Reforestation Incentive for commercial purpose" will be disseminated to promote reforestation in areas for permanent protection and degraded slopes. This is a non-reimbursable economic incentive to partially cover the costs of establishing and maintaining a forest plantation (up to 75% of establishment costs and 75% of maintenance costs during the first four years to natural and juridical persons, and 100% to associations, cooperatives and communities). Eligible areas are areas for permanent protection of water bodies, slopes up to 50% (beyond 50% reforestation will be solely for protection purposes).

<sup>46</sup> In the area of the Kutuku Shaimi Protective Forest there are experiences in introduction of native fruit species in individuals farms (*Don Bosco* Integral Farm and *San Antonio* Family Orchard)

assistance to implement the proposed sustainable best practices. As part of the technical assistance efforts, conservation agreements will be established between MAE and producers who conserve remnants of primary or secondary forests in areas of HCV.

137. Thirdly, the project will support the strengthening of the AGROCALIDAD traceability system, which currently focuses on the prevention of Foot and Mouth Disease by incorporating livestock management variables and environmental sustainability indicators, and piloting these innovations with a group of producers to acquire experience and identify lessons that can serve to improve sustainability of production and at the same time provide feedback to the Regional Platform for Sustainable Supply Chain of livestock as part of its efforts in exploring benefits and costs of promoting environmentally responsible production systems and certification for the domestic market.

138. *Sustainable forest and NTFP management in Kutuku Shaimi.* The project will support the strengthening of the Kutuku Shaimi Protective Forest with the objective of generating experiences and lessons to improve conservation and sustainable management of protective forests.

139. The Mancommunity of Parish Councils<sup>47</sup> and local communities of Kutuku Shaimi will be technically supported in updating the forest's Management Plan for the period 2018-2023 (current plan covers the period 2012-2017) and mainstreaming the landscape approach and HC VF definitions and criteria into the plan. Development of the management plan will make use of participatory methods to promote engagement, articulation and coordination of the different stakeholders with interests in Kutuku Shaimi, including public institutions, community organizations, local authorities, universities, NGOs and private sector, and ensuring a bottom-up approach to identify the local needs and priorities and reach agreements on the measures that respond to such needs and priorities. Participation of women will be encouraged given their key role in food production in traditional *ajas*. Development of the management plan will take into account traditional knowledge, cultural uses of the forest and inter-cultural dialogue.

140. The project will work with MAE, parish councils and communities to demarcate five pilot areas for implementation of innovative SFM approaches. Community members and individual landholders living in these pilot areas will be trained on environmental, forest and water regulations, technical standards for SFM, environmental impacts, and MAE wood traceability regulations. In addition an exchange of experiences will be undertaken with successful SFM experiences in the Ecuadorian Amazon. Building on the existing regulations, standards and successful experiences, technical support will be provided to prepare in each pilot area a Special Management Plan for Protection, Monitoring and Mitigation Measures for SFM, NTFP and Forest-associated Fauna. These plans in turn will serve as the basis for preparing the Integral Plans for SFM of Multiple Species (based on the regulations developed under Outcome 1.1). These plans will contain a more comprehensive approach to SFM and will go beyond the traditional integral plans required by MAE for issuing wood harvesting permits. The Integral Plans for multiple species will also serve the purpose of identifying business opportunities for men, women and youths based on the sustainable use of wood products (e.g. crafts, furniture), NTFPs (e.g. tree nurseries) and fauna hence increasing the value of forests. The project will promote public-private-community partnerships to develop the opportunities identified in accordance with Ecuadorian regulations. The Morona GAD's Local Development Agency (established under Output 1.2) and local forestry agents will provide training and technical assistance to landholders undertaking SFM practices to access MAE's certificate of legal origin for native forest wood and wood products; training and assistance to the wood supply chain stakeholders (e.g. communities, landholders, transporters, collection centers and industries) on sustainable production, commercialization and primary processing of wood and wood products. Furthermore, they will raise

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<sup>47</sup> The Mancommunity comprises the parishes of Guasunga, Tutinzena, Pupuenza, Macuma in Taisha canton, and the Sevilla de Don Bosco parish of Morona canton.

awareness with the local population to incentivize the purchase of wood and wood products with certificate of origin.

141. The project will work with the Local Development Agency to develop management plans for sustainable use of *morete*, *ungurahua*, *ishpingo* and forest tree seeds in Kutuku Shaimi. The management plans will take into account the traditional knowledge and practices that will contribute to guarantee the sustainable use of the species. The Shuar communities, mainly women and youths, will be trained (based on the training program developed under Output 3.2) to implement the management plans. Training will include building the capacity of communities for preparing proposals under the competitive grants mechanism (developed under Output 2.3) through which the project will finance the implementation of income generating projects for sustainable production, value adding and commercialization of NTFPs to reduce forest degradation and illegal extraction of wood.

142. The Local Development Agency, within the framework of the NTFP management plans, will provide support to Shuar communities through socializing and raising awareness on the legal framework for NTFPs, including the regulations developed under Output 1.1; developing a data base on community organizations, associations and enterprises; supporting compliance of NTFP related requirements by the institutions regulating commercialization and intellectual property; promoting business incubation; strengthening the managerial and commercial capacities of community organizations, associations and enterprises and supporting their qualification as State providers; promoting public-private-community partnerships to develop innovative products based on sustainable use of NTFPs.

143. The project will provide training to the Mancommunity of Parish Councils of Kutuku Shaimi to build their capacities to manage and monitor the Kutuku Shaimi Management Plan and monitor the implementation of NTFP plans (in coordination with MAE and INB) and for establishing native forest and fruit tree nurseries (in coordination with MAGAP and INIAP) to promote reforestation for restoration of degraded areas in slopes, enrichment of forests, and to provide seedlings to livestock producers for silvopastoral systems and diversification with fruit species as well as to other stakeholders (e.g. mining companies) that are obliged to undertake reforestation to compensate activities the impact on the environment. Establishment of tree nurseries will be mainly aimed at women and youths to contribute to their empowerment and income generation. The project will coordinate the MAE/MAGAP/FAO initiative to strengthen germplasm banks in the Amazon region to strengthen and/or develop germplasm banks in Kutuku Shaimi.

144. To strengthen MAE's capacities for improving management of protective forests, the project will develop a management effectiveness tool specific for protective forests that will be piloted in the Kutuku Shaimi forest to measure management effectiveness. This will set the foundation for adopting and applying this tool to other protective forests in the country.

145. Within the framework of the SAT developed in Outcome 1.4 and implemented in Kutuku Shaimi the project will in coordination with MAE and MAGAP develop a training program addressing inter-cultural management of socio-environmental conflicts with the objective of building local capacities to prevent and resolve potential conflicts arising from differences between resource users in regards to access protective forest's natural resources. Training will cover themes such as: constitutional rights and human rights; socio-environmental conflicts; peaceful resolution of conflicts; gender and inter-cultural issues in socio-environmental conflicts. The program will train 30 technicians from MAE, MAGAP and municipal and parish governments, and 30 community members, preferably women and youths, building their capacities for conflict resolution. The project will promote the establishment of roundtables for conflict resolution in the parishes located within Kutuku Shaimi.

146. *Complementary livelihood options in Kutuku Shaimi.* To promote the diversification of livelihood options the project will support the Morona Local Development Agency in strengthening existing tourism activities. Training will be provided to communities (through the training program developed under Output 3.2 above) covering: tourism business plans, assessment of offer and demand of tourism services, customer service, marketing of local initiatives and services. Training will be emphasized toward women and youths. The Local Development Agency will technically support the communities to access MINTUR financial support to their tourism initiatives.

147. *Output 3.4 Producers-support systems for upscaling at watershed level*

148. The project will contribute to upscale sustainable production at landscape level in the CTEA hydrographic watersheds through several approaches, as described below. These approaches will contribute to a widespread dissemination of best practices and standards to comply with market requirements for sustainable products, hence contributing to the development of value chains and increase in the offer of this kind of products, while at the same time contributing to conservation of HVCFs and biodiversity and restoration of degraded areas.

149. *Strengthening of extension services in sustainable production practices and landscape approach.* This approach will target the strengthening of technicians from MAE, MAGAP, GADs, CONGOPE, local promoters and financial entities and will comprise two types of interventions. One intervention will be addressed to technicians in each pilot landscape to build their capacities to replicate the experiences and lessons acquired in other pilot landscapes. The second intervention will be addressed to technicians from other areas of the six Amazon provinces outside the pilot landscapes seeking to build their capacities for upscaling the experiences and lessons to the rest of the provinces. The technicians selected to participate in these interventions will be trained following the training-of-trainers methodology so that they in turn will be in charge of transferring the knowledge acquired to other technicians in the region. The table below summarizes the capacity building interventions. Participation of women and members of indigenous nationalities will be encouraged (at least 40%). The contents and training materials of the different training programs developed in Outputs 3.1, 3.2 and 3.3 above will be used in these trainings.

**Table 4. Interventions for strengthening of extension services in the CTEA**

CTEA Sub-region	Technicians in the pilot landscapes	Technicians from other areas of the Amazon provinces
Northern Amazon	<p>Training:</p> <ul style="list-style-type: none"> <li>- Livestock best practices</li> </ul> <p>Field visits:</p> <ul style="list-style-type: none"> <li>- To Southern Amazon for livestock best practices</li> <li>- To Kutuku Shaimi for management practices in protective forests</li> </ul>	<p>Training:</p> <ul style="list-style-type: none"> <li>- Coffee, cocoa, oil palm and livestock best practices (including certification schemes);</li> <li>- Regional platforms methodology (coffee, cocoa, oil palm, livestock)</li> <li>- Credit lines for sustainable production</li> </ul> <p>Field visits:</p> <ul style="list-style-type: none"> <li>- Within the sub-region to observe coffee, cocoa and oil palm best practices</li> <li>- To Southern Amazon for livestock best practices</li> <li>- To Kutuku Shaimi for management practices in protective forests and replication to: El Bermejo, Lomas Corazon, Breña, Los Cedros del Rio Tigre and Pañacocha protective forests</li> </ul>
Central Amazon		<p>Training:</p> <ul style="list-style-type: none"> <li>- Roundtable for forest products and Regional platform (livestock) methodologies</li> <li>- NTFP management</li> <li>- Livestock best practices</li> </ul> <p>Field visits:</p> <ul style="list-style-type: none"> <li>- NTFP management</li> <li>- To Southern Amazon for livestock best practices and Kutuku Shaimi for management practices in protective forests</li> </ul>
Southern Amazon	<p>Training:</p> <ul style="list-style-type: none"> <li>- Coffee best practices</li> </ul> <p>Field visits:</p> <ul style="list-style-type: none"> <li>- Northern Amazon coffee best practices</li> </ul>	<p>Training:</p> <ul style="list-style-type: none"> <li>- Coffee, cocoa and livestock best practices</li> <li>- Regional platforms methodology (coffee, cocoa)</li> <li>- SFM and NTFP</li> </ul> <p>Field visits:</p> <ul style="list-style-type: none"> <li>- To Northern Amazon to observe coffee, cocoa best practices</li> <li>- Livestock best practices within the sub-region</li> <li>- To Kutuku Shaimi Protective Forest for replication in protective forests: Alto Nangaritza, Tiwi Nunke, Micha Nunke, Tukupi Nunke</li> </ul>

150. *Strengthening of producers' associations on best practices and standards to comply with market requirements for sustainable products.* Coffee, cocoa, oil palm and livestock producers' associations will be strengthened so that they will work through their own technicians and with the public extension services to disseminate best practices among their members and contribute to the development of the supply chains of these products. This will include training and exchange of experiences. Training will be developed in coordination with MAGAP, MCE, Institute of Popular and Solidary Economy (IEPS), Internal Revenues Services of Ecuador (SRI) and AGROCALIDAD and will include – among others - the following themes: environment-friendly best practices, commercialization plans, national and international market standards, requirements and permits to access different markets (e.g. USA, Europe), commercialization practices, marketing, packaging, eco-labeling, seals and certifications (e.g. cocoa, coffee). As much as possible, the project will seek to involve in these trainings other stakeholders from the Regional Platforms (e.g. buyers of commodities) to provide through specific presentations complementary information and knowledge on the subjects covered.

151. Exchange visits will be undertaken to observe progress and results achieved in sustainable production in the target landscapes. These exchange visits will include taking coffee and cocoa associations from Southern Amazon to Northern Amazon; oil palm producers within Northern Amazon; livestock associations from Central and Northern Amazon to Southern Amazon. This activity will include specific

exchanges with the GEF-FAO Projects #4774 in the province of Napo (sustainable production of cocoa and coffee) and #4775 in the provinces of Napo and Pastaza (sustainable livestock production) and farms supported by the German International Cooperation (GIZ). The project will then work with associations to help them undertake activities targeting their members, including disseminating information prepared by the project or by the associations themselves, organizing awareness raising and training events for their members; and organizing field days to farms of members that implement best practices.

152. *Support to producers to access inputs, technology and other services for production.* The project will work with MAGAP, MAE, GADs, financial entities and producers' associations to socialize and disseminate information on existing monetary and non-monetary incentives addressing conservation, restoration and sustainable production (e.g. MAE's Socio-Management incentive for SFM; MAGAP's Reforestation for Commercial Purposes incentive; PSB Conservation incentive; ATPA advisory services for diversification of farms; MAGAP's Sustainable Livestock Project incentives for animal health, credits, traceability; and Coffee-cocoa Reactivation Project incentives providing coffee and cocoa seedlings and technical assistance; and the Morona Ordinance for controlling the use of mining concession areas within the Morona protective forest, which grants property tax exemptions for forest management and insurance for forest plantations). Socialization and dissemination will be undertaken through radio, printed materials and web pages, and taking into account gender and inter-cultural issues.

153. The project will also promote the dissemination of information on the new credit lines for sustainable production and best practices developed under Output 2.4. This will be done through workshops and information dissemination undertaken with MAGAP/FIPRO, public and private banks and will include information on the credit lines, requirements for accessing credits, environmental licensing and other relevant information.

#### **154. Outcome 4: Dissemination of lessons learned, monitoring & evaluation**

##### *155. Output 4.1: Project M&E system operational and generating periodic reports*

156. The Project Technical Team (PTU), see section VIII below on governance and management arrangements for detailed information) will design the project's M&E system and will be responsible for implementing the project's M&E plan, including the project's inception workshop, annual planning workshops, monitoring of activities, outputs and outcomes, monitoring of the risk matrix and identifying potential risks and mitigation measures to reduce those unexpected risks (see section VII for further details). The Project Coordinator will provide inputs to the UNDP-CO for preparing the annual Project Implementation Report (PIR). These reports will include the project results framework with outcome indicators, baseline and six-monthly target indicators, monitoring of the risk matrix, and identifying potential risks and mitigation measures to reduce those unexpected risks. M&E will also include completion of the GEF Tracking Tools and the UNDP Capacity Scorecard at mid-term and end of project.

157. Project M&E will collect sex-disaggregated and inter-cultural data related to governance, participation, access to credits and incentives, and sustainable production. These data will include e.g. total number of full-time project women and men staff; total number of women and of men as Project Board members; number of jobs created by the project disaggregated by women and men; number of women and communities benefited with technical assistance; number of community-implemented initiatives for value adding; number of men and women producers trained on sustainable best practices; number of women and youths trained as local promoters to provide technical assistance to producers and hired by MAGAP, INIAP, GADs, MAE and financial entities; number of communities or associations trained for alternative livelihood options (aquaculture, meliponiculture, sustainable tourism); number of activities undertaken to rescue



traditional knowledge; number of income generating initiatives undertaken by women and indigenous youths; number of women and youths trained in conflict resolution; number of women and youth groups or associations receiving project support; number of men, women, families and community organizations accessing new credit lines for sustainable production; number of indigenous men and women receiving financial education; level of acceptance of the project interventions by indigenous communities; number of indigenous men and women participating in project activities.

158. *Output 4.2: Mid-term review and final evaluation*

159. The Mid-Term Evaluation/Review (MTR) will be carried out three years after project start-up, at the latest, and will assess the progress of each project activity and attainment of the project's indicators presented in the Project Results Framework (Section V) and Multiannual workplan (Annex A). This evaluation will also assess the disbursement of financial resources and co-financing provided by project partners, as well as monitor and assess administrative aspects as agreed upon between UNDP and MAE and MAGAP for the execution of the project. The MTR will also inform the adaptive management of the project and improve its implementation for the remainder of the project's duration.

160. The Terminal Evaluation (TE) aims to evaluate whether all planned project activities have been developed, resources granted by the GEF have been disbursed and spent in line with GEF and UNDP policies and rules, and in accordance with the activities as set-out in this project document. The TE will also extract and identify lessons-learned, how to disseminate them most efficiently and make recommendations to ensure that project results become sustainable.

161. *Output 4.3: Knowledge products, best practices and lessons learned published and disseminated*

The project will publish and disseminate nine reports systematizing project experiences, best practices and lessons learned, in electronic formats (DVDs) and on-line (mailing lists, partners' websites and social media). These reports will approach different themes covering: i) integrated management of MUL; ii) platforms for sustainable supply chains successful cases; iii) territorial articulation in the Amazon region based on a landscape approach; iv) lessons learned by the platforms for sustainable supply chains; v) case studies on sustainable production best practices based on gender and inter-cultural approaches; vi) sustainable production best practices guidelines; viii) project lessons learned. Publications will include information on the methodologies applied, the difficulties encountered, as well as the projects' successes and their compliance with the project's objectives. Dissemination will be undertaken through the project's CEPA strategy.

ii. Partnerships:

162. The implementation of this project requires the active participation of several partners, government partners as well as civil society and private sector partners. Responsibilities of these partners in the project's implementation as well as initiatives supported by these partners in addressing the project's development challenge have been summarized in the tables below. For details on the Project Board, Project Technical Committee and Project Working Groups mentioned in the tables refer to Figure 2 Project Organization Structure, Section VIII below.

**Table 5. Partnerships with government partners**

Partner	Responsibilities of the partner in the project's implementation and other initiatives this partner is implementing that contribute towards the achievement of this project.
Ministry of the Environment (MAE)	<p><b>Responsibility in the project:</b> Project Responsible Party, through the Directorate of Biodiversity coordinating with the Under-secretariats of Climate Change and Environmental Quality and the active participation of the Socio-Bosque Program. Member of the Project Board, Chair of the Project Technical Committee. Project Co-financier. Will convene stakeholders to engage them in project planning and implementation processes (e.g. thematic and specialized meetings, planning, consultation and validation workshops). Will co-lead project implementation in coordination with MAGAP, SENPLADES and GADs. At outcome level, MAE will participate in the Territorial Coordination Platform; updating and elaboration of LUDPs; capacity building processes (e.g. mainstreaming of the landscape approach, GIS, forest monitoring); development of regulations for forest conservation and land use planning; ecosystem services valuation studies (Outcome 1). Will participate in the Regional Platforms for Sustainable Supply Chains and the Roundtable for Wood, Non-wood and Biodiversity Products; development of options to improve Socio-Bosque community investments; mainstreaming of environmental criteria in loan portfolios (Outcome 2); updating of the Kutuku Shaimi management plan and technical assistance to strengthen SFM; elaboration of management plans for NTFPs and technical assistance to strengthen NTFP production and commercialization; collaboration in the development of sustainable best practices manuals and guidelines for coffee, cacao, oil palm and livestock; replication of experiences and lessons (Outcome 3).</p> <p><b>Other ongoing initiatives/baseline projects, which contribute towards project's results:</b> MAE is the national environmental authority in charge of establishing national policies and legal instruments for managing the forest resources. Responsible for the National Protected Area System. Implements the National Incentives Program, including Socio-Bosque Program and Socio-Management incentives. Promotes SFM and NTFP production approving NTFP management plans for individual species and SFM integral farm plans and forest harvesting plans. Implements the Unified Environmental Information System (SUIA) and Forestry Administration System (SAF) for issuance of environmental and forest management licenses, and permits for transport of wood, and management of environmental information. MAE has zonal and provincial offices in the CTEA. MAE is also the GEF and GCF Focal point for Ecuador and will implement the REDD+ GCF project that will focus in the same geographical area as this project in coordination with MAGAP, thus MAE will promote a programmatic approach for the implementation of both projects to bring about more and better results.</p>
Ministry of Agriculture, Livestock, Aquaculture and Fisheries (MAGAP)	<p><b>Responsibility in the project:</b> Project Implementing Partner, MAGAP leads the Amazonian Productive Transformation Agenda (ATPA). Member of the Project Board, Project Technical Committee and Project Working Groups. Project Co-financier. Together with MAE will convene stakeholders to engage them in project planning and implementation processes (e.g. thematic and specialized meetings, planning, consultation and validation workshops). Will lead project implementation in coordination with MAE, SENPLADES and GADs. At outcome level, MAGAP will participate in the Territorial Coordination Platform; updating and elaboration of LUDPs; capacity building processes (e.g. mainstreaming of landscape approach, sustainable agricultural production); development of regulations for sustainable agricultural production; ecosystem services valuation studies; and in Local Development Agencies (Outcome 1). Will participate in the Regional Platforms for Sustainable Supply Chains and the Roundtable for Wood, Non-wood and Biodiversity Products; development of options to improve Socio-Bosque community investments; mainstreaming of environmental and sustainable production criteria in loan portfolios and development of financial products for small producers</p>

Partner	<b>Responsibilities of the partner in the project’s implementation and other initiatives this partner is implementing that contribute towards the achievement of this project.</b>
	<p>(Outcome 2). Validation of sustainable production best practice manuals and guidelines for coffee, cocoa, oil palm and livestock; support to the development of training programs for extension services; supply of technical assistance to producers for adoption of best practices; collaboration in promotion of financial services and products for sustainable production; replication of experiences and lessons (Outcome 3).</p> <p><b>Other ongoing initiatives/baseline projects, which contribute towards project’s results:</b> MAGAP is in charge of promoting sustainable production of the agricultural, livestock, aquaculture and fisheries sectors, as well as rural development. Implements the ATPA, the “Reactivation Project for Coffee and Fine Aroma Cocoa” and the “National Project for Sustainable Livestock Production”. Promotes agricultural quality standards through its Ecuadorian Agency for Agriculture Quality Assurance (AGROCALIDAD), which has issued regulations for best practices for oil palm and for dairy and beef. Disseminates information on rural financing to promote access to financing through its Productive Financing Unit (FIPRO). MAGAP has zonal and provincial offices in the CTEA. As mentioned above, MAGAP will work with MAE in the implementation of the REDD+ GCF project that will focus in the same geographical area as this project, in this context, a programmatic approach for the implementation of both projects to bring about more and better results will be promoted.</p>
National Secretariat for Planning and Development (SENPLADES)	<p><b>Responsibility in the project:</b> Member of the Project Technical Committee and Project Work Groups. Project Co-financier. The project will coordinate with the SENPLADES Zonal Under-secretariats in activities related to the elaboration and updating of LUDPs, establishment of Municipal Citizen Assemblies and capacity building processes related to these themes. LUDPs will follow SENPLADES regulations and guidelines. Likewise, the establishment of the Citizen Assemblies will follow SENPLADES guidelines. Will lead the Territorial Coordination Platform (Outcome 1).</p> <p><b>Other ongoing initiatives/baseline projects, which contribute towards project’s results:</b> National authority for planning responsible for the National Plan for Good Living. Chairs the National Planning Council and plays an important technical and coordinating role in bringing together the different levels of government. It has Zonal Under-secretariats in the CTEA. Implements the “Project for Strengthening the National Information System” and the “Project for generating inputs for updating national planning for the Good Living”.</p>
Ministry of Foreign Trade (MCE)	<p><b>Responsibility in the project:</b> Will be invited to participate in the Regional Platforms for Sustainable Supply Chains of coffee, cocoa, oil palm and livestock. Will participate in the elaboration of platform action plans and in identifying and promoting partnerships with buyers of sustainable products (Outcome 2).</p> <p><b>Other ongoing initiatives/baseline projects, which contribute towards project’s results:</b> Promotes the development of exports of sustainable products. Responsible for the National Action Plan for Green Exports. MCE runs PROECUADOR, the Institute for Promotion of Exports and Investments as well as an Inclusive Trade Unit. Implements the Country Brand Program to promote the use of the country brand “Ecuador Loves Life” at national and international level for Ecuadorian products and services.</p>
Ministry of Tourism (MINTUR)	<p><b>Responsibility in the project:</b> Will be invited to participate in the Territorial Coordination Platform (Outcome 1). The project will coordinate with MINTUR to identify tourism opportunities and initiatives with Achuar communities in Central Amazon that can be promoted through the Development Agency of the Taisha GAD (Outcome 2). MINTUR will provide support to these activities.</p>

Partner	Responsibilities of the partner in the project's implementation and other initiatives this partner is implementing that contribute towards the achievement of this project.
	<p><b>Other ongoing initiatives/baseline projects, which contribute towards project's results:</b> Responsible for national tourism policies. Provides support to local communities for development and improvement of tourism initiatives and destinies in the CTEA through financing of studies, infrastructure, training, and signage.</p>
Strategic Ecuador Public Enterprise	<p><b>Responsibility in the project:</b> Will be invited to participate in the Territorial Coordination Platform (Outcome 1). Dialogue with Strategic Ecuador within the platform will be important to advocate for the responsible use of company funds in line with project goals and promoting synergies, as well as to ensure that activities with these funds do not undermine project goals, as they are substantial investments in the region.</p> <p><b>Other ongoing initiatives/baseline projects, which contribute towards project's results:</b> Strategic Ecuador is in charge of managing the funds that the enterprises that undertake mining, hydrocarbon and hydroelectric power projects allocate for environmental and social compensations of their impacts and redistribute such funds to the communities located in the area of influence of the projects, as foreseen in the environmental management plans of these projects.</p>
National Biodiversity Institute (INB)	<p><b>Responsibility in the project:</b> Will participate in promotion of knowledge networks to document best practices and lessons in the CTEA (Outcome 1); development of NTFP management plans and feasibility studies for credits to small producers for adding value to NTFP and will lead the Roundtable for Wood, Non-wood and Biodiversity Products (Outcome 2).</p> <p><b>Other ongoing initiatives/baseline projects, which contribute towards project's results:</b> Public institute under the MAE. Responsible for generating knowledge and developing science, technology and innovation. It is the competent authority on sustainable use of biodiversity products and developing national strategies and policies for sustainable use of biodiversity.</p>
Socio-Bosque Incentives National Program (PSB)	<p><b>Responsibility in the project:</b> The project will coordinate with the PSB to develop options to optimize the use of conservation incentives in community lands to promote SFM, SLM and sustainable production activities (Outcome 2).</p> <p><b>Other ongoing initiatives/baseline projects, which contribute towards project's results:</b> PSB is a MAE program that provides a non-reimbursable monetary incentive to farmers and indigenous communities who voluntarily commit to the conservation and protection of their native forests and other types of native vegetation to develop conservation plans. The incentive is channeled through investment plans that include sustainable production activities, education, health and community funds.</p>
Institute for Eco-development of Ecuadorian Amazon Region (ECORAE)	<p><b>Responsibility in the project:</b> Beneficiary of the capacity development program for planning and management based on a landscape approach and to mainstream the approach to improve internal planning processes for the CTEA; member of the Territorial Coordination Platform; development of the information node (Outcome 1).</p> <p><b>Other ongoing initiatives/baseline projects, which contribute towards project's results:</b> Public institute under SENPLADES. Will play an important role as planning entity for the Amazon Region through the Amazon Integral Plan (approved by the ECORAE Board on 15 June 2016 and passed to the Official Registry Directorate) and the CTEA Law, both instruments currently under development and expected to be approved in 2016. ECORAE has secretariats in the six Amazon provinces.</p>

Partner	Responsibilities of the partner in the project's implementation and other initiatives this partner is implementing that contribute towards the achievement of this project.
Decentralized Autonomous Governments (GAD) of six Amazon provinces: Napo, Sucumbíos, Orellana, Pastaza, Morona Santiago y Zamora Chinchipe	<p><b>Responsibility in the project:</b> Will participate in the Territorial Coordination Platform and in Local Development Agencies (Outcome 1). Beneficiaries of the training programs on landscape approach and sustainable production, as well as the strengthening of their extension services to promote the adoption of best practices within their territories. May incorporate local promoters trained by the project on sustainable production to strengthen their capacities to provide technical assistance to producers (Outcomes 1 and 3). Will participate in the Regional Platforms for Sustainable Supply Chains of coffee, cocoa, oil palm and livestock (Outcome 2). The project will coordinate with the Units for Promotion of Production and Environmental Management of each GAD.</p> <p><b>Other ongoing initiatives/baseline projects, which contribute towards project's results:</b> Provincial GADs promote the sustainable development of their territories to ensure the good living, including guaranteeing the provision of public services, fostering provincial economic activities, and environmental management, and they can also designate provincial conservation areas. GADs have Units for Promotion of Production and Environmental Management that work in promoting agricultural and livestock production, tree nurseries, pisciculture and other productive initiatives.</p>
Municipal Decentralized Autonomous Governments (GAD) of the 3 target landscapes <ul style="list-style-type: none"> <li>- Shushufindi</li> <li>- Orellana</li> <li>- Taisha</li> <li>- Morona</li> <li>- Nangaritza</li> </ul>	<p><b>Responsibility in the project:</b> Members of the Project Working Groups. Will participate in the project's planning, implementation and monitoring processes. The project will coordinate field activities in the target landscapes and will keep the GADs duly informed of its activities. Will participate in the Territorial Coordination Platform; receive technical assistance for the participatory construction of LUDPs mainstreaming the landscape approach, to establish Citizen Assemblies and strengthen Planning Councils. With project support they will establish Local Development Agencies to promote NTFP and biodiversity products development (Outcome 1). Will participate in the Regional Platforms for Sustainable Supply Chains and the Roundtable for Wood, Non-wood and Biodiversity Products (Outcome 2). GADs may hire the local promoters to be trained by the project to provide technical assistance to producers to disseminate sustainable best practices within their territories. Through the Local Development Agencies they will provide assistance to communities to undertake initiatives and businesses with NTFPs and biodiversity products (Outcome 3). The project will coordinate with the GAD units for planning, local economic development, environmental planning and community tourism.</p> <p><b>Other ongoing initiatives/baseline projects, which contribute towards project's results:</b> Municipal GADs are legally authorized to maintain and preserve the natural heritage within their jurisdictions; plan municipal development and elaborate LUDPs aligned with national, regional, provincial and parish planning; and exercise control of land uses. GADs have units addressing planning, local economic development, environmental management and community tourism.</p>
Parish Decentralized Autonomous Governments (GAD) of the 3 target landscapes	<p><b>Responsibility in the project:</b> Will be invited to participate in the Territorial Coordination Platform. Beneficiaries of training programs on landscape approach, sustainable production and other relevant project themes. Will participate in participatory processes for development of LUDPs (Outcome 1). The Mancommunity of Parish Councils of the Kutuku Shaimi Protective Forest will be strengthened to implement local monitoring systems, monitoring of the Kutuku Shaimi management plan, and establishment of tree nurseries (forest and fruit trees) for recovery of degraded soils (Outcome 3). The project will coordinate with the chairpersons and members of environment, economic development, and production units of the GADs.</p> <p><b>Other ongoing initiatives/baseline projects, which contribute towards project's results:</b> Parish GADs have competences in planning the development and land use of the parish in coordination with the municipal and provincial GADs; promoting community productive activities; conservation of biodiversity and protection of the environment;</p>

Partner	<b>Responsibilities of the partner in the project's implementation and other initiatives this partner is implementing that contribute towards the achievement of this project.</b>
	promoting community organizations. Parish GADs are key because of their closeness to the population, and their potential to help generate associative processes related to the proper management of natural resources.
Autonomous Provincial Government Consortium (CONGOPE)	<p><b>Responsibility in the project:</b> Project co-financier. Will participate in the design and implementation of the training programs. CONGOPE technicians will be beneficiaries of the training programs to strengthen extension services in sustainable production (Outcome 3).</p> <p><b>Other ongoing initiatives/baseline projects, which contribute towards project's results:</b> Provides technical assistance to provincial GADs. Currently supporting the GADs in complying with MAE requirements to qualify as environmental authorities and obtain the delegation of authority to act as such in their territories. Future area of support (planned for 2017) includes the articulation of roles and responsibilities in environmental management and promotion of production.</p>
Association of Ecuadorian Municipalities (AME)	<p><b>Responsibility in the project:</b> Project Co-financier. Will participate in design and implementation of training programs providing their web platform for developing the courses; providing technical assistance to municipal GADs for construction and monitoring of LUDPs and generating model ordinances that can be adopted by the GADs and adjusted to their specific conditions; articulation of information systems (Outcome 1). Will be beneficiaries of the extension services strengthening program to promote the replication of experiences and lessons (e.g. sustainable best practices) (Outcome 3).</p> <p><b>Other ongoing initiatives/baseline projects, which contribute towards project's results:</b> AME gathers the 221 municipal GADs in the country. Provides technical assistance in areas such as development of LUDPs and elaboration of model ordinances. AME has zonal technical offices in the field.</p>
Secretariat for Higher Education, Science, Technology and Innovation (SENECYT)	<p><b>Responsibility in the project</b> Will be invited to the NTFP Roundtable; will support Output 1.5 on knowledge management. It will participate through its Traditional Knowledge Unit, which has the responsibilities of strengthening and promoting recovery of traditional knowledge, proposing public policies for promotion of research and recovery of traditional knowledge, designing strategies for implementing the afore-mentioned policy, promoting processes for recovery of knowledge related to medicine, silviculture, agriculture, techniques for environmental and micro-climate conservation.</p> <p><b>Other ongoing initiatives/baseline projects, which contribute towards project's results:</b> Implements the Project "Management of knowledge dialogue in intellectual property and knowledge management" and the Project "Management of knowledge dialogue in science, technology and innovation".</p>
Municipal Council for Citizen Participation and Social Control	<p><b>Responsibility in the project:</b> Will participate in the strengthening of the municipal citizen participation system. Will accompany the process for establishing citizen assemblies and strengthening local planning councils. Will provide training to the citizen assemblies on the current legal framework, rights and obligations (Outcome 1).</p>
Public banks: - BanEcuador - National Popular and Solidarity Finance Corporation (CONAFIPS)	<p><b>Responsibility in the project:</b> Will be invited to participate in the Territorial Coordination Platform (Outcome 1). Will receive training in sustainable finance; participate in the revision of loan portfolios to mainstream environmental sustainability criteria and in the Regional Platforms for Sustainable Supply Chains (Outcome 2). Dissemination of information on new credit lines for sustainable production and technical assistance to producers to access financing (Outcome 3). CONAFIPS is in charge of controlling the savings and credit cooperatives at national level to promote the popular and solidarity economy; it may act as second tier bank to channel funds for credits aiming at sustainable</p>

Partner	Responsibilities of the partner in the project's implementation and other initiatives this partner is implementing that contribute towards the achievement of this project.
	<p>production. BanEcuador is a project co-financier.</p> <p><b>Other ongoing initiatives/baseline projects, which contribute towards project's results:</b> BanEcuador has branches throughout the Amazon region, being Morona the province with the largest allocation of loans. It has developed financial products for productive activities by individuals, families and communities, and for production and commercialization by organizations. CONAFIPS is a second tier bank that provides funding to ensure that organizations are able to access credits and promotes the strengthening of popular and solidarity financial organizations (e.g. cooperatives, community associations).</p>

**Table 6. Partnerships with universities**

Partner	Responsibilities of the partner in the project's implementation and other initiatives this partner is implementing that contribute towards the achievement of this project.
<p>Universities and research centers</p> <ul style="list-style-type: none"> <li>- IKIAM Amazonian Regional University</li> <li>- Amazonian State University (UEA)</li> <li>- Private Technical University of Loja (UTPL)</li> </ul>	<p><b>Responsibility in the project:</b> Project co-financiers. Will participate in knowledge networks; in the Territorial Coordination Platform (Outcome 1); undertaking market and feasibility studies; and in the Roundtable for Wood, Non-wood and Biodiversity Products (Outcome 2). Will participate in design and implementation of training programs for technicians, producers and communities (Outcomes 1,2,3). Several types of synergies may be sought with universities. The project could identify and communicate where information is lacking and suggest thesis subjects in order to provide such information in collaboration with the project. The project may also work with universities to reach international research centers or scientific institutions that could provide training to strengthen the technical capacities of the governmental project partners.</p> <p><b>Other ongoing initiatives/baseline projects, which contribute towards project's results:</b> Universities have research programs in the Amazon Region. IKIAM implements the "OPEN Amazonia" initiative, an online knowledge management platform and the Project "Capacity development for generation of knowledge, research, learning and transfer" in the areas of global change, food security, water and energy, and education. UEA has a Center for Amazonian Research, Postgraduate and Conservation that undertakes scientific research projects on biodiversity, sustainable agriculture, agro-industry systems, tourism, valuation of nationalities and traditional knowledge. UTPL implements the projects "Socioeconomic and environmental indicators for small coffee producers of Zamora-Chinchi", "SmartLand for intelligent management of the territory", which promotes the use of ICTs to develop social, biological, environmental, cultural and infrastructure indicators, and participates in the project "Platform for research and monitoring of biodiversity and ecosystems in Southern Ecuador". It implements a monitoring and early warning model for socio-environmental conflicts.</p>

**Table 7. Partnerships with civil society partners**

Partner	Responsibilities of the partner in the project's implementation and other initiatives this partner is implementing that contribute towards the achievement of this project.
<p>Indigenous Nationalities Organizations</p> <ul style="list-style-type: none"> <li>- Confederation of Indigenous Nationalities of the Ecuadorian Amazon (CONFENIAE)</li> <li>- Achuar Nationality of Ecuador (NAE)</li> <li>- Others that may be identified during implementation</li> </ul>	<p><b>Responsibility in the project:</b> Will participate in the project planning, implementation and monitoring processes; contribute to gender and inter-cultural mainstreaming; rescue and incorporation of traditional knowledge related to forest management, NTFPs, sustainable agricultural production, biodiversity conservation and other subjects. Will be invited to participate in the Territorial Coordination Platform (Outcome 1) and the Roundtable for Wood, Non-wood and Biodiversity Products (Outcome 2); elaboration of NTFP management plans and improvement of Socio-Bosque investment plans and SFM (Outcome 2 and 3). Member communities in the target landscapes will be beneficiaries of trainings, grants, technical assistance and exchange of experiences.</p> <p><b>Other ongoing initiatives/baseline projects, which contribute towards project's results:</b> Responsible for managing their lands and territories. CONFENIAE promotes the social, political and economic development of the indigenous peoples, respecting and rescuing the cultural identity of each nationality. NAE is responsible for the Achuar System for Conservation and Ecological Reserves of Ecuador (SACRE), which has the objective of supporting conservation, culture and self-government of the Achuar.</p>
<p>Women and Youth groups</p> <ul style="list-style-type: none"> <li>- National youth alliance for the environment. (RENAJU)</li> <li>- Inter-cultural Network of Amazonian Women (RIMA)</li> </ul>	<p><b>Responsibility in the project:</b> Will be invited to participate in the Territorial Coordination Platform. Beneficiaries of the project's training and technical assistance programs, as well as the competitive grants to finance NTFP production and commercialization projects (Outcome 2). May participate in the development of the local monitoring and surveillance program (Outcome 1).</p>
<p>NGO</p> <ul style="list-style-type: none"> <li>- Nature and Culture International (NCI)</li> <li>- HIVOS-Northern Amazon</li> <li>- World Wide Fund (WWF)</li> <li>- National Working Group on Voluntary Forest Certification in Ecuador (CEFOVE)</li> <li>- Office for Social and Development Research (OFIS)</li> <li>- <i>Populorum Progressio</i> Ecuadorian Fund (FEPP)</li> <li>- FEPP Solidarity System for Commercialization (Camari)</li> </ul>	<p><b>Responsibility in the project:</b> Will support elaboration and updating of LUDPs and will be invited to participate in the Territorial Coordination Platform (Outcome 1). In accordance with their objectives and work undertaken they will be invited to participate in the Regional Platforms for Sustainable Supply Chains (coffee, cocoa, oil palm and livestock) and the Roundtable for Wood, Non-wood and Biodiversity Products (Outcome 2). Exchange of experiences will be organized with successful NGO experiences in the areas of sustainable production, SFM, biodiversity conservation (Outcome 3). The NGOs WWF, CEFOVE, OFIS and NCI are project co-financiers and as such will be invited to participate in the Project Working Groups.</p> <p>NGOs may be invited by UNDP to enter into a data base for service providers to be eligible for implementing project activities (based on UNDP's policy for the Engagement of NGOs and CSOs as Responsible Parties, and on a capacity assessment).</p> <p><b>Other ongoing initiatives/baseline projects, which contribute towards project's results:</b> NCI supports the establishment of local ordinances and trainings. HIVOS works in SFM and tourism. WWF promotes the rational use of natural resources and restoration of degraded areas for connectivity, adaptation of natural and human systems and supply of ecosystem services. FEPP works in Sucumbios and Orellana provinces in the areas of savings and credit, commercialization, training, land tenure and technical assistance. COPADE promotes fair trade and certification of coffee, cocoa, food and wood products. PROBIO supports training in sustainable agriculture. FFLA works in Pastaza to mainstream inter-cultural aspects in the province's LUDP. ECOLEX supports land</p>



Partner	Responsibilities of the partner in the project's implementation and other initiatives this partner is implementing that contribute towards the achievement of this project.
<ul style="list-style-type: none"> <li>- <i>Maquita Cushunchic</i> Foundation (MCCH)</li> <li>- Trade for Development (COPADEV)</li> <li>- Ecuadorian Corporation of Biological Farmers (PROBIO)</li> <li>- Latin American Future Foundation (FFLA)</li> <li>- Corporation for Environmental Management and Law (ECOLEX)</li> <li>- World Conservation Society (WCS)</li> </ul>	<p>tenure regularization, demarcation of protected areas and environmental conflict solution. WCS supports the strengthening of the Yasuni Biosphere Reserve. CEFOVE and FSC Ecuador both work in developing FSC standards in Ecuador.</p>

**Table 8. Partnerships with private sector partners**

Partner	Responsibilities of the partner in the project's implementation and other initiatives this partner is implementing that contribute towards the achievement of this project.
<p>Producers' associations</p> <ul style="list-style-type: none"> <li>- Cattlemen's Association of the Sierra and Oriente (AGSO)</li> <li>- African Palm Producers' Association (ANCUPA)</li> <li>- CHANKUAP Association</li> <li>- Others that may be identified during implementation</li> <li>- VERDECANANDE</li> </ul>	<p><b>Responsibility in the project:</b> Will be invited to participate in the Territorial Coordination Platform; in the Local Development Agencies; and participatory processes for development of municipal and parish LUDPs (Outcome 1); Regional Platforms for Sustainable Supply Chains according to their objectives and fields of expertise (Outcome 2); development of sustainable production manuals and guidelines; training programs and exchange of experiences on sustainable production, best practices and certification schemes; dissemination of information on sustainable production and other project themes to their members and associates; promoting replication and upscaling of lessons (Outcome 3).</p> <p><b>Other ongoing initiatives/baseline projects, which contribute towards project's results:</b> AGSO promotes the sustainable development of the livestock sector, offering specialized services (e.g. advice on pasture management, livestock management, dairy technology). Partnered with COMAFORS, promotes a commercial reforestation program within the framework of MAGAP's commercial reforestation incentive. ANCUPA promotes training of its members through the initiative ProPalma-Agricultural Training School; provides technical assistance to oil palm producers and promotes certification schemes (e.g. RSPO). CHANKUAP Association groups Shuar and Achuar communities promoting productive activities and improvement of the livelihoods of member families</p>
<p>Companies (commodity buyers, processors and/or exporters)</p>	<p><b>Responsibility in the project:</b> Will be invited to participate in the Regional Platforms for Sustainable Supply Chains and the Roundtable of Wood, Non-wood and Biodiversity Products as per their fields of expertise and work (Outcome 2). Will contribute to developing policies and regulations for sustainable production, commercialization strategies, guidelines for purchasing sustainable products from the CTEA, and will adjust their procurement policies to favor sustainable products.</p> <p>Potential companies identified that may be Project partners include:</p>

Partner	Responsibilities of the partner in the project's implementation and other initiatives this partner is implementing that contribute towards the achievement of this project.
	<p>Coffee: Solubles Instantáneos, El Café, Federation of Associations of Small Producers of Ecological Coffee (FAPECAFES)</p> <p>Cocoa: Confiteca, Bios, Pakari, Kallari, Republica del Cacao, Corposucumbíos, Transmar, Cofina, Eco-kakao</p> <p>Oil palm: Oil extraction plants Palmar del Río, Paivela and Palmeras del Ecuador, Association of Palm Oil Extractors (AEXPALMA)</p> <p>NTPF: Chankuap Foundation; Ecuadorian Tea Company (CETCA); FLORASANA Medicinal Plants; JAMBIKIWA Association; Association of Medicinal Plants Producers of Chimborazo; Business Development Agency-UTPL-Palo Santo Project</p>
Development Bank of Latin America (CAF)	<p><b>Responsibility in the project:</b> Development bank comprising a membership of 19 countries. Promotes sustainable development through credit operations, non-reimbursable funds and support to technical and financial design of public and private projects throughout Latin America. Will provide advice for the development of sustainable finance training programs targeting public and private banks and technical assistance for revision of loan portfolios to mainstream environmental considerations.</p>
<p>Private banks</p> <ul style="list-style-type: none"> <li>- Pichincha Bank (Pastaza)</li> <li>- Austro Bank</li> <li>- International Bank</li> <li>- FINCA Bank</li> <li>- Solidarity Bank</li> <li>- ProCredit Ecuador Bank</li> </ul>	<p><b>Responsibility in the project:</b> Will be invited to participate in the Regional Platforms for Sustainable Supply Chains and the Roundtable of Wood, Non-wood and Biodiversity Products. Beneficiaries of training in sustainable finance. Will review their loan portfolios to mainstream environmental sustainability criteria (Outcome 2). Will disseminate information on new credit lines and sustainable production and provide technical assistance to producers to promote access to financing (Outcome 3).</p> <p><b>Other ongoing initiatives/baseline projects, which contribute towards project's results:</b> Pichincha Bank grants loans for agricultural activities to finance purchase of animals, inputs, equipment and constructions. Finances livestock production and pisciculture in the Amazon region. Austro Bank has credit lines for micro and small sized enterprises. Solidarity Bank grants microcredits to production, trade or services. FINCA Bank has credit lines for individuals, investments and community bank schemes. ProCredit has credit lines for agricultural activities and an ecological credit line for environmental measures (e.g. EIA studies, environmental licensing procedures, organic production, sustainable tourism)</p>
<p>Popular and solidarity financial institutions</p> <ul style="list-style-type: none"> <li>- CODESARROLLO Bank</li> <li>- Jardín Azuayo Savings and Credit Cooperative</li> <li>- Pastaza Savings and Credit Cooperative</li> <li>- Rural Finance Network</li> <li>- Network for Popular and Solidarity Finance (RENAFIPSE)</li> </ul>	<p><b>Responsibility in the project:</b> Will be invited to participate in the Regional Platforms for Sustainable Supply Chains and the Roundtable of Wood, Non-wood and Biodiversity Products. Beneficiaries of training in sustainable finance. Will review their loan portfolios to mainstream environmental sustainability criteria (Outcome 2). Will disseminate information on new credit lines and sustainable production and provide technical assistance to producers to promote access to financing (Outcome 3).</p> <p><b>Other ongoing initiatives/baseline projects, which contribute towards project's results:</b> Jardín Azuayo Savings and Credit Cooperative undertakes trainings in cooperativism, leadership and citizenship. CODESARROLLO grants loans for agriculture, forestry and fish production to organizations, enterprises or community groups in Northern Amazon. Pastaza Savings and Credit Cooperative (Central and Southern Amazon) provides microcredits to farmers for different productive activities. The Rural Finance Network supports at national level the strengthening of financial institutions to improve their performance with agricultural credits. RENAFIPSE groups social financial organizations and networks of the country and provides training to members in financial issues and services to improve their financial management.</p>

Partner	Responsibilities of the partner in the project's implementation and other initiatives this partner is implementing that contribute towards the achievement of this project.
Corporation for Sustainable Forest Management (COMAFORS)	<p><b>Responsibility in the project:</b> Project co-financier. Will participate in the development of regulations and training programs on SFM, and socialization of the regulations developed (Outcome 1); development of NTFP feasibility studies; Roundtable for Wood, Non-wood and Biodiversity Products; support to updating of protective forest management plans (Outcome 2).</p> <p><b>Other ongoing initiatives/baseline projects, which contribute towards project's results:</b> COMAFORS promotes sustainable forest management. Disseminates information on forestry regulations and initiatives to the general public. Promotes the Project "Adopt a Forest" to stimulate corporate social responsibility of businesses and banks toward implementation of afforestation and reforestation activities in the country. Implements the "Forestry Awareness Program" comprising a course on sustainable forest management for forestry professionals, and has developed training manuals on the subject.</p>

iii. Stakeholder engagement:

163. During the PPG phase consultation workshops were undertaken in each of the six provinces of the Amazon region with key stakeholders, including indigenous nationalities, production associations, civil society and local staff of public ministries, provincial and local governments and related programs. A consultation workshop with NGOs and a seminar on UNDP's Green Commodities Program including NGOs and other stakeholders, were held in Quito. Three workshops (one in Quito and two in the Amazon region) were held to finalize the logical framework. In addition, the draft project document was shared with stakeholders who participated in the consultation process and comments and inputs were received, and a final workshop was held to discuss the comments and inputs received to this draft. Over 450 people were interviewed or participated in the workshops.

164. Stakeholder participation will be a key driver of the project's intervention strategy, and in general, will be promoted in formal and informal spaces through: i) timely and transparent access to information on project implementation; ii) project messages (e.g. landscape approach in land use planning; HCVPs and biodiversity conservation; sustainable production and deforestation free supply chains) adapted to the different target audiences; iii) participatory dialogue and consensus mechanisms; iv) timing for training and meetings adapted to the schedules of men and women; v) trainings, meetings and workshops in Spanish and as much as possible in indigenous languages; vi) capacity development to promote empowerment and ownership by project stakeholders and the sustainability of project results.

165. The project will involve CSOs, private sector producers' associations and commodity companies, and local communities, as summarized in the table below.

**Table 9. Stakeholder engagement**

Key Project Stakeholder	Strategy to ensure Stakeholders are engaged
<p>CSOs:</p> <ul style="list-style-type: none"> <li>- Indigenous nationalities</li> <li>- Women and youths</li> <li>- Colonists/farmers</li> </ul>	<p>The Project will involve CSOs in several interventions to incorporate the knowledge, experiences and lessons these organizations have acquired by working in the Amazon region. These include:</p> <ul style="list-style-type: none"> <li>- Participation in Project Working Groups (see Section VIII on implementation arrangements for details).</li> <li>- Participation in the Territorial Coordination Platform, Regional Platforms for Sustainable Supply Chains and the Roundtable for Wood, Non-wood and Biodiversity Products for inter-institutional and inter-sectorial dialogue and consensus.</li> <li>- Participation as members of Citizen Assemblies and Municipal Planning Councils.</li> <li>- Participatory processes for: i) gender and inter-cultural mainstreaming; ii) updating of municipal LUDPs; iii) elaboration of parish LUDPs; iv) developing regulations on sustainable production, HCVFs and forest use; v) validation of best practice manuals and guidelines for sustainable production, SFM, management plans for protective forests and NTFPs based on gender and inter-cultural approaches and taking into account traditional knowledge.</li> <li>- Dissemination of information produced by the project among members and associates.</li> <li>- Participation in: i) training programs, awareness raising and exchange of experiences on: landscape approach, HCVFs, sustainable production based on best practice manuals and guidelines, SFM, policy and regulatory framework; land use planning, biodiversity conservation; ii) competitive grants for NTFP production and commercialization projects</li> </ul> <p>In the case of indigenous peoples specific approaches will be adopted to ensure that project activities are detailed together with indigenous groups and fully respect their Cosmo vision. On the ground activity will be undertaken in indigenous lands that form part of the Socio Bosque program (PSB) and in protective forests where indigenous communities live. Under the PSB in-field information campaigns, and information dissemination assemblies with interested communities are undertaken. These communities are required to meet and approve in general assembly with majority participation their decision to participate, or not, in the program. In the case of protective forests consultations will be undertaken with parish councils and communities during project implementation to ensure communities are adequately informed and engaged in the project interventions. Please refer to Annex F Social and Environmental Screening Template for more detailed information on participation of indigenous peoples. Furthermore, Ecuador has designed the REDD+ Safeguards Information System and is finalizing the development of instruments for its proper functioning. The project will take into account these safeguards and instruments, as they are made available to ensure appropriate participation.</p>
<p>Private sector: producers' associations and commodity companies (buyers, processors and/or exporters)</p>	<p>The private sector will be engaged through:</p> <ul style="list-style-type: none"> <li>- Participation in Project Working Groups (see Section VIII on implementation arrangements for details).</li> <li>- Participation in the Territorial Coordination Platform, Regional Platforms for Sustainable Supply Chains and the Roundtable for Wood, Non-wood and Biodiversity Products for inter-institutional and inter-sectorial dialogue and consensus.</li> <li>- Participatory processes for: i) municipal and parish LUDPs; ii) developing regulations on sustainable production, HCVFs and forest use; v) validation of best practice manuals and guidelines for sustainable production of coffee, cocoa, oil palm and livestock, based on gender and inter-cultural approaches.</li> </ul>

	<ul style="list-style-type: none"> <li>- Participation in training and technical assistance programs on: landscape approach, HCVPs, sustainable production based on best practice manuals and guidelines and certification schemes, biodiversity conservation, among other themes, so that they will mainstream these considerations into their work and promote them among their members.</li> <li>- Participation in exchange of experiences between the target landscapes (livestock producers of Northern and Central Amazon to Southern Amazon; coffee and cocoa producers of Southern Amazon to Northern Amazon; oil palm producers within Northern Amazon)</li> <li>- Dissemination of information produced by the project among members and associates.</li> </ul>
<p>Producers, local communities and community organizations</p> <ul style="list-style-type: none"> <li>- Settlers</li> <li>- Indigenous nationalities: Kichwa (Northern Amazon), Shuar (Southern Amazon) Achuar (Central Amazon)</li> </ul>	<p>Producers, local communities and community organizations will be involved in a number of Project activities:</p> <ul style="list-style-type: none"> <li>- Training programs on: landscape approach, HCVPs, SFM, sustainable production based on best practice manuals and guidelines and certification schemes (coffee, cocoa, oil palm, livestock, NTFPs). Trainings will mainstream gender and inter-cultural approaches to ensure participation of women (e.g. timing that does not interfere with their daily activities) and to reach producers with information and training materials easy to understand and use, and in their respective languages, if necessary.</li> <li>- Technical and financial assistance for adoption of sustainable and environment-friendly best practices, and access to inputs, technology and other production services. Technical and financial assistance will also mainstream gender and inter-cultural approaches (e.g. female extension agents to provide assistance in <i>chakras</i>, which are mainly managed by women, credit lines for women).</li> <li>- Exchanges of experiences between the target landscapes (livestock producers of Northern and Central Amazon to Southern Amazon; coffee and cocoa producers of Southern Amazon to Northern Amazon; oil palm producers within Northern Amazon).</li> <li>- Competitive grants to finance NTFP production and commercialization and other initiatives to improve livelihoods (mainly directed to women and youths).</li> <li>- Socio-Bosque community beneficiaries will participate in the identification of opportunities to optimize the use of conservation incentives for sustainable agricultural production and SFM that contribute to improve their incomes.</li> </ul>

iv. Mainstreaming gender and inter-cultural issues:

166. The project mainstreams gender and inter-cultural issues throughout its entire cycle, based on the premise that besides ensuring participation of women (and their organizations) in the spaces generated by the project, it will contribute to their effective empowerment as social actors. The project recognizes the ethno-cultural characteristics of the relevant groups (e.g. settlers, Kichwa, Achuar and Shuar indigenous peoples), the role of the family in production and income generation, the socio-economic differences between men and women, and the differences between the environment-related knowledge in each case.

167. The project has developed a strategy that links the most important gaps identified in relation to its components, the proposed interventions, and the country’s policies and commitments toward gender equality. The gaps identified in the analysis and which are considered in the strategy include: parity in decision-making spaces; improvement of women’s incomes and livelihoods; use of time; and access to, and control of resources.

168. To this effect and in accordance with the gender mainstreaming strategy:

- 1) Each activity was analyzed to include the necessary elements to guarantee reducing the identified gaps and establishing affirmative actions when necessary.
- 2) Specific activities have been included addressing the empowerment of women and youth, especially indigenous peoples (capacities, economic empowerment and access to planning processes).
- 3) Indicators have been included in each project outcome to contribute to measure progress in this field and which will be monitored as part of the M&E process.
- 4) A budget has been included to guarantee the measures and actions to be undertaken.
- 5) Improving the capacities of the project team to manage gender mainstreaming has been considered.

169. Gender and inter-cultural mainstreaming have been assessed in the Social and Environmental Screening, more specifically under Principle 2 Gender Equality and Women's Empowerment, Standard 4 Cultural Heritage and Standard 6 Indigenous Peoples, identifying associated risks and corresponding measures that have been incorporated in project design. For further information, please refer to Section V.iii Social and Environmental Safeguards below and the Social and Environmental Screening Checklist in Annex F.

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## V. FEASIBILITY

### i. Cost efficiency and effectiveness:

170. The project will address three main priority challenges that need to be addressed to achieve an integrated approach to sustainable management and production in MULs of the CTEA, where until now the interventions have been mainly based on sectorial approaches. Project interventions will collectively attend the barriers to addressing these critical problems through development of policies, plans and participatory strategies that improve inter-institutional and inter-sectorial coordination; strengthening opportunities for dialogue and consensus; capacity building of national and local (provincial, municipal, parish) stakeholders, access to finance and markets for sustainable production and promotion of sustainable production practices, conservation and restoration for the long-term protection of global and local values of the CTEA. As such they are cost-effective

171. The project will capitalize on existing efforts and capacities, and adding value by enlarging and catalyzing efforts already underway. The project will work with public, private and civil society stakeholders that are carrying out activities in the CTEA, helping them to mainstream the landscape approach, biodiversity considerations and sound environmental practices into their current work programs and activities. Collaboration with this broad base of national and local level institutions and international advice that the project will receive will help to access cost effective field based expertise of the institutions involved in project-related activities. Effective coordination with other programs, projects and initiatives, will serve for reinforcing synergies, avoiding duplication of efforts and reducing overall costs. Regular coordination meetings with projects and programs will serve to identify complementarity and joint planning and implementation of activities in the field will contribute to cost-effectiveness. The project's Technical Committee and Working Groups will ensure this coordination. The project will make use of MAE and MAGAP offices in the project intervention areas. This will reduce the project's direct costs.

172. GEF funds will be used primarily for interventions addressing the policy and regulatory frameworks, institutional capacity building, targeted technical assistance to public and private stakeholders, for training and for dissemination of information. By fostering inter-institutional coordination and cooperation as well as operational frameworks (e.g. improved policy and regulatory instruments, land use planning, monitoring systems, dialogue mechanisms) a more effective and efficient use of resources of the institutions channeling funds to the CTEA is expected as well as increased long term funding to sustain project results.

173. Decision-making mechanisms and project activities will be aligned with local development priorities, and other ongoing initiatives. The use of market-based instruments and promotion of commercial relations between producers and commodity buyers will serve to maximize cost-effectiveness given that, following relatively short-term and limited investment by the project in facilitation, the ongoing transaction costs of these instruments and relations will be absorbed by the stakeholders involved, resulting in major benefits relative to the initial project investment.

174. Training and awareness-raising of individual producers and communities will be supported to achieve a shift in attitude that favors the sustainable management of natural resources. The project will promote deforestation free and gender and cultural-friendly best practices that will allow producers to maintain and increase their production levels and yields with a low level of use of external technologies, thereby reducing production costs. This, coupled with a strategy of accessing financial instruments and differentiated markets, will let obtain better prices and improve family incomes, hence reducing pressures over HCVPs and biodiversity.

175. Stakeholder participation at all project levels will contribute to the cost-effectiveness of the project. The project's governance structure (Project Board, Technical Committee, Working Groups) as well as the dialogue platforms will ensure adequate planning and implementation of activities in line with the project objectives, regional and local priorities, as well as complementarity with ongoing and planned programs and projects. Coordination mechanisms will be closely linked, ensuring in this manner that stakeholder concerns are up-streamed into higher project management levels and likewise project management decisions are down-streamed to keep stakeholders duly informed. The dialogue platforms will have a key role in this process. The project will benefit from the experiences and knowledge of CSOs, NGOs and private sector participating in the platforms. Systematization of project experiences and lessons learned will contribute to cost-effective upscaling and replication of project results.

ii. Risk Management:

176. The key risks that could threaten the achievement of project results have been summarized in Table 10 below. As per standard UNDP requirements, the Project Coordinator will monitor risks bi-monthly and report on the status of risks to the UNDP Country Office. The UNDP Country Office will record progress in the UNDP ATLAS risk log. Risks will be reported as critical when the impact and probability are high (i.e. when impact is rated as 5, and when impact is rated as 4 and probability is rated at 3 or higher). Management responses to critical risks will also be reported to the GEF in the annual PIR.



**Table 10. Project Risks**

Project risks					
Description	Type	Impact & Probability	Mitigation Measures	Owner	Status
Lack of political will and commitment of institutional stakeholders for inter-institutional and inter-sectorial coordination based on the landscape approach result in lack of coordination and complementarity, and duplication of roles and responsibilities	Institutional	<p>P= 3 I= 4 Significance: Moderate</p> <p><u>Potential impacts:</u> Key institutional stakeholders will continue interventions based on a sectorial approach with little or no coordination. Lack of mainstreaming of the landscape approach will continue to weaken coordinated planning efforts</p>	<p>MAGAP is the Project implementing partner and MAE is the main Responsible Party, both are members of the Project Board, Technical Committee and Working Groups (see Section VIII on implementation arrangements for details). MAE will chair the Technical Committee. This will ensure dialogue at political, managerial and technical levels as well as coherence in planning and implementation of Project interventions. The project will promote inter-sectorial coordination through several interventions: i) strengthening inter-sectorial dialogue at national level (between Citizen Sectorial Councils and between councils and their respective ministries); ii) joint development of regulations will reinforce coordination between MAE and MAGAP; iii) platforms will serve as a long term space for where the different national and local sectors can align, take ownership and develop joint concrete actions. The Territorial Coordination Platform will promote articulation of development initiatives and developing a common vision for the CTEA, while the regional platforms for sustainable supply chains will engage the productive sectors to agree on sustainable production policies and market Access for sustainable production; iv) mainstreaming of landscape approach in LUDPs will promote participation and coordination; v) training will serve to raise awareness and build capacities at different levels on the need for an integrated approach for the sustainable development of the CTEA.</p>	UNDP CO	Identified risk
High staff turnover (authorities and technical personnel) of implementing partner, Responsible Parties and key institutions delay project implementation	Institutional	<p>P= 4 I= 3 Significance: Moderate</p> <p><u>Potential impacts:</u> Staffs of public institutions rotate annually or bi-annually. New staff may replace trained technical staff without knowledge on Project themes (e.g. landscape approach, sustainable production) hence delaying capacity development. Implementation arrangements between MAE and MAGAP</p>	<p>The participating institutions will sign inter-institutional agreements for coordination and implementation of project interventions. The project will promote adequate coordination at all levels amongst all institutions and stakeholders, with clearly defined roles and responsibilities and decision-making channels. In case of significant changes that may affect project implementation the Project Board and the Project Coordinator will promote high level and/or technical meetings and prepare information materials to inform and raise awareness on the value of the project for sustainable development of the CTEA and related public policies and programs.</p> <p>The Association of Ecuadorian Municipalities (AME) will be a partner in developing training programs and online courses will be implemented through the association's web platform. This will enable the AME to continue providing capacity building to different institutions and ensuring training in case of staff turnover, as well as incorporating newly elected authorities and staffs of institutions in future periods for training.</p>	UNDP CO	Identified risk

Project risks					
Description	Type	Impact & Probability	Mitigation Measures	Owner	Status
		may encounter difficulties due to changes in authorities.			
2017 and 2019 elections produce changes in policies and authorities in the CTEA that affect project implementation	Political	P= 4 I= 3 Significance: Moderate  <u>Potential impacts:</u> Changes at provincial, municipal and parish levels may determine a slower pace of implementation while the new authorities get acquainted with the Project.	UNDP as implementing agency will provide a neutral space for project implementation and promoting dialogue with newly elected authorities to inform and raise awareness on the importance of the project. The multi-stakeholder platforms will serve to reinforce dialogue and dissemination of project related information to new authorities. Project partners CONGOPE and AME may provide valuable assistance in raising awareness with GADs. The project's communication strategy will also contribute to awareness raising.	UNDP CO	Identified risk
Co-financing for implementation of project actions may not be obtained in a timely manner or decrease due to budgetary restrictions	Institutional	P= 4 I= 5 Significance: High  <u>Potential impacts:</u> Ecuador's fiscal Budget is highly dependent on international oil prices. The 2017-2021 scenario does not foresee a Price recovery. This would affect the operational budgets of the participating government partners. Ongoing cofinancing programs such as PSB and ATPA could receive less funding or be discontinued to lack of funding.	Project budget will prioritize key interventions. A greater number of co-financiers have been identified and have committed co-financing (including private sector, universities, NGOs strengthening coordination with other donor funded projects) to reduce this risk and maintain the proposed results and impacts.  The UNDP CO will monitor the co-financing contributions to the project. UNDP, MAE and MAGAP are the Project Board members and will hold regular dialogues at the highest political level on cofinancing issues and will seek to develop alternative strategies to reduce impacts on the Project interventions in case the cofinancing contributions are affected.	UNDP CO	Identified risk
Price volatility of commodities	Economic	P= 4 I= 4 Significance: High  <u>Potential impacts:</u>	International prices will be regularly monitored together with public institutions and producers' associations. The project will work to internalize the negative impact caused to the environment in the cost structure for each commodity (coffee, cocoa, oil palm, livestock) to help convince buyers of the advantages of privileged purchasing of sustainably produced commodities. The project will aim to add value to the commodities produced under a recognized certification scheme (e.g.	UNDP CO	Identified risk

Project risks					
Description	Type	Impact & Probability	Mitigation Measures	Owner	Status
		Economic dependence of the rural sector on commodity prices is especially high in the Amazon due to low competitiveness of the region with respect to the Coast (high transportation and communication costs). Variation in prices could determine land use decisions. For instance oil palm could be replaced by other monocultures (e.g. maize, rice) if prices decrease or there could be expansion of coffee as a monoculture if prices increase.	oil palm), using best available practices. The project will explore with relevant institutions the establishment of compulsory norms, standards, and certification for producers, and for buyers to address this threat. The regional platforms for sustainable supply chains will provide a space for discussing alternatives and strategies to cope with potential price variations that could affect project interventions.		
Landowners and communities are reluctant to adopt best practices for sustainable management of forests and lands and conservation/restoration agreements	Socio-economic	P= 3 I= 3 Significance: Moderate  <u>Potential impacts:</u> Delay in uptaking of sound environmental practices in production, markets for sustainable products are not accessed due to lack of volume and the proposed environmental benefits are not fully accrued.	Dialogue mechanisms (roundtables, platforms) will contribute to raise awareness on the need for sustainable interventions in the CTEA. Valuation studies will serve to demonstrate the most favorable scenarios for land uses in the CTEA and raise awareness of these stakeholders on the subject. Incentives, credit services and technical assistance will contribute to adoption of best practices. Strengthening of value chains and improved market access for sustainable products will help encourage producers through improving their incomes. Capacity building of extension services will contribute to promote adoption of best practices by producers. Gender and inter-cultural mainstreaming in training and technical assistance programs will also help facilitate adoption. The project's training and awareness raising strategies will reinforce the project's messages on the advantages of adopting best practices.	UNDP CO	Identified risk
Indigenous Peoples, women and youths may not benefit fully from project activities.	Socio-economic	P= 3 I= 3 Significance: Moderate  <u>Potential impacts:</u> Weakened participation of indigenous peoples, women and youths could create resistance of communities toward the	The project envisages working in lands already in the Socio-Bosque program. As such indigenous peoples have been consulted and have provided their agreement in principle on conservation, restoration and production activities. During the PPG extensive consultation has been undertaken in the three target landscapes presenting the Project proposed interventions and receiving inputs from local stakeholders. During the project the appropriate level of consultation will take place at different levels according to national legislation. The Project mainstreams gender and inter-cultural approaches to encourage participation of indigenous peoples, women and youths and includes specific activities addressing	UNDP CO	Identified risk

Project risks					
Description	Type	Impact & Probability	Mitigation Measures	Owner	Status
		Project. Communities could decide not to work with the Project. Results would not be achieved.	these beneficiaries such as promoting their participation in dialogue and decision making spaces, promoting access to, and control of resources, and improving incomes and livelihoods.		
Impacts of climate change (climate variability and extreme weather events) and natural disasters (earthquakes, heavy rains, flooding)	Environmental	<p>P= 4 I= 4 Significance: High</p> <p><u>Potential impacts:</u> Loss of production due to extreme weather events. Lack of interest of producers in undertaking new investments to reduce potential risks. Producers who obtained loans may not be able to repay and may need to re-negotiate terms. This may influence uptaking of sustainable practices. Delay in implementation of project activities.</p>	<p>The Project will promote sustainable management of productive systems and forests. Awareness raising and training of landowners and communities for a better understanding of vulnerability and climate change impacts on CTEA ecosystems. Selection of best practices will take into account adaptation to climate change. The adoption of best practices that favor adequate management of soils and water in productive systems (e.g. agroforestry systems, live fences, restoration of lands and forests) and sustainable forest management will serve to minimize the impacts of extreme weather events.</p> <p>The project will maintain relations with emergency services (e.g. National Risk Secretariat, ECU 911 and local governments) to ensure risk management and prevention are taken into account in project interventions. The Territorial Coordination Platform will promote strengthening of coordination between GADs and donors, including for emergency aid. The project will coordinate with the MAGAP-ATPA agricultural insurance project to promote dissemination of insurance to producers.</p>	UNDP CO	Identified risk
Difficulties in accessing locations within the Amazon region, especially during the rainy season (due to flooding and mudslides)	Environmental	<p>P= 3 I= 3 Significance: Moderate</p> <p><u>Potential impacts:</u> Delay in Project implementation</p>	Training and awareness raising through radios and web-based platforms. Uploading of information and training materials to the Internet to make them available to beneficiaries in more remote locations. Participation of stakeholders in platforms through online tools (e.g. videoconferences). The project can provide technical assistance to organizations in preparing procurement/financial plans for computer equipment, Internet access or community radios to facilitate communication.	UNDP EC	

iii. Social and environmental safeguards:

177. The project risk has been categorized as moderate. The following risks were identified from the SESP Attachment 1. Social and Environmental Risk Screening Checklist<sup>48</sup> (For more information kindly refer to Annex F).

178. Under Principle 1 Human Rights, the risk is that project activities will take place within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas and indigenous people's lands. It will support land use planning in these areas; harvesting of natural forest and reforestation and possibly use of genetic resources and unless this takes into account sustainable practices and harvesting limits this may adversely affect conservation values of these areas. The focus of the project is precisely on maintaining areas of high conservation value forest and project components are designed specifically to avoid adverse impacts on conservation values. With the support to land use planning there may be restriction on potential production activities that may incur opportunity costs. These restrictions will be negotiated during land use planning with different level of government; communities and indigenous peoples. Additionally, the project design includes elements to compensate potential opportunity cost as it aims to use incentive payments in the short term, increased income from new access to markets for certified produce in the medium term, and increase income from enhanced agricultural productivity in the long term. The project will include mechanisms to deal with community grievances. Multi-level platforms will engage key stakeholders, including small producers and indigenous peoples for dialogue and consensus on issues such as land use planning and sustainable production. Stakeholder engagement processes have been undertaken during the PPG and all consultation mechanisms to be undertaken in the full size project will be discussed and agreed upon. Strengthening of local capacities will contribute to contribute the project beneficiaries to exercise their rights.

179. Under Principle 2 Gender Equality and Women's Empowerment, concerns were raised by women's groups/leaders during the stakeholder engagement process. The project has undertaken a gender analysis and identified gaps in terms of parity in decision-making spaces; improvement of women's incomes and livelihoods; use of time; and access to, and control of resources. The project will therefore place particular emphasis on ensuring that women are well represented in project implementation and that the impact of project activities on women will be considered. A number of strategies have been included in project design to encourage women's participation and empowerment. Detailed information on gender mainstreaming is included in Sections III Project Strategy and IV Results and Partnerships.

180. Under Principle 3, Standard 1 Biodiversity Conservation and Sustainable Natural Resource Management, project activities are located within or adjacent to critical habitats. The project will have a positive effect on the protection of critical habitats. The design has been precisely to safeguard those habitats with high conservation values and set up a system whereby land use planning and management provide the framework to ensure production activities do not produce negative impacts on these high value forests.

181. Under Standard 4 Cultural Heritage project interventions could potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices). Proposed activities will respect sustainable productive activities that take into account the culture of the local indigenous nationalities. The project will promote recognition of these traditional productive practices and knowledge, as well as sacred sites within land use

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<sup>48</sup> Social and Environmental Screening Procedure. UNDP, 2014.

plans. Land use plans will mainstream gender and inter-cultural approaches. Training activities will take into account respect for local traditional knowledge.

182. Under Standard 6 Indigenous Peoples, the project aims to bring together stakeholders with differing levels of resources and power through a multi-level governance framework for land use planning and management in the amazon and implement this in specific areas. There is a high percentage of indigenous populations with important cultural heritage in the project area. The project incorporates the prior consultation and consent standards and practices already in place for Socio Bosque Program, which comprises information campaigns and informative assemblies, and requires community assembly approval of project implementation. Project design takes into account participatory processes for planning, implementation and monitoring of activities to ensure full, effective and meaningful local and indigenous participation and avoid negative human rights impacts; as well as ensuring that all UNDP standards are well addressed. Special attention will be paid by the project to recognizing and guaranteeing the collective territorial and land use rights and practices, upheld by the Ecuadorian constitution. Traditional knowledge will be taken into account In development of project interventions (e.g. NTFP management, practices in traditional *ajás* and *chakras*).

183. Environmental and social grievances will be reported to the GEF in the annual PIR.

iv. Sustainability and Scaling Up:

184. *Sustainability:* The project has been designed to create an enabling framework to protect the biodiversity and ecosystem functions of the CTEA from existing and emerging threats from multi-sectorial production practices. In this sense, Outcome 1 of the project is specifically designed to promote project sustainability since it is focused on the medium and long term. It will ensure that the benefits derived from an integrated approach to land use planning are mainstreamed into planning and decision-making processes at all government levels (central, provincial, municipal, parish).

185. The optimization of joint planning exercises, strengthened dialogue, improved policy and regulatory instruments, and better coordination in the implementation of the different development initiatives will help the project partners and especially the participating government institutions to overcome the predominant culture of short term planning, sector-based solutions and develop a discipline of coordinating and collaborating under a common long term vision for the CTEA, thus ensuring sustainability of project results.

186. Capacity development will strengthen the managerial and technical skills of project partners to improve their capacities for integrated planning, implementation and monitoring of land use, and to facilitate multi-stakeholder coordination. By strengthening and updating the existing policy and regulatory framework and building the capacities of the institutions, the project will generate a much more cohesive and well-funded governance framework that will be better prepared to efficiently and effectively conserve globally significant biodiversity.

187. Dialogue and development of partnerships will be essential tools for building consensus, enabling coordinated planning and regulatory oversight and encouraging sustainable forms of investment. The establishment of the dialogue platforms (Territorial Coordination Platform and Regional Platforms for Sustainable Supply Chains) will contribute to sustainability of project results. The project will work to engage the public and private stakeholders so that the platforms will constitute a long-term space where the public and private sectors can align, take ownership and develop joint concrete actions to strengthen the country's enabling environment for sustainable commodity production. Several factors will contribute to sustainability of the platforms, namely: they will be established on the basis of existing initiatives; UNDP's

international experience and lessons learned; the principles on which platforms are based (neutral, empowerment and social inclusion, multi-stakeholder, strong facilitation, and conflict resolution) and financial sustainability studies to be carried out by the project.

188. The project will generate an enabling environment so that markets and financial sectors prize sustainable production practices. The project will work with the market players to connect them to sustainable products produced in the CTEA and to establish preferential buying agreements from producers that comply with environmental regulations, implement best practices and/or certify production, thus helping to promote uptake by increasing numbers of producers. This will in turn increase the supply of sustainable and/or certified products thereby increasing the demand by national and international buyers. Financial institutions will mainstream environmental standards into their lending procedures thereby ensuring that lenders comply with the environmental regulations and that credit funds are used for sustainable production.

189. The project will improve producers' (men and women) knowhow for sustainable land and forest management. Through training and outreach, producers will be aware of the value of forests and their ecosystem services, and the risks that unsustainable production represent to the production potential of the natural resources in the landscape that provide the basis for a long term sustained growth of the agricultural and livestock sectors, thereby increasing uptake of sound environmental practices. At the same time, local level monitoring and surveillance of land use will contribute to enforce regulations, discourage further illegal deforestation and promote sustainable production. By doing this the project will contribute to ensure future expansion of production does not compromise biodiversity and ecosystem function.

190. Project interventions will take into account gender equality given the important role of women in production and family income generation, seeking to empower them through participation in decision-making spaces; better access to, and control of resources, and improving their incomes and livelihoods to ensure sustainability of project interventions. Furthermore, interventions addressing indigenous communities will follow and respect their organizational ways and cultural norms; will ensure that stakeholders show respect for their dignity and human rights and will be carried out with an intercultural approach, from the worldview of each ethnic group's culture, and fundamentally respecting their collective and individual rights protected by international and national regulations and including safeguards to ensure action do not negatively affect the livelihoods of indigenous communities; thereby ensuring sustainability of project actions.

191. *Scaling up*: The potential for scaling up is high given the complementarity with national and local policies and plans. The project will intervene in three landscapes (Northern, Central and Southern Amazon), which have their own characteristics but at the same time reflect the problems of the CTEA as a whole; therefore the experiences and lessons learned in each area will be replicable to the entire region. Mainstreaming of the landscape approach and guidelines for sustainable production in national policies, regulations and LUDPs will contribute to upscaling at CTEA level. Capacity building of the relevant institutions will enable upscaling the landscape approach within the CTEA and other regions of the country.

192. The multi-stakeholder platforms will be replicable in other regions of the country, for the same commodities to advance toward national level action plans and also for other commodities. They will constitute a space where the project results will be internalized by the different stakeholders, thereby contributing to promote the replication of project actions. Mainstreaming of environmental standards in the lending procedures of financial institutions and the development of credit instruments for sustainable production will have a regional scope and may serve as example for replication to other regions of the country. Improvement of PSB investment plans will be replicable at regional (CTEA) and national level. The local early warning systems to be piloted will be replicable at regional level.

193. The project’s potential for replication is also based upon identification of best practices, appropriate technologies and lessons learned. Mainstreaming of the landscape approach, best practices and lessons learned into the technical assistance and work programs of the key public and private stakeholders that work in the landscape will ensure up-scaling and replication throughout the CTEA reaching a greater number of producers, communities and their organizations. The training and outreach strategy to be implemented by the project will facilitate replication. Actions such as field days, exchange of experiences, technical visits and workshops will maximize the exposure of producers to the most successful and innovative aspects of the project and will also facilitate the extension of project benefits.

194. The project will closely work with the GCF Project “Priming Financial and Land-Use Planning Instruments to Reduce Emissions from Deforestation” to ensure the latter project uptakes the lessons learned, methodologies, programs and training materials thus facilitating upscaling of project results and generating impact at CTEA level and even nationally, given its national scope.

195. Collaboration and sharing of experiences with government, private sector and NGOs through knowledge management networks will facilitate widespread dissemination of project efforts. Systematization of experiences and lessons learned will serve to promote the replication of project results to the rest of the CTEA. Lessons will be of use not only for Ecuador but also for other Amazonian countries. The UNDP CO will share information on project lessons learned through online communities of practice such as the SDSN Amazon, the UNDP-Yammer and UNDP-Exposure platforms, UNDP corporate webpages at national, regional and global levels as well as government platforms, especially the MAE webpage and newsletters. This will help ensure access to this information by the wider stakeholder community, including other countries with similar ecosystems and problems.



## VI. PROJECT RESULTS FRAMEWORK

<p><b>This project will contribute to the following Sustainable Development Goal (s):</b> Goal 15: Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss</p>
<p><b>This project will contribute to the following country outcome included in the UNDAF/Country Programme Document:</b> Outcome 4: By 2018, support has been provided to strengthening institutional and citizen capacities to promote the rights of nature, create conditions for a sustainable development, and improve the resilience and risk management facing the impacts of climate change and natural and man-made disasters. Outcome 5: By 2018, support has been provided to strengthening institutional and citizen capacities for socioeconomic inclusion of priority groups and promotion of sustainable and equitable livelihoods, in line with the change in the productive matrix and the popular and solidarity economy.</p>
<p><b>This project will be linked to the following output of the UNDP Strategic Plan:</b> Output 1.3: Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste</p>

	Objective and Outcome Indicators	Baseline	Mid-term Target	End of Project Target	Assumptions
<p><b>Project Objective:</b> Catalyze the transformation of land use planning and management in the Ecuadorian Amazon (CTEA) by building a governance and sustainable production framework based on a landscape approach and optimizing ecosystem services and livelihoods</p>	<p>Surface area in hectares of MUL and HCVF outside of protected areas that maintain the supply of ecosystem services (including conservation of biodiversity, soils, water resources and carbon sequestration) through a strengthened multi-level governance framework and capacities based on landscape approach, as evidenced by:</p> <p>a) Number of hectares covered through direct project intervention in the 3 priority landscapes<sup>49</sup> b) Number of hectares that can be potentially covered through indirect effect of project intervention (replication)<sup>50</sup> c) Number of hectares of the CTEA in the long term<sup>51</sup></p>	0		<p>a) 1,859,600</p> <ul style="list-style-type: none"> <li>• Northern Amazon: 765,670.</li> <li>• Central Amazon: 615,914</li> <li>• Southern Amazon: 478,016</li> </ul> <p>b) 3,328,813</p> <p>c) 6,470,386 (in the long term)</p>	<p>Political will of institutions to enforce the regulatory frameworks, monitor compliance, allocate resources and incentives to mainstream landscape approach and promote sustainable production and conservation.</p> <p>Stakeholders willingly engage in complying with the regulations, adopting best practices and participating in sustainable and deforestation free supply chains.</p> <p>International markets favor sustainable production</p>
	<p>Reduced direct pressure of productive sectors on forests, evidenced by the change in forest and ecosystem fragmentation patterns and landscape structure (measured by annual change in border length between intervened areas and remaining vegetation within a reference period, as per MAE methodology<sup>52</sup>),</p>	Baseline and targets to be defined in year 1		10% reduction in historical deforestation rate for the 3 landscapes. Target for annual change in border length between intervened areas and	<p>Institutions undertake adequate monitoring of changes in coverage and land use as per the regulatory framework</p> <p>Producers actively engage in trainings, complying with</p>

<sup>49</sup> Surface area of the selected cantons (Orellana and Shushufindi in Northern Amazon, Taisha in Central Amazon, and Morona and Nangaritza in Southern Amazon) less the surface area of protected areas and urban areas/infrastructure.

<sup>50</sup> Surface area of the provinces of Orellana, Sucumbíos, Morona Santiago and Zamora-Chinchiipe where the target landscapes are located minus the surface area of the target landscapes

<sup>51</sup> Surface area of MUL/HCVF (outside of protected areas) of the CTEA minus the surface area of b)

<sup>52</sup> Methodology is based on measurements of deforestation maps 1990-2000 and 2010-2014, land use and coverage map 2014, ecosystem fragmentation map 2015. Methodology is explained in MAE's document "MAE-UIA/SUIA, CONDESAN, GIZ, PNUD, UASB. Marco conceptual y propuesta de indicadores nacionales de biodiversidad. 2015.

	Objective and Outcome Indicators	Baseline	Mid-term Target	End of Project Target	Assumptions
	which improves conservation of threatened species <sup>53</sup>			remaining vegetation to be defined in year1	regulations, implementing best practices and participating in sustainable supply chains
	Tons of avoided emissions of CO <sub>2</sub> e attained through protection and sustainable management of forests <sup>54</sup> : a) Direct lifetime b) Indirect lifetime	0		a) 257,566.69 tCO <sub>2</sub> e (In Morona y Zamora over 6 years) b) 8,749,801.14 tCO <sub>2</sub> e (In CTEA over 20 years)	Institutions, producers and communities get involved and participate investing in measures for protection and sustainable management of forests to avoid CO <sub>2</sub> emissions.
	Level of improvement of family incomes derived from land uses in line with LUDPs, measured by the increase in: a) Percentage of family income from diversified agricultural production with agroforestry production systems b) Percentage of family income from wood and non-wood products c) Percentage of family income from Socio-Bosque incentives d) Percentage of women's incomes from non-wood products e) Percentage of producers from indigenous nationalities located in protective forests from non-wood products	a) 2,957 USD/yr b) 132 USD/yr (0,2 - 0,3% of total family income) c) 1,432 USD/yr d) Tbd in year 1 through surveys disaggregated by age, sex and ethnic group e) Tbd in year 1 through surveys		a) 10% b) 10% c) 10% d) 20% e) 20%	Local communities of the target landscapes, especially women and indigenous nationalities diversify their income sources with wood and non-wood products, and agroforestry production systems to increase incomes and improve livelihoods
	Number of new partnership mechanisms with funding for sustainable management solutions of natural resources, ecosystem services, chemicals and waste at national and/or sub-national level.	0	6 (1 Platform for Territorial Articulation with Multiple Use Landscape (MUL) and High Conservation Value Forests (HCVF) approach; 4 Regional Platforms for Sustainable Supply Chains of coffee, cacao, livestock and palm oil; 1 Roundtable for Wood, Non-wood and	6 (The 5 platforms and 1 roundtable established at mid-term) functioning with action plans and budgets, with at least 40% membership of either sex and 60% membership from indigenous nationalities	Political will to develop partnership mechanisms in association with different sectors and allocation of financial, technical and administrative resources for sustainability of results.

<sup>53</sup> In line with SDG target 15.2 indicator 15.2.2 net permanent forest loss

<sup>54</sup> CO<sub>2</sub> emissions calculations are based on the volume of wood harvested (based on permits issued by MAE) in the provinces of Morona Santiago and Zamora Chinchipe (project intervention areas for SFM) over 6 years (direct lifetime emissions) and in the six Amazon provinces over 20 years (indirect lifetime emissions). See SFM Tracking Tool for detailed explanation on calculation of direct and indirect lifetime emissions (CO<sub>2</sub> Calculation Sheet)

	Objective and Outcome Indicators	Baseline	Mid-term Target	End of Project Target	Assumptions
			Biodiversity Products) established with at least 40% membership of either sex and 60% membership from indigenous nationalities		
<b>Outcome 1</b> Strengthened multi-level governance framework for sustainable management and production in multiple use landscapes (MUL) and high value conservation forests (HCVF) in the Special Amazonian Territorial Circumscription (CTEA)	Improved institutional capacities of 7 institutions for effective sustainable planning and management in MUL in a coordinated and articulated manner, as measured by a % of increase in the UNDP Capacity Scorecard (Score rating: 0: Inefficient; 1: Good; 2: Very Good; 3: Excellent).	MAE: 1 MAGAP: 2 GAD Orellana: 1 GAD Shushufindi: 1 GAD Taisha : 1 GAD Morona : 2 GAD Nangaritza: 1	MAE: 2 MAGAP: 2 GAD Orellana : 2 GAD Shushufindi : 1 GAD Taisha : 1 GAD Morona : 2 GAD Nangaritza: 1	MAE: 3 MAGAP: 3 GAD Orellana : 3 GAD Shushufindi: 2 GAD Taisha : 2 GAD Morona : 3 GAD Nangaritza: 2	The institutions recognize the need to improve institutional processes, collaboration and cooperation to better fulfill their mandates and incorporating management based on landscape approach and environmental sustainability, and implement the proposed improvements for the CTEA.
	Number of planning and land use planning instruments that mainstream landscape approach, HCVF, biodiversity and ecosystem services considerations, gender and intercultural approaches in 5 cantons of the target landscapes approved, socialized and implemented: a) Cantonal Land Use and Development Plans (LUDP) updated b) Parish LUDPs elaborated c) National level regulations in support of sustainable production in MUL d) Local level ordinances that protect the natural resources (forests, water, biodiversity, wildlife) based on a landscape approach	a) 5 LUDPs not including environmental, gender and intercultural considerations b) 0 c) 0 d) 3	a) 5 updated, approved and socialized b) 5 elaborated, approved and socialized c) 2 MAE and MAGAP Inter-ministerial Agreements approved and socialized d) 8 Ordinances approved and socialized	a) 5 LUDPs implemented b) 5 LUDPs implemented c) 2 Inter-ministerial Agreements implemented d) 10 Ordinances implemented	Public and private institutions, CSOs recognize the need to improve land use planning, participate and mainstream management based on a landscape approach, environmental sustainability, gender and intercultural approaches, and implement these approaches
	Level of direct participation of women and members of indigenous nationalities in planning and management of MUL/HCFV in participatory structures that operate regularly and democratically: a) Percentage of women in Citizen Assemblies, Cantonal Planning Councils and Territorial Coordination Platform b) Percentage of members of indigenous nationalities in in Citizen Assemblies, Cantonal Planning Councils and Territorial Coordination Platform	Members are mostly men	a) At least 25% b) At least 40%	a) At least 40% b) At least 60%	Political will to incorporate key stakeholders, emphasizing in civil society, and improve their capacities to participate in land use planning based on a landscape approach, develop regulations, and monitor compliance of plans and regulations

	Objective and Outcome Indicators	Baseline	Mid-term Target	End of Project Target	Assumptions
	Level of agreement by the Territorial Coordination Platform on a multi-level participatory governance involving central, provincial, cantonal and parochial levels based on a landscape approach and HCVFs.	0	1 Territorial Priorities Document <sup>55</sup> based on a landscape approach and Action Plan with budget and financing sources agreed and approved	1 Platform Action Plan funded and implemented (>80% compliance of planned actions for articulation)	Institutions are willing to optimize inter-institutional and inter-sectorial coordination and collaboration mechanisms and undertake joint actions toward the sustainable development of the CTEA
<b>Outcome 2</b> Access to markets, credit and incentives for sustainable production of the main products in multiple use and high conservation value landscapes of the CTEA	Level of agreement by the Regional Platforms for Sustainable Supply Chains on sustainable production approaches for the CTEA, including deforestation free supply chains, certification standards, environment-friendly best practices, land use planning, based on a landscape approach.	0	5 Regional Action Plans for Sustainable Supply Chains (coffee, cacao, livestock, palm, forest products) with budget and financing sources agreed	5 Regional Action Plans for Sustainable Supply Chains (coffee, cacao, livestock, palm, forest products) implemented (>80% compliance of planned actions)	Key stakeholders committed and involved in the development and operation of the Regional Platforms for Sustainable Supply Chains
	Increase in the volume of products commercialized in the target landscapes that respond to sustainable production criteria, measured by: a) Volume of sales from Amazonian farms that incorporate environment-friendly best practices certified through the farm/agricultural production unit registry system b) Volume of products entering the national market that comply with best practice or ecological certifications, as evidenced by MAGAP statistics.	a) 2-3% of products from 3 target landscapes have organic certification. A minimum percentage is certified Fair Trade (in Taisha canton) b) Tbd in year 1	a) 10% b) 20%	a) 30% b) 30%	Government and producers and buyers of sustainable products are interested and work jointly promote sustainable products and certification schemes, and achieve differentiated prices
	Increase in volume of NTFP produced within the Socio-Bosque Program (PSB) that satisfies the demand identified by the Roundtable for Wood, Non-wood and Biodiversity Products, measure through: a) Percentage of increase in community and individual PSB investment plans that include NTFP production with management plans c) Volume of NTFP produced under management plans and commercialized in the national market (measured by MAE statistics)	a) PSB investment plans allocate 23% of funds to productive activities (agriculture, ecotourism, and community funds), 37% to health and education, 22% to conservation (zoning, signage, salaries of rangers, equipment, and training) and 18% to organizational strengthening. b) Tbd in year 1	a) 10% b) 10%	a) 25% b) 35%	Government and producers and buyers of sustainable products are interested and work jointly to promote mechanisms that favor sustainable production of NTFPs and commercialization.
	Degree to which financial institutions have mainstreamed environmental sustainability	a) 0 b) 0	a) 5 financial institutions review their	a) 5 financial institutions have	Financial institutions are interested and review their

<sup>55</sup> Based on the UNDP-ART methodology

	Objective and Outcome Indicators	Baseline	Mid-term Target	End of Project Target	Assumptions
	<p>criteria in their loan portfolios for the CTEA measured by:</p> <p>a) Number of financial institutions that mainstream environmental criteria in their portfolios of financial products for the CTEA</p> <p>b) Percentage of their loan portfolios that mainstream environmental criteria</p> <p>c) Number of personnel trained in sustainable financing and inter-cultural issues.</p>	c) 0	<p>loan portfolios and mainstream environmental criteria</p> <p>b) 10%</p> <p>c) 60</p>	<p>implemented new financial products with environmental criteria</p> <p>b) 25%</p> <p>c) 120</p>	<p>portfolios mainstreaming environmental sustainability criteria and developing credit lines and products to finance sustainable production, SFM, SLM best practices in the CTEA</p>
	<p>Number of hectares of HCVPs in community and indigenous lands (in protective forests and PSB conservation areas) conserved through incentives, as evidenced by:</p> <p>a) Hectares of protective forests with management plans that have mainstreamed ATPA integral farm management plans (for SLM)<sup>56</sup></p> <p>b) Hectares of PSB forests with investment plans that mainstream SFM and SLM</p>	<p>a) 0</p> <p>b) 0</p>		<p>a) 376,460 (North: 56,122 has Center: 41,085 has South: 279,253 has)</p> <p>b) 55,783 (North: 51,442 has; Center: 1,693 has; Sur: 2,648 has)</p>	<p>Key stakeholders in protective forests and community and indigenous lands benefited by PSB incentive are interested in improving the use of incentives for SFM and SLM practices that secure the supply of ecosystem services.</p>
<b>Outcome 3</b>	<p>Surface area of three target landscapes covered by environment-friendly best practices following best practice manuals and guidelines, based on landscape, gender and inter-cultural approaches that contribute to establishing deforestation free supply chains<sup>57</sup> <sup>58</sup>:</p> <p>a) Number of hectares of coffee and cacao in Northern Amazon with soil management, integrated pest management, best management of agro-chemicals, among others</p> <p>b) Number of hectares of oil palm in Northern Amazon under certification schemes</p> <p>c) Number of hectares covered by management plans for 4 NTFP species in Central Amazon</p>	<p>a) 0</p> <p>b) 0</p> <p>c) 0</p> <p>d) 0</p> <p>e) 0</p>	<p>a) 2,115</p> <p>b) 4,178</p> <p>c) 28,453</p> <p>d) 9,188</p> <p>Total: 43,934</p>	<p>a) 6,044</p> <p>b) 11,936</p> <p>c) 94,845</p> <p>d) 26,250</p> <p>e) 33,571</p> <p>Total: 172,646</p>	<p>Public and private institutions mainstream sustainable production practices and are committed to transferring knowledge and technologies to producers through technical assistance, incentives and loans</p> <p>Producers are committed to adoption of best practices for sustainable production of coffee, cacao, oil palm, livestock, SFM, NTFP, restoration of degraded areas, and conservation of forests and ecosystem services</p>

<sup>56</sup> Protective forest is category under MAE's responsibility. Even though there are productive activities allowed and undertaken in this category, MAGAP in general does not intervene in these forests. Within the framework of the Project, MAE and MAGAP/ATPA will coordinate so that the communities and individuals living in the forest receive assistance to prepare integral farm management plans. These plans are tools for landscape planning at farm level and the basis for delivery of incentives and technical assistance. They will serve to introduce the project's proposed sustainable productive practices in protective forests and promote biological corridors in areas where farms are located inside the forest and/or their buffer zones.

<sup>57</sup> In line with SDG Goal 2, indicator 2.4.1 area under agricultural sustainable practices

<sup>58</sup> Surface areas correspond to 30% of areas of coffee, cocoa and palm in Northern landscape, livestock in Southern landscape. Based on consultancy reports: Idrovo, Jorge. Consultoría en Mercados e Incentivos para Producción Sostenible para la Amazonía Ecuatoriana. 2016; Segarra, Pool. Consultoría para apoyo a la definición de tres paisajes piloto en el marco del proyecto "Manejo integrado de paisajes de uso múltiple y de alto valor de conservación para el desarrollo sostenible de la Región Amazónica Ecuatoriana".

	Objective and Outcome Indicators	Baseline	Mid-term Target	End of Project Target	Assumptions
	d) Number of hectares under livestock production in Southern Amazon with soil recovery practices, incorporation of native forest and fruit trees, live fences, and pasture management, among others. e) Number of hectares of HCVPs conserved through conservation agreements with small, medium and large producers				
	Degree of adoption of agrosilvopastoral systems in the 3 target landscapes that enhance landscape connectivity and structure, measured through the average Euclidian distance to the nearest natural vegetation patch weighted by area of the patches, as evidenced by: a) Increase in the number of hectares under agrosilvopastoral systems in process of being established in pasture lands or already deforested lands b) Increase in the number of hectares incorporating live fences with native tree species in livestock areas	a) ATPA expects to intervene 30% of the area occupied by pastures between 2015-2018 in 5 provinces (247,736 has)  b) Tbd in year 1	a) 10%  b) 10%	a) 30%  b) 35%	Producers are committed to adoption of best practices for sustainable production of coffee, cacao, oil palm, livestock, SFM, NTFP, restoration of degraded areas, and conservation of forests and ecosystem services
	Level of reduction of land degradation in the three target landscapes evidenced through the change in ecosystem function in areas under restoration with native species, measured through GAD restoration reports that include: i) georeferencing of areas identified for restoration; ii) number of hectares to be restored; iii) identification of landholders; iv) Schedule of restoration activities; v) technical information on maintenance and management of the area under restoration (survival and replacement rates) <sup>59</sup>	46,650 has of degraded lands <sup>60</sup> in 3 target landscapes based on land coverage map and land use capacity map	20%	40%	Land degradation in the three target landscapes is reduced through SLM practices with the active engagement of the local population
	Degree of improvement in sustainable forest and biodiversity management of the Kutuku Shaimi Protective Forest <sup>61</sup> , measured through: a) Increase in management effectiveness score for Protective Forests measuring: management and planning; monitoring and surveillance; environmental communication, education and	a) 0 b) 193,737 has of Kutuku Shaimi located in the Central and Southern target landscapes but not managed with SFM	a) Management effectiveness tool developed with baseline and targets and piloted with the Kutuku Shaimi Mancommunities b) 15% (29,060 has) c) 10%	a) Management effectiveness tool implemented. Increase in management effectiveness score. b) 35% (67,808 has) c) 35% d) 35%	Communities living in protective forests are committed to conservation and sustainable management of their forests and biodiversity  Institutions undertake adequate monitoring and enforcement of

<sup>59</sup> In line with SDG target 15.3, indicator 15.3.1 Percentage of land that is degraded over total land area.

<sup>60</sup> Land degradation understood as reduction or loss of biological or economic productivity and the complexity of agricultural rainfed lands, agricultural irrigated lands, grasslands, forests and woodlands, produced in arid, semi-arid or dry sub-humid areas due to land uses or a process or combination of processes, including human activities and population trends, such as: soil erosion due to wind or water, degradation of physical, chemical and biological properties or economic properties of soils, and longlasting loss of natural vegetation (MAE Regulation AM 045/April 2014 on desertification, land degradation and drought)

<sup>61</sup> In line with SDG target 15.2, indicator 15.2.1 forest cover under sustainable forest management

	Objective and Outcome Indicators	Baseline	Mid-term Target	End of Project Target	Assumptions
	<p>participation; biodiversity management; public use and tourism.</p> <p>b) Number of hectares of protective forests managed under SFM and biodiversity criteria established in management plans</p> <p>c) Percentage of increase in the number of forest harvesting permits authorized by MAE on the basis of special management plans</p> <p>d) Percentage of increase in the number of Integral Forest Management Plans authorized by MAE</p>	<p>and biodiversity criteria</p> <p>c) 0</p> <p>d) 0</p>	d) 10%		management plans and the forest regulatory framework
	Number of small, medium and large producers (including women and members of indigenous nationalities) that have improved their knowledge, attitude and practices for implementation of best practices to conserve biodiversity, reduce soil degradation and plan land use in the MUL of the three target landscapes (measured through surveys and including disaggregation by sex) <sup>62</sup>	5,164 (baseline survey to determine level of knowledge, attitude and practices to be developed in year 1)	1,807 (at least 20% women and youths and 50% members of indigenous nationalities) have improved knowledge, attitude and practices with respect to baseline	5,164 (at least 30% women and youths and 50% members of indigenous nationalities) have improved knowledge, attitude and practices with respect to baseline	Producers are aware of the need to adopt sustainable and environment-friendly best practices and their advantages to help improve production, productivity, livelihoods and climate change adaptation, participate in capacity building and adopt best practices
<b>Outcome 4</b> Dissemination of lessons learned, monitoring & evaluation	Level of project implementation and achievement of results (percentage of budgetary execution)		35%	100%	Project partners have the political will to make progress toward a sustainable city, assume project ownership and ensure sustainability of results.
	Mid-term review report and final evaluation report		1 (MTR)	1 (Final evaluation)	Findings from the MTR will be used to revise the project's progress and to establish the corrective measures to achieve project objectives.
	Number of publications on best practices and lessons learned (at least 1 on gender)		5 (1 report on lessons learned on MUL integrated management; 1 report on Regional Platforms case studies; 1 report on Methodologies for Articulation of the Amazon Territory; 1 report with education communication materials; 1 report on	4 (1 report systematizing project lessons learned; 1 report on lessons learned by Regional Platforms; 1 report containing case studies on sustainable production practices with gender and inter-cultural approach; 1 report best practice manuals and guidelines	Project partners are open about project challenges and successes, as well as lessons-learned so these can be captured, published and disseminated at national and international level.

<sup>62</sup> Number of producers estimated for the target surface areas for coffee, cocoa, oil palm and livestock production. Based on consultancy reports: Idrovo, Jorge. Consultoría en Mercados e Incentivos para Producción Sostenible para la Amazonía Ecuatoriana. 2016; Segarra, Pool. Consultoría para apoyo a la definición de tres paisajes piloto en el marco del proyecto “Manejo integrado de paisajes de uso múltiple y de alto valor de conservación para el desarrollo sostenible de la Región Amazónica Ecuatoriana”.

	<b>Objective and Outcome Indicators</b>	<b>Baseline</b>	<b>Mid-term Target</b>	<b>End of Project Target</b>	<b>Assumptions</b>
			gender and inter-cultural mainstreaming in sustainable production)		



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## VII. MONITORING AND EVALUATION (M&E) PLAN

196. The project results as outlined in the project results framework will be monitored annually and evaluated periodically during project implementation to ensure the project effectively achieves these results. Supported by Project Component 5 “*Dissemination of lessons learned, monitoring & evaluation*” the project monitoring and evaluation plan will also facilitate learning and ensure knowledge is shared and widely disseminated to support the scaling up and replication of project results.

197. Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the [UNDP POPP](#) and [UNDP Evaluation Policy](#). While these UNDP requirements are not outlined in this project document, the UNDP Country Office will ensure UNDP M&E requirements are met in a timely fashion and to high quality standards. Additional mandatory GEF-specific M&E requirements (as outlined below) will be undertaken in accordance with the [GEF M&E policy](#) and other relevant GEF policies.

198. In addition to these mandatory UNDP and GEF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Report. This will include the exact role of project target groups and other stakeholders in project M&E activities including the GEF Operational Focal Point and national/regional institutes assigned to undertake project monitoring. The GEF Operational Focal Point will strive to ensure consistency in the approach taken to the GEF-specific M&E requirements (notably the GEF Tracking Tools) across all GEF-financed projects in the country.

### **M&E Oversight and monitoring responsibilities:**

199. Project Coordinator: The Project Coordinator is responsible for day-to-day project management and regular monitoring of project results and risks, including social and environmental risks. The Project Coordinator will ensure that all project staff maintain a high level of transparency, responsibility and accountability in M&E and reporting of project results. The Project Coordinator will inform the Project Board, the UNDP Country Office and the UNDP-GEF RTA of any delays or difficulties as they arise during implementation so that appropriate support and corrective measures can be adopted.

200. The Project Coordinator will develop annual work plans based on the multi-year work plan included in Annex A, including annual output targets to support the efficient implementation of the project. The Project Coordinator will ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality. This includes, but is not limited to, ensuring the results framework indicators are monitored annually in time for evidence-based reporting in the GEF PIR, and that the monitoring of risks and the various plans/strategies developed to support project implementation (e.g. gender strategy, Dissemination of lessons learned strategy, etc.) occur on a regular basis.

201. Project Board: The Project Board will take corrective action as needed to ensure the project achieves the desired results. The Project Board will hold project reviews to assess the performance of the project and appraise the Annual Work Plan for the following year. In the project’s final year, the Project Board will hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to highlight project results and lessons learned with relevant audiences. This final review meeting will also discuss the findings outlined in the project terminal evaluation report and the management response.

202. Project Implementing Partner: The Implementing Partner is responsible for providing any and all required information and data necessary for timely, comprehensive and evidence-based project reporting,

including results and financial data, as necessary and appropriate. The Implementing Partner will strive to ensure project-level M&E is undertaken by national institutes, and is aligned with national systems so that the data used by and generated by the project supports national systems.

203. UNDP Country Office: The UNDP Country Office will support the Project Coordinator as needed, including through annual supervision missions. The annual supervision missions will take place according to the schedule outlined in the annual work plan. Supervision mission reports will be circulated to the project team and Project Board within one month of the mission. The UNDP Country Office will initiate and organize key GEF M&E activities including the annual GEF PIR, the independent mid-term review and the independent terminal evaluation. The UNDP Country Office will also ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality.

204. The UNDP Country Office is responsible for complying with all UNDP project-level M&E requirements as outlined in the [UNDP POPP](#). This includes ensuring the UNDP Quality Assurance Assessment during implementation is undertaken annually; that annual targets at the output level are developed, and monitored and reported using UNDP corporate systems; the regular updating of the ATLAS risk log; and, the updating of the UNDP gender marker on an annual basis based on gender mainstreaming progress reported in the GEF PIR and the UNDP ROAR. Any quality concerns flagged during these M&E activities (e.g. annual GEF PIR quality assessment ratings) must be addressed by the UNDP Country Office and the Project Coordinator.

205. The UNDP Country Office will retain all M&E records for this project for up to seven years after project financial closure in order to support ex-post evaluations undertaken by the UNDP Independent Evaluation Office (IEO) and/or the GEF Independent Evaluation Office (IEO).

206. UNDP-GEF Unit: Additional M&E and implementation quality assurance and troubleshooting support will be provided by the UNDP-GEF Regional Technical Advisor and the UNDP-GEF Directorate as needed.

207. **Audit**: The project will be audited according to UNDP Financial Regulations and Rules and applicable audit policies.<sup>63</sup>

#### **Additional GEF monitoring and reporting requirements:**

208. Inception Workshop and Report: A project inception workshop will be held within two months after the project document has been signed by all relevant parties to, amongst others:

- a) Re-orient project stakeholders to the project strategy and discuss any changes in the overall context that influence project implementation;
- b) Discuss the roles and responsibilities of the project team, including reporting and communication lines and conflict resolution mechanisms;
- c) Review the results framework and finalize the indicators, means of verification and monitoring plan;
- d) Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E; discuss the role of the GEF OFP in M&E;
- e) Update and review responsibilities for monitoring the various project plans and strategies, including the risk log; Environmental and Social Management Plan and other safeguard requirements; the gender strategy; the Dissemination of lessons learned strategy, and other relevant strategies;

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<sup>63</sup> See guidance here: <https://info.undp.org/global/popp/frm/pages/financial-management-and-execution-modalities.aspx>

- f) Review financial reporting procedures and mandatory requirements, and agree on the arrangements for the annual audit; and
- g) Plan and schedule Project Board meetings and finalize the first year annual work plan.

209. The Project Coordinator will prepare the inception report no later than one month after the inception workshop. The inception report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Board.

210. GEF Project Implementation Report (PIR): The Project Coordinator, the UNDP Country Office, and the UNDP-GEF Regional Technical Advisor will provide objective input to the annual GEF PIR covering the reporting period July (previous year) to June (current year) for each year of project implementation. The Project Coordinator will ensure that the indicators included in the project results framework are monitored annually in advance of the PIR submission deadline so that progress can be reported in the PIR. Any environmental and social risks and related management plans will be monitored regularly, and progress will be reported in the PIR.

211. The PIR submitted to the GEF will be shared with the Project Board. The UNDP Country Office will coordinate the input of the GEF Operational Focal Point and other stakeholders to the PIR as appropriate. The quality rating of the previous year's PIR will be used to inform the preparation of the subsequent PIR.

212. Lessons learned and knowledge generation: Results from the project will be disseminated within and beyond the project intervention area through existing information sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to the project. The project will identify, analyse and share lessons learned that might be beneficial to the design and implementation of similar projects and disseminate these lessons widely. There will be continuous information exchange between this project and other projects of similar focus in the same country, region and globally.

213. GEF Focal Area Tracking Tools: The following GEF Tracking Tool(s) will be used to monitor global environmental benefit results: The baseline/CEO Endorsement GEF Focal Area Tracking Tool(s) – submitted in Annex D to this project document – will be updated by the Project Coordinator /Team and shared with *the* mid-term review consultants and terminal evaluation consultants (not the evaluation consultants hired to undertake the MTR or the TE) before the required review/evaluation missions take place. The updated GEF Tracking Tool(s) will be submitted to the GEF along with the completed Mid-term Review report and Terminal Evaluation report.

214. Independent Mid-term Review (MTR): An independent mid-term review process will begin after the second PIR has been submitted to the GEF, and the MTR report will be submitted to the GEF in the same year as the 3<sup>rd</sup> PIR. The MTR findings and responses outlined in the management response will be incorporated as recommendations for enhanced implementation during the final half of the project's duration. The terms of reference, the review process and the MTR report will follow the standard templates and guidance prepared by the UNDP IEO for GEF-financed projects available on the [UNDP Evaluation Resource Center \(ERC\)](#). As noted in this guidance, the evaluation will be 'independent, impartial and rigorous'. The consultants that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. The GEF Operational Focal Point and other stakeholders will be involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the UNDP-GEF Directorate. The final MTR report will be available in English and will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and approved by the Project Board.

215. **Terminal Evaluation (TE):** An independent terminal evaluation (TE) will take place upon completion of all major project outputs and activities. The terminal evaluation process will begin three months before operational closure of the project allowing the evaluation mission to proceed while the project team is still in place, yet ensuring the project is close enough to completion for the evaluation team to reach conclusions on key aspects such as project sustainability. The Project Coordinator will remain on contract until the TE report and management response have been finalized. The terms of reference, the evaluation process and the final TE report will follow the standard templates and guidance prepared by the UNDP IEO for GEF-financed projects available on the [UNDP Evaluation Resource Center](#). As noted in this guidance, the evaluation will be ‘independent, impartial and rigorous’. The consultants that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. The GEF Operational Focal Point and other stakeholders will be involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the UNDP-GEF Directorate. The final TE report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Board. The TE report will be publically available in English on the UNDP ERC.

216. The UNDP Country Office will include the planned project terminal evaluation in the UNDP Country Office evaluation plan, and will upload the final terminal evaluation report in English and the corresponding management response to the UNDP Evaluation Resource Centre (ERC). Once uploaded to the ERC, the UNDP IEO will undertake a quality assessment and validate the findings and ratings in the TE report, and rate the quality of the TE report. The UNDP IEO assessment report will be sent to the GEF IEO along with the project terminal evaluation report.

217. **Final Report:** The project’s terminal PIR along with the terminal evaluation (TE) report and corresponding management response will serve as the final project report package. The final project report package shall be discussed with the Project Board during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

**Table 11. Mandatory GEF M&E Requirements and M&E Budget:**

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget <sup>64</sup> (US\$)		Time frame
		GEF grant	Co-financing	
Inception Workshop	UNDP Country Office	USD 32,568 <sup>65</sup>	USD 92,164	Within two months of project document signature
Inception Report	Project Coordinator	None	None	Within two weeks of inception workshop
Standard UNDP monitoring and reporting requirements as outlined in the UNDP POPP	UNDP Country Office	None	None	Quarterly, annually
Monitoring of indicators in project results framework	Project Coordinator	Per year: USD 41,058 (USD 246,348) <sup>66</sup>	USD 677,131	Annually

<sup>64</sup> Excluding project team staff time and UNDP staff time and travel expenses.

<sup>65</sup> Includes costs of 4 inception workshops: 1 in Quito and 3 in the target landscapes

<sup>66</sup> Includes part of Project Team time for collecting data and participatory workshops for monitoring

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget <sup>64</sup> (US\$)		Time frame
		GEF grant	Co-financing	
GEF Project Implementation Report (PIR)	Project Coordinator and UNDP Country Office and UNDP-GEF team	None	None	Annually
NIM Audit as per UNDP audit policies	UNDP Country Office	Per year: USD 5,428 (USD 32,568)	USD 92,163	Annually or other frequency as per UNDP Audit policies
Lessons learned and knowledge generation	Project Coordinator	None	None	Annually
Monitoring of environmental and social risks, and corresponding management plans as relevant	Project Coordinator UNDP CO	None	None	On-going
Addressing environmental and social grievances	Project Coordinator UNDP Country Office BPPS as needed	None for time of project coordinator, and UNDP CO	None	
Project Board meetings and annual planning workshops	Project Board UNDP Country Office Project Coordinator	Per year: USD 4,342.5 (USD 26,055)	USD 73,732	At minimum annually
Supervision missions	UNDP Country Office	None <sup>67</sup>	USD 20,000	Annually
Oversight missions	UNDP-GEF team	None <sup>67</sup>	USD 20,000	Troubleshooting as needed
Knowledge management as outlined in Outcome 4	Project Coordinator	USD 119,417	USD 397,934	On-going
GEF Secretariat learning missions/site visits	UNDP Country Office and Project Coordinator and UNDP-GEF team	None		To be determined.
Mid-term GEF Tracking Tool	Project Coordinator, with consultant support and in coordination with relevant institutions (MAE, MAGAP, others)	USD 3,114	USD 8,812	Before mid-term review mission takes place.
Independent Mid-term Review (MTR) and management response	UNDP Country Office and Project team and UNDP-GEF team (International and	USD 48,852 <sup>68</sup>	USD 128,245	Between 2 <sup>nd</sup> and 3 <sup>rd</sup> PIR.

<sup>67</sup> The costs of UNDP Country Office and UNDP-GEF Unit's participation and time are charged to the GEF Agency Fee.

<sup>68</sup> Includes costs of international and national consultants

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget <sup>64</sup> (US\$)		Time frame
		GEF grant	Co-financing	
	national consultants)			
Terminal GEF Tracking Tool	Project Coordinator, with consultant support and in coordination with relevant institutions (MAE, MAGAP, others)	USD 3,114	USD 8,812	Before terminal evaluation mission takes place
Independent Terminal Evaluation (TE) included in UNDP evaluation plan, and management response	UNDP Country Office and Project team and UNDP-GEF team (International and national consultants)	USD 67,850 <sup>69</sup>	USD 182,006	At least three months before operational closure
Translation of MTR and TE reports into English	UNDP Country Office	USD 13,570	USD 38,401	
<b>TOTAL indicative COST</b> Excluding project team staff time, and UNDP staff and travel expenses		<b>USD 593,456</b>	<b>USD 1,679,400</b>	

<sup>69</sup> Includes costs of international and national consultants

## VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

218. Roles and responsibilities of the project’s governance mechanism: The project will be implemented over a period of 72 months following UNDP’s national implementation modality, according to the Standard Basic Assistance Agreement between UNDP and the Government of Ecuador, and the Country Programme, with UNDP as the GEF Implementing Agency.

219. The **Implementing Partner** for this project is the Ministry of Agriculture, Livestock, Aquaculture and Fisheries (MAGAP). The Implementing Partner is responsible and accountable for managing this project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of GEF resources.

220. MAGAP will coordinate with MAE as the main Responsible Party of the Project and will be responsible at the highest level for ensuring that project implementation follows the national policies and standards, and representing the project in the annual tripartite reviews. MAE as GEF Focal Point and Responsible Party for this Project will have, in line with its responsibilities, a key role in achieving Outcome 1 *Strengthened multi-level governance framework for sustainable management and production in MUL and HVCF in the CTEA* to ensure the unabated supply of ecosystem services (including conservation of biodiversity, soils, water resources and carbon sequestration) within a framework of improved institutional capacities for SFM and SLM in MULs. MAGAP, as the institution responsible for Ecuador’s productive policies will have a key role in achieving Outcome 2 *Access to markets, credit and incentives for sustainable production of the main products in multiple use and high conservation value landscapes of the CTEA* and Outcome 3 *Landscape level implementation of sustainable practices in commercial production and livelihoods systems, aligned with the conservation and restoration of HVCF*. Both Ministries will have key roles in achieving Outcome 4 *Dissemination of lessons learned, monitoring and evaluation*.

221. The following table includes the distribution of responsibilities between MAE and MAGAP in achieving the project’s outcomes and outputs.

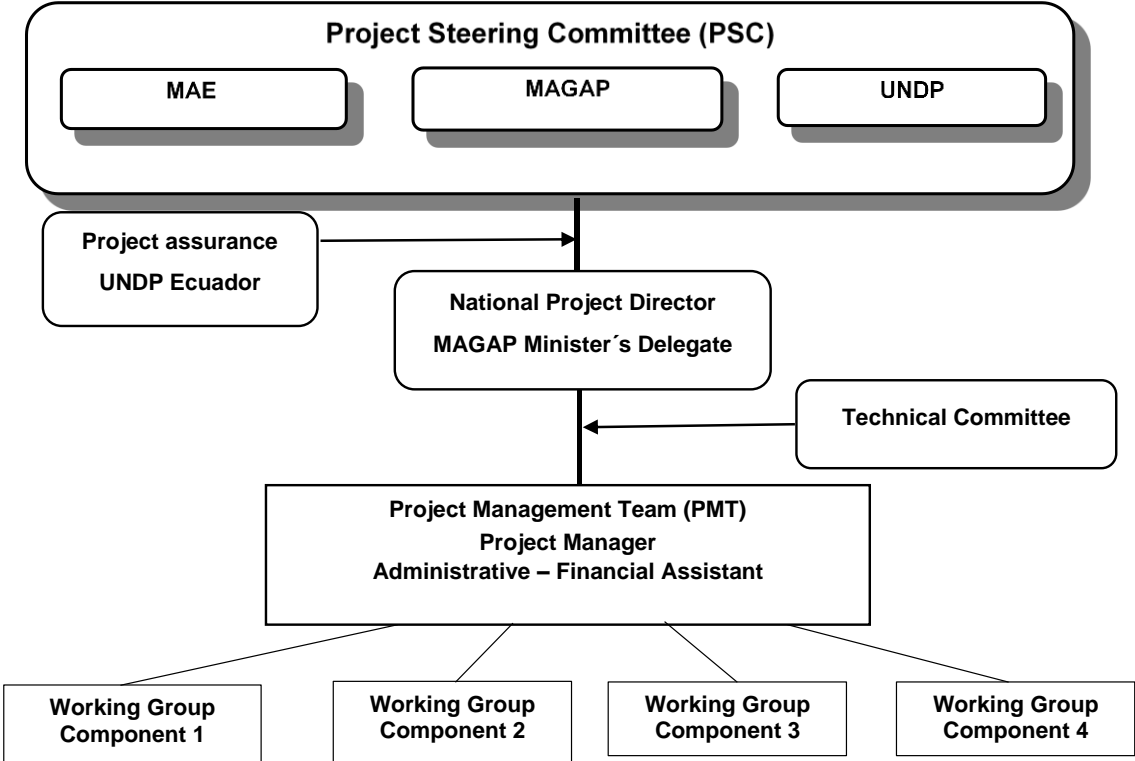
**Table 12: Division of outputs between MAE and MAGAP**

Outcomes/Outputs	MAE	MAGAP
<i>Outcome 1 Strengthened multi-level governance framework for sustainable management and production in MUL and HVCF in the CTEA</i>		
1.1 National multi-sectorial coordination and policy strengthened to support sustainable production in MULs	X	X
1.2 Decentralized institutional structures strengthened for management and surveillance of sustainable production in MULs	X	X
1.3 Land-use planning strengthened with multi-sectorial dialogue & decision-making mechanisms	X	X
1.4 Local surveillance and monitoring systems	X	X
1.5 Knowledge management program for sustainable production and landscape management	X	X
<i>Outcome 2 Access to markets, credit and incentives for sustainable production of the main products in multiple use and high conservation value landscapes of the CTEA</i>		
2.1 Regional Platforms for Sustainable Supply Chains of coffee, cocoa, oil palm and livestock in Northern and Southern Amazon for multi-stakeholder dialogue and consensus and connecting buyers of sustainable products with producers		X
2.2 Regional Action Plans for Sustainable Supply Chains coffee, cocoa, oil palm and livestock to access markets for deforestation free products		X
2.3 Market access for wood, non-wood and biodiversity products in Central and Southern Amazon	X	

<b>Outcomes/Outputs</b>	<b>MAE</b>	<b>MAGAP</b>
2.4 Incentives strengthened for SFM and SLM	X	X
2.5 Strengthened credit systems for deforestation free production in HCVFs		X
<i>Outcome 3 Landscape level implementation of sustainable practices in commercial production and livelihoods systems, aligned with the conservation and restoration of HVCF</i>		
3.1. Sustainable production and environment-friendly practices in coffee, cocoa and oil palm to improve connectivity in MUL and HCVFs, and complementary livelihood options in the Northern Amazon landscape		X
3.2 Sustainable use of biodiversity including NTFPs in the Central Amazon landscape, sustainable forest management in the Central Amazon portion of the Kutuku Shaimi Reserve and complementary livelihood options	X	
3.3 Sustainable livestock production and environment-friendly practices to improve connectivity and restore degraded lands in MUL and HCVFs in the Southern Amazon landscape, and sustainable forest and NTFP management in the Kutuku Shaimi Protective Forest (Southern Amazon portion)	X	X
3.4 Producers-support systems for upscaling at watershed level		X
<i>Outcome 4: Dissemination of lessons learned, monitoring &amp; evaluation</i>	X	X

222. The project organisation structure includes: 1) Project Board; 2) Quality Assurance; 3) Project National Director; 4) Project Management Unit; 5) Working Groups; 6) Project Technical Committee (see Figure 2 below).

**Figure 2. Project Organization Structure**





223. The **Project Board** (PB, also called Project Steering Committee) is the highest level of analysis and decision making in regards to programming and achievement of results; and is responsible for making management decisions by consensus when guidance is required by the Project Coordinator, including recommendations for UNDP and/or Implementing Partner approval of annual project plans, budgets and revisions. The PB will be established upon project inception. In its first meeting the Project Board will prepare and adopt detailed terms of reference for its functioning.

224. The Project Board is comprised of the following individuals: i) Delegate of the MAGAP Minister; ii) Delegate of the MAE Minister; and iii) Delegate of the UNDP Resident Representative. The PB will meet twice a year to review project progress and take project-related strategic and critical decisions. MAGAP as Implementing Partner will designate a National Project Director who will be responsible for approving and signing the bi-monthly plans prepared by the Technical Committee. The Project Coordinator will be selected by the Project Board through a competitive selection process and will be a member of the PB, without vote and will be assisted by the Administrative-Financial Assistant and the M&E Assistant to provide information as may be requested.

225. The PB will be responsible for making executive decisions for the project, in particular when guidance is required by the Project Coordinator. The Project Board will play a critical role in facilitating inter-ministerial coordination, project monitoring and evaluations by quality assuring these processes and products, and using evaluations for performance improvement, accountability and learning. It will ensure that required resources are committed and will arbitrate on any conflicts within the project or negotiate a solution to any problems with external bodies. In addition, it will approve the appointment and responsibilities of the Project Coordinator and any delegation of its Project Assurance responsibilities. Specifically, the PB will be responsible for: (i) approving the annual work plan and budget;(ii) achieving coordination among the various government agencies and key stakeholders; (iii) guiding project implementation to ensure alignment with national and local planning processes and sustainable resource use and conservation policies, plans and conservation strategies; (iv) ensuring the participation of key stakeholders in consensus building processes; (v) overseeing the work being carried out by the Project National Director, the Project Coordinator, the Project Technical Team and the institutional technical working groups; (vi) reviewing key reports (such as PIR); (vii) approve the Mid Term Review and Terminal Evaluation Report and follow up on the managerial responses, and (viii) monitoring progress and the effectiveness of project implementation.

226. The PB will be convened by the Project Coordinator in advance to give the members sufficient time to schedule the meeting and agree on the agenda. The Project Coordinator will prepare a minute of each meeting. Extraordinary meetings of the PB will be convened when deemed necessary and by request of one of its members. Representatives of other UNDP/GEF RCU offices may participate in PB meetings (without vote). When necessary the PB will invite key stakeholders to support specific themes.

227. In order to ensure UNDP's ultimate accountability for the project results, PB decisions will be made in accordance to standards that shall ensure management for development results, best value for money, fairness, integrity, transparency and effective international competition. In case consensus cannot be reached within the Board, the final decision shall rest with the UNDP. Preliminary terms of reference for the Project Board are contained in Annex E.

228. Project management: The **National Project Director (NPD)** will be appointed by MAGAP. The NPD will be responsible for orienting and advising the National Project Coordinator on Government policy and priorities. The NPD will be supported by the Technical Committee (see below) and will meet with the Technical Committee on a bi-monthly basis to review coherence of the intervention, including results, risks, planning and procurement processes on a bi-monthly basis. The NPD will sign and approve procurement of services and goods and will delegate to the Project Coordinator the approval and signature of specific

payment requests. The Combined Delivery Report (CDR) will be jointly approved through the Technical Committee in each bi-monthly meeting and signed by the NPD.

229. The **Project Management Unit (PMU)** will consist of a Project Coordinator and an Administrative-Financial Assistant. The Project Coordinator responds to the NPD and the PB. The Project Coordinator shall run the project on a day-to-day basis and his/her prime responsibility shall be to ensure that the project produces the results specified in the project document, to the required standards of quality and within the specified constraints of time and cost. The Project Coordinator will be a person with significant technical experience related to the scope of the project in addition to strong project management skills. S(he) will provide overall technical direction for delivery of key outcomes as part of the functions. In addition, S(he) will provide the managerial leadership for the project, working closely with institutions represented in the PB, the Technical Committee and Working Groups. S(he) will be recruited following UNDP procedures and the successful candidate's time will be partly dedicated to project management functions and partly to technical advice on project outcomes. S/he will be the main project contact person for external communications and will act as Secretary to the PB meetings, as well as other meetings between MAE, MAGAP and UNDP. Upon project inception s/he will prepare a Project Management and Operations Manual, including responsibilities, procedures and details for a smooth and effective implementation, which will be approved by the PB. The Administrative-Financial Assistant will report to the Project Coordinator and provide support in management and administration of the project as well as provide logistical support to technical components of the project. Terms of Reference are included in Annex E.

230. The PMU will be responsible for: (i) ensuring professional and timely implementation of the activities and delivery of the reports and other outputs identified in the project document; (ii) coordination and supervision of the activities outlined in the project document; (iii) undertaking necessary organizational arrangements for all project meetings; (iv) contracting of and contract administration for qualified local and international experts who meet the formal requirements of the UNDP/GEF; (v) manage and be responsible of all financial transactions to realize the targets envisioned in consultation with the Implementing Partner and the other members of the PB; (vi) ensuring that grants will be focused on small scale producers and indigenous groups and that they will be granted in accordance to UNDP Guidance on Micro-Capital Grants;(vi) establishing an effective networking between project stakeholders, specialized international organizations and the donor community; ensure networking among the key stakeholders; (vii) review and make recommendations for reports produced under the project; and (viii) establish and endorse the thematic areas, with a view to ensuring linkages to national policy goals, relevance, effectiveness and impartiality of the decision making process; (ix) bi-monthly follow-up of the Annual Work Plan with the NPD. Upon project inception, MAE, MAGAP, UNDP and the PMU will sign formal agreements establishing rights and obligations with the purpose of ensuring a smooth implementation of project processes. In addition, the signatures required for legalizing project procedures, procurement actions and transactions will be agreed and approved.

231. The **Project Assurance** role will be provided by the UNDP Country Office, specifically by the Responsible for the Environment and Energy Unit. Additional quality assurance will be provided by the UNDP-GEF Regional Technical Advisor as needed and in accordance with the project cycle management services provided by the UNDP GEF unit.

232. As GEF implementing agency, UNDP is ultimately accountable and responsible for the delivery of results, subject also to their certification by MAGAP, as Implementing Partner. UNDP shall provide project cycle management services as defined by the GEF Council, that will include the following:

- 1) Providing financial and audit services to the project,
- 2) Overseeing financial expenditures against project budgets,

- 3) Ensuring that activities including procurement and financial services are carried out in strict compliance with UNDP/GEF procedures,
- 4) Ensuring that the reporting to GEF is undertaken in line with the GEF requirements and procedures,
- 5) Facilitate project learning, exchange and outreach within the GEF family,
- 6) Contract the project mid-term and final evaluations and trigger additional reviews and/or evaluations as necessary and in consultation with the project counterparts.

233. UNDP Direct Project Services as requested by Government: The UNDP, as International Agency for this project, will provide project management cycle services for the project as defined by the GEF Council. In addition, the Government of Ecuador may request UNDP direct services for specific projects, according to its policies and convenience. The UNDP and Government of Ecuador acknowledge and agree that those services are not mandatory, and will be provided only upon Government request. If requested the services would follow the UNDP policies on the recovery of direct costs. These services (and their costs) are specified in the Agreement (Annex I). As is determined by the GEF Council requirements, these service costs will be assigned as Project Management Cost, identified in the project budget.

234. Governance role for project target groups: The **Technical Committee** will be chaired by MAE and will be made up by the delegates of the technical areas of MAGAP and MAE designated by each Minister and the PMU and the project technical teams. MAE will appoint a chairman to the Technical Committee. The Project Coordinator and the PMU will act as Secretary to the Technical Committee. The Technical Committee will meet bi-monthly to review risk, priorities, compliance of social and environmental safeguards, prepare annual and multi-annual work plans and budgets, and the annual and bi-monthly procurement contracts. In general, it will undertake monitoring and evaluation of the annual and bi-monthly planning maintaining an integrated approach as a single project co-implemented by MAGAP as Implementing Partner and MAE as the main Responsible Party.

235. Four **Working Groups** will be established under the supervision of the Technical Committee with the purpose of monitoring and providing feedback to each project outcome. The Working Groups will be made up by delegates from MAGAP and MAE designated by each Minister, as well as the technical teams hired by the project and suggested by the Technical Committee in accordance with the activities foreseen under each project outcome. The Working Groups will be convened by the Project Coordinator at the request of the Technical Committee. The Project Coordinator will delegate to his team members the elaboration of minutes of each meeting and documentation of the recommendations for implementing each outcome. Extraordinary meetings may be convened as per request of the representative of each group, when necessary. The table below includes the composition of the Working Groups.

**Table 13.** Composition of the Working Groups

<b>Working Group/ Project Outcome</b>	<b>Participation institutions</b>
Outcome 1 Strengthened multi-level governance framework for sustainable management and production in MUL and HVCF in the CTEA	MAE, MAGAP, UNDP, SENPLADES, AME, IKIAM, UEA, UTPL, NCI, WWF
Outcome 2 Access to markets, credit and incentives for sustainable production of the main products in multiple use and high conservation value landscapes of the CTEA	MAGAP, GAD MORONA, HIVOS, ECOCIENCIA, CAF, UNDP
Outcome 3 Landscape level implementation of sustainable practices in commercial production and livelihoods systems, aligned with the conservation and restoration of HVCF	MAGAP, HIVOS, KFW, ANCUPA, BANECUADOR, CAF, COMAFORS, CONGOPE, GAD ORELLANA, NCI, WWF
Outcome 4: Dissemination of lessons learned, monitoring & evaluation	MAE, MAGAP, UNDP, SENPLADES, IKIAM, UTPL

236. Additionally, MAGAP and MAE will ensure the integrated and coordinated implementation of the proposed GEF Project and the REDD+ GCF Project, respectively, through the established governance structures, aiming for integration and a coherent territorial intervention e.g. periodic meetings, joint elaboration of annual work plans, information sharing on progress, shared human resources, acquisitions, consultancies, results and M&E.

237. Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information: In order to accord proper acknowledgement to the GEF for providing grant funding, the GEF logo will appear together with the UNDP logo on all promotional and technical materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GEF will also accord proper acknowledgement to the GEF. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy<sup>70</sup> and the GEF policy on public involvement<sup>71</sup>.

238. Contribution of the Implementing Partner and the main Responsible Party: MAGAP will contribute through the active participation of their technical staff of the different under-secretariats and programs, in particular the Amazon Productive Transformation Agenda (ATPA). MAE will contribute with this initiative through the active participation of their technical staff particularly from the National Biodiversity Directorate.

239. Property of goods and equipment: Goods and equipment purchased as part of this Project will belong to the UNDP CO during the implementation phase, and will be transferred to national beneficiaries which in accordance to UNDP procedures and policies and subject to agreement with MAGAP as Implementing Partner. Only national organizations will be considered as beneficiaries.

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<sup>70</sup> See [http://www.undp.org/content/undp/en/home/operations/transparency/information\\_disclosurepolicy/](http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/)

<sup>71</sup> See [https://www.thegef.org/gef/policies\\_guidelines](https://www.thegef.org/gef/policies_guidelines)

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## **IX. FINANCIAL PLANNING AND MANAGEMENT**

240. The total cost of the project is USD 61,800,901. This is financed through a GEF grant of USD 12,462,550 and USD 49,338,351 in parallel co-financing. UNDP, as the GEF Implementing Agency, is responsible for the execution of the GEF resources and the cash co-financing transferred to UNDP bank account only.

241. Parallel co-financing: The actual realization of project co-financing will be monitored during the mid-term review and terminal evaluation process and will be reported to the GEF. The planned parallel co-financing will be used as follows:

**Table 14. Parallel Co-financing**

Co-financing source	Co-financing type	Co-financing amount USD	Planned Activities/Outputs	Risks	Risk Mitigation Measures
National government MAE	Grants	4,212,558	Support to producers for upscaling at watershed level of sustainable productive practices, of commercial products and sustainable livelihoods in line with HCVF conservation and restoration	Medium Risk. Dependent on annual budgeting and effective allocation of funds to the institution.	The UNDP CO will monitor the co-financing contributions to the project.
	In-kind	9,645,103	Support to the governance framework. Socio-Bosque Program monetary and non-monetary incentives. Replication of successful experiences and lessons. Project monitoring and evaluation. Operational expenses of Under-secretariats and Provincial Directorates.	Medium Risk. Dependent on annual budgeting and effective allocation of funds to the institution.	The UNDP CO will monitor the co-financing contributions to the project.
National government MAGAP	Grants	18,310,121	Support to development of governance framework; platforms for sustainable supply chains and market development; support to producers for uptaking of sustainable productive practices in coffee, cocoa, oil palm and livestock production.	Medium Risk. Dependent on annual budgeting and effective allocation of funds to the institution.	The UNDP CO will monitor the co-financing contributions to the project.
	In-kind	457,920	Operational expenses of MAGAP units in the region?	Medium Risk. Dependent on annual budgeting and effective allocation of funds to the institution.	The UNDP CO will monitor the co-financing contributions to the project.
National government INB	In-kind	1,100,000	Support to feasibility studies (NTFP and biodiversity products, NTFP related financial products); promotion of knowledge networks to document best practices; development of NTFP management plans; participation in the Roundtable for Wood, Non-wood and Biodiversity Products.	Medium Risk. Dependent on annual budgeting and effective allocation of funds to the institution.	The UNDP CO will monitor the co-financing contributions to the project.
Provincial government GAD Orellana	In-kind	527,800	Logistical support to project activities; project planning, coordination and M&E; support to updating of LUPDs; participation in multi-stakeholder platforms; technical assistance to producers.	Medium Risk. Dependent on annual budgeting and effective allocation of funds to the institution.	The UNDP CO will monitor the co-financing contributions to the project.
Provincial government GAD Morona	In-kind	93,938	Logistical support to project activities; project planning, coordination and M&E; support to updating of LUPDs; participation in multi-stakeholder platforms; technical assistance to producers.	Medium Risk. Dependent on annual budgeting and effective allocation of funds to the institution.	The UNDP CO will monitor the co-financing contributions to the project.
Private Sector ANCUPA	In-kind	336,008	Cost of technical staff for training and technical assistance to oil palm best practices; participation in multi-stakeholder platforms; development of best practice guidelines; training programs, dissemination of information	Medium Risk. Variability of international prices may affect producers' incomes and may influence the decision to advance toward certification and to continue participating in the project	The UNDP CO will monitor the co-financing contributions to the project.

Co-financing source	Co-financing type	Co-financing amount USD	Planned Activities/Outputs	Risks	Risk Mitigation Measures	
Private Sector	COMAFORS	In-kind	150,000	Support to SFM; development of regulations and training programs on SFM; socialization of regulations; NTFP feasibility studies; SFM management plans; NTFP roundtable.	Low Risk	The UNDP CO will monitor the co-financing contributions to the project.
Private Sector	VERDE CANANDE	Grants	500,000	Incentives and purchase of inputs for SFM	Low Risk	The UNDP CO will monitor the co-financing contributions to the project.
		In-kind	1,000,000	Technical support and training to communities for SFM; participation in multi-stakeholder platforms; development of best practice guidelines; training programs, dissemination of information.	Medium Risk	The UNDP CO will monitor the co-financing contributions to the project.
Academia	IKIAM	In-kind	1,286,917	Support to multi-stakeholder platforms for coordination and supply chains; knowledge networks to document best practices; feasibility studies; design and implementation of training programs	Medium Risk. Dependent on annual budgeting and effective allocation of funds to the institution.	The UNDP CO will monitor the co-financing contributions to the project.
Academia	UEA	Grants	2,111,258	Support to multi-stakeholder platforms for coordination and supply chains; knowledge networks to document best practices; feasibility studies; design and implementation of training programs	Medium Risk. Dependent on annual budgeting and effective allocation of funds to the institution.	The UNDP CO will monitor the co-financing contributions to the project.
Academia	UTPL	In-kind	1,055,629	Support to roundtables; local development agencies; local monitoring and surveillance program and early warning system; design and implementation of training programs	Low Risk.	The UNDP CO will monitor the co-financing contributions to the project.
CSO	WWF	In-kind	2,400,000	Support to local monitoring program and early warning system; updating of LUDPs; participation in multi-stakeholder platforms; exchange of experiences on sustainable production, SFM, biodiversity conservation.	Medium Risk. Depends on continuation of external funding	The UNDP CO will monitor the co-financing contributions to the project.
CSO	NCI	In-kind	500,000	Support to information node and knowledge networks; and promotion of sustainable productive practices in line with conservation and restoration of HCVMs.	Low Risk	The UNDP CO will monitor the co-financing contributions to the project.
CSO	CEFOVE	In-kind	100,000	Development of sustainable forest management standards.	Low Risk	The UNDP CO will monitor the co-financing contributions to the project.
CSO	OFIS	Grants	600,000	Support to updating of LUDPs; participation in multi-stakeholder platforms; exchange of experiences on sustainable production, SFM, biodiversity conservation.	Medium Risk. Depends on continuation of external funding	The UNDP CO will monitor the co-financing contributions to the project.

Co-financing source		Co-financing type	Co-financing amount USD	Planned Activities/Outputs	Risks	Risk Mitigation Measures
International Bank	KfW Development Bank	Grants	3,950,470	Support to strengthening of the National Forest Monitoring System	High Risk. Dependent on solution of the impasse between the Governments of Ecuador and Germany	The UNDP CO will monitor the co-financing contributions to the project.
GEF Agency	UNDP	Grants	400,629	Support to market access, credits and incentives for sustainable production.	Low Risk	
		In-kind	600,000	Support to market access, credits and incentives for sustainable production.	Low Risk	
		Total	<b>49,338,351</b>			



242. Budget Revision and Tolerance: As per UNDP requirements outlined in the UNDP POPP, the project board will agree on a budget tolerance level for each plan under the overall annual work plan allowing the project coordinator to expend up to the tolerance level beyond the approved project budget amount for the year without requiring a revision from the Project Board. Should the following deviations occur, the Project Coordinator and UNDP Country Office will seek the approval of the UNDP-GEF team as these are considered major amendments by the GEF:

- a) Budget re-allocations among components in the project with amounts involving 10% of the total project grant or more;
- b) Introduction of new budget items/or components that exceed 5% of original GEF allocation.

243. Any over expenditure incurred beyond the available GEF grant amount will be absorbed by non-GEF resources (e.g. UNDP TRAC or cash co-financing).

244. Refund to Donor: Should a refund of unspent funds to the GEF be necessary, this will be managed directly by the UNDP-GEF Unit in New York.

245. Project Closure: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP. On an exceptional basis only, a no-cost extension beyond the initial duration of the project will be sought from in-country UNDP colleagues and then the UNDP-GEF Executive Coordinator.

246. Operational completion: The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed. This includes the final clearance of the Terminal Evaluation Report (that will be available in English) and the corresponding management response, and the end-of-project review Project Board meeting. The Implementing Partner through a Project Board decision will notify the UNDP Country Office when operational closure has been completed. At this time, the relevant parties will have already agreed and confirmed in writing on the arrangements for the disposal of any equipment that is still the property of UNDP.

247. Financial completion: The project will be financially closed when the following conditions have been met:

- a) The project is operationally completed or has been cancelled;
- b) The Implementing Partner has reported all financial transactions to UNDP;
- c) UNDP has closed the accounts for the project;
- d) UNDP and the Implementing Partner have certified a final Combined Delivery Report (which serves as final budget revision).

248. The project will be financially completed within 12 months of operational closure or after the date of cancellation. Between operational and financial closure, the implementing partner will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to the UNDP-GEF Unit for confirmation before the project will be financially closed in Atlas by the UNDP Country Office.

## X. TOTAL BUDGET AND WORK PLAN

TOTAL BUDGET AND WORK PLAN			
Atlas Proposal or Award Id:	00085036	Atlas Primary Output Project ID:	00092806
Atlas Proposal or Award Title:	Sustainable Development of the Ecuadorian Amazon		
Atlas Business Unit	ECU10		
Atlas Primary Output Project Title	Sustainable Development of the Ecuadorian Amazon: integrated management of multiple use landscapes and high value conservation forests		
UNDP-GEF PIMS No.	5606		
Implementing Partner:	Ministry of Agriculture, Livestock, Aquaculture and Fisheries (MAGAP)		

GEF component/Atlas Activiy	Responsible Party/ Implementing Agent	Fund ID	Donor Name	Atlas Budget Acc, Code	Budget Account Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Amount Year 5 (USD)	Amount Year 6 (USD)	Total (USD)	Budget Note
1, Strengthened multi-level governance framework for sustainable management and production in multiple use landscapes (MUL) and high value conservation forests (HVCF) in the Special Amazonian Territorial Circumscription (CTEA)	MAE	62000	GEF	71300	Local Consultants	63,158						63,158	1
				71400	Contractual Services - Individ	171,965	171,965	171,965	171,965	171,965	171,965	1,031,790	2
				71600	Travel	30,000	30,000	47,762	25,000	25,000	25,000	182,762	3
				72100	Contractual Services- Companies	99,019	620,571	490,157	165,365	165,365	66,736	1,607,213	4
				72200	Equipment and Furniture	98,753						98,753	5
				72500	Supplies	2,461	11,886	8,520	7,224	8,347	11,758	50,196	6
				74500	Miscellaneous Expenses	8,004	8,004	8,004	8,004	8,003	8,003	48,022	7
				75700	Training, Workshops and Confer	140,455	65,910	50,910	35,910	35,910	25,455	354,550	8
					<b>TOTAL Outcome 1</b>	<b>613,815</b>	<b>908,336</b>	<b>777,318</b>	<b>413,468</b>	<b>414,590</b>	<b>308,917</b>	<b>3,436,444</b>	
2, Access to markets, credit and incentives for		62000	GEF	71200	International Consultants			64,160	34,920			99,080	9
				71300	Local Consultants		159,211						159,211

GEF component/Atlas Activity	Responsible Party/ Implementing Agent	Fund ID	Donor Name	Atlas Budget Acc, Code	Budget Account Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Amount Year 5 (USD)	Amount Year 6 (USD)	Total (USD)	Budget Note
sustainable production of the main products in multiple use and high conservation value landscapes of the CTEA	MAGAP			71400	Contractual Services - Individ	194,773	194,773	194,773	194,773	194,773	194,773	1,168,638	11
				71600	Travel	51,191	51,191	51,191	51,191	35,406	35,407	275,577	12
				72100	Contractual Services- Companies	161,074	141,900	155,150	45,000			503,124	13
				72200	Equipment and Furniture	98,753						98,753	14
				72500	Supplies	13,463	13,572	11,753	12,233	3,095	9,774	63,890	15
				72600	Grants		83,000	243,672	632,304			958,976	16
				74500	Miscellaneous Expenses	8,091	7,891	9,800	9,320	18,459	11,871	65,432	17
				75700	Training, Workshops and Confer	3,583	3,583	16,309	3,583	3,583	3,583	34,224	18
					<b>TOTAL Outcome 2</b>	<b>530,928</b>	<b>655,121</b>	<b>746,808</b>	<b>983,324</b>	<b>255,316</b>	<b>255,408</b>	<b>3,426,905</b>	
3, Landscape level implementation of sustainable practices in commercial production and livelihoods systems, aligned with the conservation and restoration of HVCF	MAGAP	62000	GEF	71300	Local Consultants		52,536					52,536	19
				71400	Contractual Services – Individ	139,619	139,619	139,619	139,619	139,619	139,619	837,714	20
				71600	Travel	53,669	53,669	53,669	53,669	53,669	53,668	322,013	21
				72100	Contractual Services- Companies	39,380	468,427	562,865	353,240	88,980	39,380	1,552,272	22
				72200	Equipment and Furniture	98,753						98,753	23
				72500	Supplies	8,602	3,477	10,009	9,286	3,859	1,424	36,657	24
				72600	Grants		302,500	413,097	125,000			840,597	25
				74500	Miscellaneous Expenses	15,511	20,636	14,104	14,827	20,254	22,690	108,022	26
				75700	Training, Workshops and Confer		60,962	146,644	146,644	209,477		563,727	27
					<b>TOTAL Outcome 3</b>	<b>355,534</b>	<b>1,101,826</b>	<b>1,340,007</b>	<b>842,285</b>	<b>515,858</b>	<b>256,781</b>	<b>4,412,291</b>	

GEF component/Atlas Activity	Responsible Party/ Implementing Agent	Fund ID	Donor Name	Atlas Budget Acc, Code	Budget Account Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Amount Year 5 (USD)	Amount Year 6 (USD)	Total (USD)	Budget Note
4, Dissemination of lessons learned, monitoring and evaluation	MAGAP	62000	GEF	71200	International Consultants				32,568		48,852	81,420	28
				71300	Local Consultants				16,284		18,998	35,282	29
				71400	Contractual Services – Individ	36,238	36,238	36,238	36,238	36,238	36,238	217,428	30
				72100	Contractual Services- Companies						68,600	68,600	31
				74100	Professional Services	6,188	6,188	6,188	12,376	6,188	15,470	52,598	32
				74200	Audio Visual&Print Prod Costs						57,931	57,931	33
				74500	Miscellaneous Expenses	1,199	1,387	663	1,387	1,199	663	6,498	34
				75700	Training, Workshops and Confer	38,467	5,899	5,899	8,767	5,899	8,768	73,699	35
					<b>TOTAL Outcome 4</b>	<b>82,092</b>	<b>49,712</b>	<b>48,988</b>	<b>107,620</b>	<b>49,524</b>	<b>255,520</b>	<b>593,456</b>	
Project Management Cost	MAGAP	62000	GEF	71400	Contractual Services – Individ	29,672	29,672	29,672	29,672	29,672	29,672	178,032	36
				71600	Travel	13,749	13,749	13,749	13,749	13,750	13,747	82,493	37
				72500	Supplies	1,205	1,311	2,124	636	1,544	841	7,661	38
				73300	Rental & Maint of Info Tech Eq	720	720	720	720	720	720	4,320	39
				74500	Miscellaneous Expenses	7,178	7,178	7,178	7,178	7,178	7,179	43,069	40
				74598	Direct Project Costs	42,152	63,618	45,842	42,703	40,507	43,057	277,879	41
					<b>TOTAL Project Management</b>	<b>94,676</b>	<b>116,248</b>	<b>99,285</b>	<b>94,658</b>	<b>93,371</b>	<b>95,216</b>	<b>593,454</b>	
					<b>TOTAL</b>	<b>1,677,045</b>	<b>2,831,243</b>	<b>3,012,406</b>	<b>2,441,355</b>	<b>1,328,659</b>	<b>1,171,842</b>	<b>12,462,550</b>	

**Summary of Funds:**

	Amount Year 1	Amount Year 2	Amount Year 3	Amount Year 4	Amount Year 5	Amount Year 6	Total
MAGAP	3,133,274	3,133,274	3,101,671	3,133,274	3,133,274	3,133,274	18,768,041
MAE	1,602,250	1,602,250	1,602,250	3,038,039	3,006,436	3,006,436	13,857,661
KfW	395,047	592,571	987,618	987,618	592,570	395,046	3,950,470
WWF		600,000	600,000	600,000	600,000		2,400,000
UEA	211,126	422,252	422,252	422,251	422,251	211,126	2,111,258
VERDE CANANDE		375,000	375,000	375,000	375,000		1,500,000
IKIAM	128,692	257,383	257,383	257,383	257,384	128,692	1,286,917
INB	156,305	156,305	156,305	156,305	416,813	57,967	1,100,000
UTPL	263,907	211,126	158,344	158,344	158,345	105,563	1,055,629
UNDP	150,094	150,094	150,094	150,095	150,095	250,157	1,000,629
OFIS		150,000	150,000	150,000	150,000		600,000
GAD ORELLANA	87,967	87,967	87,967	87,967	87,966	87,966	527,800
NCI	116,667	116,667	116,666	50,000	50,000	50,000	500,000
ANCUPA		112,003	112,003	112,002			336,008
COMAFORS			50,000	50,000	50,000		150,000
CEFOVE			33,333	33,333	33,334		100,000
GAD MORONA	15,656	15,656	15,656	15,656	15,657	15,657	93,938
<b>Total</b>	<b>6,260,985</b>	<b>7,982,548</b>	<b>8,376,542</b>	<b>9,777,267</b>	<b>9,499,125</b>	<b>7,441,884</b>	<b>49,338,351</b>

**Budget Notes:**

No.	Budget note
<b>Outcome 1: Strengthened multi-level governance framework for sustainable management and production in MUL and HVCF in the CTEA</b>	
1	Local Consultant to prepare baseline assessments of each target landscape as input for LUDPs and identifying technical assistance needs (Output 1.3) Note: All products incorporating gender and inter-cultural considerations and including analysis based on sex-disaggregated data.
2	Service contracts to support and facilitate inter-sectorial dialogue and coordination and developing integrated approaches to land use planning and project management for Outcome 1. Includes: part of Project Coordinator time devoted to provide advice to the participating institutions; legal specialist to support review of regulatory framework and development of new regulations; technical specialists to support development of LUDPs, territorial articulation, gender and inter-cultural mainstreaming This item includes Value Added Tax
3	Travel costs and perdiems for participants of training programs foreseen under Outcome 1. Travel costs for mobilization of project team in the intervention areas (car rental, air tickets and perdiems)
4	Contracts: <ul style="list-style-type: none"> <li>Updating of SFM regulations incorporating gender and inter-cultural issues (Output 1.1)</li> </ul>

No.	Budget note
	<ul style="list-style-type: none"> <li>• Updating and harmonization of Inter-ministerial agreements (Output 1.1)</li> <li>• Development of administrative procedures for SFM permits (Output 1.1)</li> <li>• Regulations for new SFM instruments (SFM and integral plans for multiple species) (Output 1.1)</li> <li>• Regulations for NTFP management (Output 1.1)</li> <li>• Review of the legal framework to incorporate environmental and sustainable production criteria (Output 1.1)</li> <li>• Establishment of the Territorial Coordination Platform (Output 1.2)</li> <li>• Development of a training program on landscape approach and MUL management (Output 1.2)</li> <li>• Establishment of Citizen Assemblies (Output 1.2)</li> <li>• Development of training program for Planning Councils (Output 1.2)</li> <li>• Establishment of 5 Local Development Agencies in municipal GADs of target landscapes (Output 1.2)</li> <li>• Targeted Scenario Analysis (Output 1.3)</li> <li>• Updating of 5 municipal LUDPs and 5 parish LUDPs (Output 1.3)</li> <li>• Development of a local monitoring and surveillance system (Output 1.4)</li> <li>• Development of a training program for local monitoring (Output 1.4)</li> <li>• Awareness raising and information dissemination to communities on the local monitoring system (Output 1.4)</li> <li>• Development of municipal ordinances to declare cantons as ecological/deforestation free territories (Output 1.4)</li> <li>• Development of knowledge networks for best practices and lessons learned in the CTEA (Output 1.5)</li> <li>• Articulation of land use information systems (Output 1.5)</li> <li>• Promotion of links between Ecuadorian networks and SDSN for exchange of experiences (Output 1.5)</li> <li>• Development of an edu-communication strategy and learning materials (Output 1.5)</li> </ul> <p>Note: All products incorporating gender and inter-cultural considerations and including analysis based on sex-disaggregated data. This item includes Value Added Tax</p>
5	Equipment and furniture to support implementation of project activities in the target landscapes. Includes partial costs of 2 4x4 vehicles, computer equipment and accessories, office furniture, communication equipment (GPS, radio, satellite phone), 2 boats for travelling to remote areas that cannot be reached by road, field survival kits.
6	Supplies: office and expendable supplies
7	Miscellaneous expenses to cover unforeseen costs under Outcome 1
8	<p>Training, workshops and conferences:</p> <ul style="list-style-type: none"> <li>• Training for Citizen Assemblies (Output 1.2)</li> <li>• Training, exchange of experiences and operation of Territorial Coordination Platform (Output 1.2)</li> <li>• Training for MAE, MAGAP, GADs and other stakeholders on landscape approach and MUL management (Output 1.2)</li> <li>• Training for GADs on GIS/forest monitoring systems (Output 1.2)</li> </ul> <p>Note: All products incorporating gender and inter-cultural considerations</p>
<b>Outcome 2: Access to markets, credit and incentives for sustainable production of the main products in multiple use and high conservation value landscapes of the CTEA</b>	
9	International consultants to support development of Regional Action plans for sustainable supply chains of coffee, cocoa, oil palm, livestock and forest products (Output 2.2)
10	<p>National consultants:</p> <ul style="list-style-type: none"> <li>• Study on demand and markets for deforestation free products (Output 2.2)</li> <li>• Studies on traceability models for coffee, cocoa, palm, livestock (Output 2.2)</li> <li>• Market study on potential for sustainable use of four NTFPs (Output 2.3)</li> <li>• Feasibility study for credit lines for small producers, women and youths, for adding value to NTFPs and alternative products (Output 2.5)</li> <li>• Review of lending portfolios of financial institutions to mainstream environmental criteria (Output 2.5)</li> </ul> <p>Note: All products incorporating gender and inter-cultural considerations and including analysis based on sex-disaggregated data.</p> <p>This item includes Value Added Tax</p>
11	Service contracts to support and facilitate multi-stakeholder dialogue and coordination for market access, incentives and credits for sustainable production, and project management for Outcome 2. Includes: technical specialists on coffee, cocoa, oil palm, livestock, and NTFP supply chains; local development; environmental education and knowledge management. Part of Administrative-Financial Assistant.
12	Travel costs and perdiems for participants of training programs foreseen under Outcome 2. Travel costs for mobilization of project team in the intervention areas (air tickets, perdiems and mobilization costs for field trips)
13	Contracts:

No.	Budget note
	<ul style="list-style-type: none"> <li>• Establishment of regional platforms for sustainable supply chains of coffee, cocoa, oil palm and livestock (Output 2.1)</li> <li>• Review of PSB conservation incentives and options to optimize investment plans (Output 2.4)</li> <li>• Management plans for NTFPs for PSB beneficiaries (Output 2.4)</li> <li>• Development of training program for sustainable finance for financial institutions (Output 2.5)</li> <li>• Development of training program for sustainable finance for small producers (Output 2.5)</li> </ul> <p>Note: All products incorporating gender and inter-cultural considerations / This item includes Value Added Tax</p>
14	Equipment and furniture to support implementation of project activities in the target landscapes. Includes partial costs of 2 4x4 vehicles, computer equipment and accessories, office furniture, communication equipment (GPS, radio, satellite phone), 2 boats for travelling to remote areas that cannot be reached by road, field survival kits.
15	Supplies: office and expendable supplies
16	Grants: design and implementation of competitive grants for NTFP projects (Output 2.3). Grants will be released following UNDP policies on grants.
17	Miscellaneous expenses to cover unforeseen costs under Outcome 2
18	<p>Training, workshops and conferences:</p> <ul style="list-style-type: none"> <li>• Business meetings, exchange of experiences and workshops to promote partnerships between buyers and produces (Output 2.2)</li> <li>• Training and operation of Roundtable for wood, non-wood and biodiversity products (Output 2.3)</li> </ul>
<b>Outcome 3: Landscape level implementation of sustainable practices in commercial production and livelihoods systems, aligned with the conservation and restoration of HVCF</b>	
19	National consultant to develop a study on the use of oil palm wastes for bioenergy (Output 3.1)
20	<p>Service contracts to support and facilitate mainstreaming and uptaking of sound environmental practices in institutions and agricultural and livestock production, and project management under Outcome 3. Includes: technical specialists to monitor implementation of field activities and collect data; to support mainstreaming of landscape approach and best practices by institutional stakeholders; and best practices.</p> <p>This item includes Value Added Tax</p>
21	Travel costs and perdiems for participants of training programs foreseen under Outcome 3. It is considered also fuel expenses for vehicles (to be used in Coca and Morona) and boats (in Morona and Orellana) for transportation within target landscapes to undertake field activities. Travel costs for mobilization of project team in the intervention areas (air tickets, perdiems and mobilization costs for field trips).
22	<p>Contracts:</p> <ul style="list-style-type: none"> <li>• Development of best practices guidelines for coffee, cocoa, oil palm and livestock (Outputs 3.1 and 3.3)</li> <li>• Development of training programs for technicians and producers (Outputs 3.1 and 3.3)</li> <li>• Technical assistance to coffee, cocoa, oil palm and livestock producers (Outputs 3.1 and 3.3)</li> <li>• Technical assistance for certification of oil palm (Output 3.1)</li> <li>• Management plan for SACRE (Output 3.2)</li> <li>• Management plans for NTFPs (Output 3.2)</li> <li>• Management plan for Kutuku Shaimi (Output 3.3)</li> <li>• Management plans and integral plans for SFM for multiple species (Output 3.3)</li> <li>• Training and technical assistance to parish councils for monitoring of NTFP plans (Outputs 3.2 and 3.3)</li> <li>• Training to SACRE for NTFP management (Output 3.2)</li> <li>• Technical assistance to NTFP organizations (Output 3.3)</li> <li>• Development of training programs to strengthen extension services and producers' associations (Output 3.4)</li> <li>• Dissemination of credit lines and incentives to support uptaking of best practices (Output 3.4)</li> </ul> <p>Note: contracts will include gender and inter-cultural related activities / This item includes Value Added Tax</p>
23	Equipment and furniture to support implementation of project activities in the target landscapes. Includes partial costs of 2 4x4 vehicles, computer equipment and accessories, office furniture, communication equipment (GPS, radio, satellite phone), 2 boats for travelling to remote areas that cannot be reached by road, field survival kits.
24	Supplies: office and expendable supplies
25	Grants to support access to inputs, technologies and other services for production (Output 3.4), for conservation agreements with producers in the three landscapes (Outputs 3.1 and 3.3). Grants will be released following UNDP policies on grants.
26	Miscellaneous expenses to cover unforeseen costs under Outcome 3
27	<p>Training, workshops and conferences:</p> <ul style="list-style-type: none"> <li>• Community organizations for NTFP value adding and commercialization (Outputs 3.2 and 3.3)</li> </ul>

No.	Budget note
	<ul style="list-style-type: none"> <li>• Implementation of tree nurseries for native tree and fruit species (Output 3.3)</li> <li>• Exchange of experiences with GEF-FAO Sustainable livestock project (Output 3.3)</li> <li>• Exchange of experiences on successful SFM initiatives in the CTEA (Output 3.3)</li> <li>• Training and exchange of experiences for extension services (Output 3.4)</li> <li>• Training and exchange of experiences for producers´ associations (Output 3.4)</li> <li>• Exchange of experiences between Kutuku Shaimi and Alto Nangaritza forests (Output 3.4)</li> </ul>
<b>Outcome 4: Dissemination of lessons learned, monitoring &amp; evaluation</b>	
28	International consultants for MTE and TE (Output 5.2)
29	National consultants to support MTE and TE (Output 5.2) This item includes Value Added Tax
30	Service contracts for part of Project Coordinator time for M&E This item includes Value Added Tax
31	Contracts for systematization of project best practices and lessons learned (Output 5.3) This item includes Value Added Tax
32	Professional services <ul style="list-style-type: none"> <li>• Annual external audits (Output 5.1)</li> <li>• Translation of MTE and TE reports (Output 5.2)</li> </ul> This item includes Value Added Tax
33	Publications on: i) integrated management of MUL; ii) platforms for sustainable supply chains successful cases; iii) territorial articulation in the Amazon region based on a landscape approach; iv) lessons learned by the platforms for sustainable supply chains; v) case studies on sustainable production best practices based on gender and inter-cultural approaches; vi) sustainable production best practices guidelines; viii) project lessons learned (Output 5.3) This item includes Value Added Tax
34	Miscellaneous Expenses related to completion of GEF tracking tools, annual monitoring of indicators, meetings of the Project Board and Technical Committee
35	Training: <ul style="list-style-type: none"> <li>• Workshops for completion of GEF tracking tools at mid-term and end of project (Output 5.1)</li> <li>• Annual workshops for monitoring of indicators (Output 5.1)</li> <li>• Project Board and Technical Committee meetings (Output 5.1)</li> <li>• Inception workshops (Quito and target landscapes) (Output 5.1)</li> <li>• Annual project planning workshops (Output 5.1)</li> </ul>
<b>Project Management Unit</b>	
36	Service contracts for part of Project Coordinator time and Administrative Financial Assistant for project management This item includes Value Added Tax
37	Travel costs for project team
38	Supplies: office and expendable supplies
39	Annual insurance costs for equipment and vehicles
40	Miscellaneous Expenses to cover unforeseen costs
41	UNDP Direct Project Cost



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## **XI. LEGAL CONTEXT**

249. This document together with the CPAP signed by the Government and UNDP which is incorporated herein by reference, constitute together a Project Document as referred to in the Standard Basic Assistance Agreement (SBAA); as such all provisions of the CPAP apply to this document. All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner”, as such term is defined and used in the CPAP and this document.

250. Consistent with the Article III of the Standard Basic Assistance Agreement (SBAA), the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP’s property in the Implementing Partner’s custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:

- a. Put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
- b. Assume all risks and liabilities related to the implementing partner’s security, and the full implementation of the security plan.

251. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner’s obligations under this Project Document.

252. The Implementing Partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via [http://www.un.org/sc/committees/1267/aq\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml). This provision must be included in all sub-contracts or sub-agreements entered into under/further to this Project Document”.

253. Any designations on maps or other references employed in this project document do not imply the expression of any opinion whatsoever on the part of UNDP concerning the legal status of any country, territory, city or area or its authorities, or concerning the delimitation of its frontiers or boundaries.

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## **XII. MANDATORY ANNEXES**

- A. Multi year Workplan
- B. Monitoring Plan
- C. Evaluation Plan
- D. GEF Tracking Tool (s) at baseline
- E. Terms of Reference Project Management Unit and Project Board
- F. UNDP Social and Environmental and Social Screening Template (SESP)
- G. UNDP Project Quality Assurance Report
- H. Letter of Agreement with the Government of Ecuador and Description of UNDP Country Office Support Services
- I. Additional information on agricultural and livestock production in the CTEA
- J. Maps

## Annex A: Multi Year Work Plan

Tasks	Responsible Party	Year 1				Year 2				Year 3				Year 4				Year 5				Year 6			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
<i>Output 1.1: National multi-sectorial coordination and policy strengthened to support sustainable production in MULs</i>																									
Dialogue and coordination with Citizen Sectorial Councils and Ministries	Project team, SENPLADES MAE, Councils and Ministries		X	X	X																				
Development of an inter-ministerial agreement for definition of HCVPs and sustainable production issues	Project team, MAE, MAGAP							X																	
Revision of the Organic law of rural lands and ancestral territories	Project team, MAE, MAGAP								X																
Revision of SFM regulations for gender and inter-cultural mainstreaming	Project team, MAE							X																	
Development of NTFP regulations for sustainable use	Project team, MAE											X													
Development of regulations for new SFM approaches (special management plans and integral plans for SFM of multiple species)	Project team, MAE											X													
Development of administrative procedures for Wood harvesting and transport.	Project team, MAE							X																	
<i>Output 1.2: Decentralized institutional structures strengthened for management and surveillance of sustainable production in MULs</i>																									
Establishment and operation of the Territorial Coordination Platform	Project team, SENPLADES MAE, MAGAP					X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Establishment and strengthening of Citizen Assemblies in 5 GADs	Project team, SENPLADES MAE, MAGAP, GADs		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X

Tasks	Responsible Party	Year 1				Year 2				Year 3				Year 4				Year 5				Year 6			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Strengthening of Planning Councils of 5 GADs	Project team, MAE, MAGAP, GADs					X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X				
Development and implementation of training program for MAE, MAGAP, and GADs (landscape approach)	Project team, MAE, MAGAP, GADs		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Development of training program for local governments (GIS/monitoring)	Project team, GADs					X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Establishment and functioning of 5 Local Development Agencies	Project team, GADs					X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
<i>Output 1.3: Land-use planning strengthened with multi-sectorial dialogue &amp; decision-making mechanisms</i>																									
Baseline assessments of 5 cantons as inputs for LUDPs	Project team, MAE, MAGAP, GADs		X	X																					
Target Scenario Analysis for 3 landscapes (North, Center, South)	Project team, MAE, MAGAP					X																			
Updating of 5 municipal LUDPs	Project team, GADs																								
Development of 5 parish LUDPs	Project team, GADs							X																	
<i>Output 1.4 Local surveillance and monitoring systems</i>																									
Development and implementation of a local early warning system (SAT) in target landscapes	Project team, MAE, MAGAP, GADs						X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Training of GAD staff, local monitors and parish councils for SAT	Project team, GADs						X	X																	
Awareness raising of local communities on SAT/regulation enforcement	Project team, GADs						X	X																	

Tasks	Responsible Party	Year 1				Year 2				Year 3				Year 4				Year 5				Year 6			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Promotion of municipal ordinances declaring cantons as ecological or deforestation free areas	Project team, GADs, AME							X	X																
<i>Output 1.5 Knowledge management program for sustainable production and landscape management</i>																									
Establishment and operation of knowledge networks	Project team, MAE					X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Edu-communication strategy	Project team, MAE					X	X	X	X	X	X	X	X												
Linking Ecuadorian networks SDSN Amazonia	Project team, MAE				X																				
Support to articulation of land use information systems	Project team, MAE												X												
<i>Output 2.1: Regional Platforms for Sustainable Supply Chains of coffee, cocoa, oil palm and livestock in Northern and Southern Amazon for multi-stakeholder dialogue and consensus and connecting buyers of sustainable products with producer</i>																									
Establishment and operation of Regional Platforma for Sustainable Supply Chain of cocoa	Project team, MAGAP				X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Establishment and operation of Regional Platforma for Sustainable Supply Chain of coffee	Project team, MAGAP					X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Establishment and operation of Regional Platforma for Sustainable Supply Chain of oil palm	Project team, MAGAP					X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Establishment and operation of Regional Platforma for Sustainable Supply Chain of livestock	Project team, MAGAP										X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
<i>Output 2.2: Regional Action Plans for Sustainable Supply Chains coffee, cocoa, oil palm and livestock to access markets for deforestation free products</i>																									
4 studies on traceability models for coffee, cocoa, palm, livestock	Project team, MAGAP						X																		
Study on demand and markets for deforestation free products	Project team, MAGAP						X																		
Development and implementation of	Project team, MAGAP													X	X	X	X	X	X	X	X	X	X	X	X

Tasks	Responsible Party	Year 1				Year 2				Year 3				Year 4				Year 5				Year 6			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Regional Action Plan for coffee																									
Development and implementation of Regional Action Plan for cocoa	Project team, MAGAP													X	X	X	X	X	X	X	X	X	X	X	
Development and implementation of Regional Action Plan for oil palm	Project team, MAGAP													X	X	X	X	X	X	X	X	X	X	X	
Development and implementation of Regional Action Plan for livestock	Project team, MAGAP									X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
Promotion of partnerships between producers and buyers	Project team, MAGAP																								
<i>Output 2.3 Market access for wood, non-wood and biodiversity products in Central and Southern Amazon</i>																									
Establishment and operation of the Roundtable for Wood, non-wood and biodiversity products	Project team, MAE				X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
Market study on potential for sustainable use of four NTFPs	Project team, MAE						X																		
Development and implementation of Regional Action Plan for Forest Products	Project team, MAE												X	X	X	X	X	X	X	X	X	X	X	X	
Development of competitive grants mechanism for NTFP innovations	Project team, MAE							X	X	X	X	X	X	X	X	X									
<i>Output 2.4 Incentives strengthened for SFM and SLM</i>																									
Optimizing Socio-Bosque Program (PSB) conservation incentive	Project team, MAE				X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
Disseminating MAE's Socio-Management incentive	Project team, MAE				X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
Modeling income distribution systems for	Project team, MAE																								

Tasks	Responsible Party	Year 1				Year 2				Year 3				Year 4				Year 5				Year 6			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
other SFM incentives including results-based incentives.																									
<i>Output 2.5 Strengthened credit systems for deforestation free production in HCVFs</i>																									
Mainstreaming of environmental criteria in lending portfolios and development of credit lines for sustainable production	Project team, MAGAP, MAE		X																						
Training program on sustainable finance for financial entities	Project team, MAGAP, MAE							X																	
Training program on sustainable finance for small producers	Project team, MAGAP, MAE										X														
Feasibility study for credit lines for small producers, women and youths, for adding value to NTFPs and alternative products.	Project team, MAGAP, MAE								X																
<i>Output 3.1 Sustainable production and environment-friendly practices in coffee, cocoa and oil palm to improve connectivity in MUL and HCVFs, and complementary livelihood options in the Northern Amazon landscape</i>																									
Environment-friendly best practice guidelines for coffee, cocoa, oil palm	Project team, MAGAP					X																			
Development and implementation of training programs for technicians (MAE, MAGAP, GADs, associations)	Project team, MAGAP					X	X																		
Development of training programs for producers	Project team, MAGAP					X																			
Training and technical assistance to coffee producers	Project team, MAGAP						X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Training and technical assistance to cocoa producers	Project team, MAGAP						X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X

Tasks	Responsible Party	Year 1				Year 2				Year 3				Year 4				Year 5				Year 6			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Training and technical assistance to palm producers (including certification schemes)	Project team, MAGAP						X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Conservation agreements with producers	Project team, MAE						X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Study on the potential use of palm wastes for bioenergy	Project team, MAGAP							X																	
Alternative livelihoods (aquaculture, meliponiculture, tourism)	Project team, MAGAP, MINTUR					X	X	X	X																
<i>Output 3.2 Sustainable use of biodiversity including NTFPs in the Central Amazon landscape, sustainable forest management in the Central Amazon portion of the Kutuku Shaimi Reserve and complementary livelihood options</i>																									
Development of Achuar Territory Management Plan	Project team, MAE					X	X																		
Development and implementation of NTFP management plans (morete, ungurahua, ishpingo and tree sedes)	Project team, MAE										X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Community training program for NTFP management	Project team, MAE										X	X	X	X	X	X	X	X	X	X	X	X			
Technical assistance by Local Development Agency for NTFP development	Project team, MAE, GADs										X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Strengthening of parish councils, SAT and monitoring of NTFP plans	Project team, MAE, GADs									X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Alternative livelihoods (tourism)	Project team, MAE, GADs, MINTUR					X	X	X	X																
<i>Output 3.3 Sustainable livestock production and environment-friendly practices to improve connectivity and restore degraded lands in MUL and HCVPs in the Southern Amazon landscape, and sustainable forest and NTFP management in the Kutuku Shaimi Protective Forest (Southern Amazon portion)</i>																									
Environment-friendly best practice guidelines for livestock	Project team, MAGAP		X																						
Development and implementation of	Project team, MAGAP			X	X																				



Tasks	Responsible Party	Year 1				Year 2				Year 3				Year 4				Year 5				Year 6			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
training programs for technicians (MAE, MAGAP, GADs, associations)																									
Development of training programs for producers	Project team, MAGAP										X														
Training and technical assistance to livestock producers	Project team, MAGAP			X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Strengthening AGROCALIDAD traceability system and piloting	Project team, MAGAP									X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Conservation agreements with producers	Project team, MAE			X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Updating Kutuku Shaimi Management Plan	Project team, MAE							X	X																
Development and implementation of Special Management Plan for Protection, Monitoring and Mitigation Measures for SFM, NTFP and Forest-associated Fauna	Project team, MAE									X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Development and implementation of Integral Plans for SFM of Multiple Species	Project team, MAE											X	X	X	X	X	X	X	X	X	X	X	X	X	X
Development and implementation of NTFP management plans (morete, ungurahua, ishpingo and tree sedes) in Kutuku Shaimi	Project team, MAE									X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Training and technical assistance for implementation of SFM and NTFP plans and business opportunities	Project team, MAE										X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Training program for inter-cultural conflict resolution / SAT	Project team, MAE, GADs			X	X																				

Tasks	Responsible Party	Year 1				Year 2				Year 3				Year 4				Year 5				Year 6			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Development and piloting of management effectiveness tool for protective forests	Project team, MAE						X						X												X
Alternative livelihoods (tourism)	Project team, MAE, MINTUR					X	X	X	X																
<i>Output 3.4 Producers-support systems for upscaling at watershed level</i>																									
Training and exchange of experiences for technicians of target landscapes	Project team, MAGAP, MAE, GADs									X	X	X	X	X	X	X	X	X	X	X	X				
Training and exchange of experiences for technicians of the provinces (outside target landscapes)	Project team, MAGAP, MAE, GADs									X	X	X	X	X	X	X	X	X	X	X	X				
Training and exchange of experiences for producers' associations	Project team, MAGAP									X	X	X	X	X	X	X	X	X	X	X	X				
Training and exchange of experiences for communities in PSB and protective forests	Project team, MAE									X	X	X	X	X	X	X	X	X	X	X	X				
Support to producers to access inputs, technology and other services for production	Project team, MAGAP, MAE													X	X	X	X	X	X	X	X	X	X	X	X

**Annex B. Monitoring Plan:** The Project Coordinator will collect results data according to the following monitoring plan.

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions
<p><b>Project objective from the results framework</b> Catalyze the transformation of land use planning and management in the Ecuadorian Amazon (CTEA) by building a governance and sustainable production framework based on a landscape approach and optimizing ecosystem services and livelihoods</p>	Number of new partnership mechanisms with funding for sustainable management solutions of natural resources, ecosystem services, chemicals and waste at national and/or sub-national level	1 Platform for Territorial Articulation; 4 Platforms for Sustainable Production of coffee, cacao, livestock and palm oil; 1 Roundtable for Wood, Non-wood and Biodiversity Products	<ul style="list-style-type: none"> <li>- MAE, MAGAP, GAD institutional reports</li> <li>- Interviews with representatives of participating institutions</li> </ul>	Annually Reported in DO tab of the GEF PIR	Project Coordinator, with support of M&E Assistant, technical specialists (Outcomes 1, 2) and in coordination with MAE, MAGAP, GAD technicians	<ul style="list-style-type: none"> <li>- Terms of reference for platforms and roundtable</li> <li>- Membership registries</li> <li>- Minutes of meetings</li> </ul>	Political will to develop partnership mechanisms in association with different sectors and allocation of financial, technical and administrative resources for sustainability of results
	Surface area in hectares of MUL and HCVF outside of protected areas where sustainable production practices have been adopted on the basis of best practice manuals and guidelines and contribute to establishing deforestation free supply chains	<p>a) 1,859,600 ha achieved through direct project intervention in the 3 priority landscapes</p> <p>b) 3,328,813 ha that can be potentially achieved through indirect effect of project intervention (replication)</p> <p>c) 6,470,386 ha of the CTEA in the long term</p>	<ul style="list-style-type: none"> <li>- Field visits</li> <li>- MAE, MAGAP, GAD statistics</li> <li>- Surveys, interviews with members of platforms (e.g. producers' associations)</li> <li>- Map of conservation gaps and areas of importance for conservation</li> </ul>	Annually Reported in DO tab of the GEF PIR	Project Coordinator with support of M&E Assistant, technical specialists (Outcomes 1,2,3) and in coordination with MAE, MAGAP, GAD technicians	<ul style="list-style-type: none"> <li>- Field visits</li> <li>- MAE, MAGAP, GAD reports</li> <li>- Reports by Territorial Coordination Platform</li> <li>- Reports by Regional Sustainable Production Platforms</li> </ul>	<p>International markets favor sustainable production</p> <p>Political will of institutions to enforce the regulatory frameworks, monitor compliance, allocate resources and incentives to promote sustainable production and conservation.</p> <p>Producers willingly engage in complying with the regulations, adopting best practices and participating in sustainable and deforestation free supply chains.</p>
	Reduced direct pressure of productive sectors on forests, evidenced by the	10% reduction in historical deforestation rate for the 3 landscapes.	Maps: - 1990-200 / 2010-2014 deforestation series	Annually Reported in DO tab of the GEF PIR	Project Coordinator with support of M&E Assistant,	<ul style="list-style-type: none"> <li>- Satellite images</li> <li>- Field measurements</li> </ul>	Institutions undertake adequate monitoring of changes in coverage and

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions
	change in forest and ecosystem fragmentation patterns and landscape structure (measured by annual change in border length between intervened areas and remaining vegetation within a reference period, as per MAE methodology), which improves conservation of threatened species	Target for annual change in border length between intervened areas and remaining vegetation to be defined in year1	<ul style="list-style-type: none"> <li>- MAE-MAGAP coverage and land use. 2014</li> <li>- MAE ecosystem fragmentation. 2015</li> <li>- Field monitoring</li> </ul>		technical specialists (Outcomes 1,2,3) and in coordination with MAE technicians	<ul style="list-style-type: none"> <li>- MAE monitoring reports</li> </ul>	<p>land use as per the regulatory framework</p> <p>Producers actively engage in trainings, complying with regulations, implementing best practices and participating in sustainable supply chains</p>
	Tons of avoided emissions of CO <sub>2</sub> eq attained through protection and sustainable management of forests: a) Direct lifetime b) Indirect lifetime	Tons of CO <sub>2</sub> eq estimated for project interventions. Direct emissions calculated over 6 years for Morona and Zamora. Indirect emissions calculated over 20 years for the CTEA.	<ul style="list-style-type: none"> <li>- MAE approved harvesting plans</li> <li>- MAE permits</li> <li>- Volume of wood extracted over 6 years in Morona Santiago (Central Amazon) and Nangaritza (Southern Amazon) based on MAE harvesting plans and permits, multiplied by the IPCC conversion factor</li> </ul>	Annually Reported in DO tab of the GEF PIR	Project Coordinator with support of M&E Assistant, consultants and in coordination with MAE	<ul style="list-style-type: none"> <li>- Harvesting plans</li> <li>- Harvesting permits</li> <li>- MAE reports</li> </ul>	Institutions, producers and communities get involved and participate investing in measures for protection and sustainable management of forests to avoid CO <sub>2</sub> emissions.
	Level of improvement of family incomes, measured by the increase in: a) Percentage of family income from diversified agricultural production with	Local communities and producers will increase their family incomes through agricultural diversification with agroforestry production systems, and sustainable	<ul style="list-style-type: none"> <li>- Surveys and interviews to producers and organizations (disaggregating information by age, sex and ethnic group)</li> </ul>	Annually Reported in DO tab of the GEF PIR	Project Coordinator with support of M&E Assistant, technical specialists (Outcomes 2,3) and in coordination with	<ul style="list-style-type: none"> <li>- MAE, MAGAP, GAD reports</li> <li>- CSO reports</li> <li>- Producers' associations reports</li> </ul>	Local communities of the target landscapes, especially women and indigenous nationalities diversify their income sources with wood and non-wood products, and agroforestry production systems to increase

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions
	agroforestry production systems b) Percentage of family income from wood and non-wood products c) Percentage of family income from Socio-Bosque incentives d) Percentage of women's incomes from non-wood products e) Percentage of producers from indigenous nationalities located in protective forests from non-wood products	production of wood and non-wood products	<ul style="list-style-type: none"> <li>- Producers' records</li> <li>- MAGAP agricultural unit/farm registry system</li> <li>- MAE, MAGAP, GAD statistics</li> </ul>		MAE, MAGAP, GAD technicians	- GEF LD Tracking Tool completed	incomes and improve livelihoods
<b>Project Outcome 1</b> Strengthened multi-level governance framework for sustainable management and production in multiple use landscapes (MUL) and high value conservation forests (HVCF) in the Special Amazonian Territorial Circumscription (CTEA)	Improved institutional capacities of 7 institutions for effective sustainable planning, management and monitoring in MUL in a coordinated and articulated manner, as measured by a % of increase in the UNDP Capacity Scorecard (Score rating: 0: Inefficient; 1: Good; 2: Very Good; 3: Excellent).	MAE, MAGAP, GADs Orellana, Shushufindi, Taisha, Morona and Nangaritza will improve their capacities to plan, implement and monitor a landscape approach in a coordinated and articulated manner	<ul style="list-style-type: none"> <li>- Interviews with key staffs of MAE, MAGAP and GADs</li> <li>- UNDP Capacity Scorecard</li> </ul>	Annually Reported in DO tab of the GEF PIR	Project Coordinator with support of M&E Assistant, Outcome 1 technical specialists and MAE, MAGAP and GAD technicians	UNDP Capacity Scorecard	The institutions recognize the need to improve institutional processes, collaboration and cooperation to better fulfill their mandates and incorporating management based on landscape approach and environmental sustainability, and implement the proposed improvements for the CTEA.
	Number of planning and land use planning instruments that mainstream landscape	5 municipal LUDPs will be updated with environmental, sustainable	<ul style="list-style-type: none"> <li>- Interviews with key stakeholders</li> <li>- Reports on participatory</li> </ul>	Annually Reported in DO tab of the GEF PIR	Project Coordinator with support of M&E Assistant,	<ul style="list-style-type: none"> <li>- Municipal LUDPs</li> <li>- Parish LUDPs</li> </ul>	Public and private institutions, CSOs recognize the need to improve land use

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions
	<p>approach, HCVF, biodiversity and ecosystem services considerations, gender and intercultural approaches in 5 cantons of the target landscapes approved, socialized and implemented:</p> <p>a) Municipal Land Use and Development Plans (LUDP)  b) Parish LUDPs  c) National level regulations in support of sustainable production in MUL  d) Local level ordinances that protect the natural resources (forests, water, biodiversity, wildlife) based on a landscape approach</p>	<p>production, and gender and intercultural approaches.  5 parish LUDPs will be elaborated with environmental, sustainable production, and gender and intercultural approaches.  2 Inter-ministerial Agreements between MAE and MAGAP will be developed  10 local ordinances will be developed</p>	<p>development of LUDPs  - Reports on participatory processes for development of regulations</p>		<p>Outcome 1 technical specialists and MAE, MAGAP and GAD technicians</p>	<p>- Inter-ministerial Agreements  - Local Ordinances</p>	<p>planning, participate and mainstream management based on a landscape approach, environmental sustainability, gender and intercultural approaches, and implement these approaches</p>
	<p>Level of direct participation of women and members of indigenous nationalities in planning and management of MUL/HCFV in participatory structures that operate regularly and democratically:</p> <p>a) Percentage of women in Citizen Assemblies, Cantonal Planning Councils</p>	<p>Participation of 40% women and 60% members of indigenous nationalities will be promoted in Citizen Assemblies, Cantonal Planning Councils and Territorial Coordination Platform</p>	<p>- Interviews, surveys to organizations (women's and indigenous nationalities) that are members of Citizen Assemblies, Cantonal Planning Councils and Territorial Coordination Platform</p>	<p>Annually Reported in DO tab of the GEF PIR</p>	<p>Project Coordinator with support of M&amp;E Assistant, Outcome 1 technical specialists and GAD, SENPLADES technicians</p>	<p>- Surveys, interviews  - Territorial Coordination Platform statutes  - GAD, Citizen Assemblies, Cantonal Planning Councils minutes of meetings, reports  - Membership registries of</p>	<p>Political will to incorporate key stakeholders, emphasizing in civil society, and improve their capacities to participate in land use planning based on a landscape approach, develop regulations, and monitor compliance of plans and regulations</p>

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions
	and Territorial Coordination Platform b) Percentage of members of indigenous nationalities in in Citizen Assemblies, Cantonal Planning Councils and Territorial Coordination Platform		- Citizen Assemblies, Cantonal Planning Councils and Territorial Coordination Platform reports, minutes of meetings, statutes, membership registries			- Platform, Citizen Assemblies, Cantonal Planning Councils - CSO reports (women's and indigenous nationalities organizations)	
	Level of agreement by the Territorial Coordination Platform on a multi-level participatory governance involving central, provincial, cantonal and parochial levels based on a landscape approach and HCVFs.	The Territorial Coordination Platform will develop a Territorial Priorities Document (based on UNDP-ART) and action plan.	- Interview with members of the platform - Reports on the participatory processes of the platform - Minutes of meetings	Annually Reported in DO tab of the GEF PIR	Project Coordinator with support of M&E Assistant, Outcome 1 technical specialists and SENPLADES technicians	- Territorial Priorities Document - Action Plan - Cooperation agreements between platform members	Institutions are willing to optimize inter-institutional and inter-sectorial coordination and collaboration mechanisms and undertake joint actions toward the sustainable development of the CTEA
<b>Project Outcome 2</b> Access to markets, credit and incentives for sustainable production of the main products in multiple use and high conservation value landscapes of the CTEA	Level of agreement by the Regional Platforms for Sustainable Supply Chains on sustainable production approaches for the CTEA, including deforestation free supply chains, certification standards, environment-friendly best practices, land use planning, based on a landscape approach.	Four platforms (coffee, cocoa, oil palm and livestock) will develop regional action plans following UNDP Green Commodities methodology	- Interview with members of the platforms - Reports on the participatory processes of the platform - Minutes of meetings	Annually Reported in DO tab of the GEF PIR	Project Coordinator with support of M&E Assistant, Outcome 2 technical specialists, consultants and MAGAP technicians	Regional Action Plans for Sustainable Supply Chains of: - Coffee - Cocoa - Livestock, - Oil palm	Key stakeholders committed and involved in the development and operation of the Regional Platforms for Sustainable Supply Chains

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions
	Increase in the volume of products commercialized in the target landscapes that respond to sustainable production criteria, measured by: a) Volume of sales from Amazonian farms that incorporate environment-friendly best practices certified through the farm/agricultural production unit registry system b) Volume of products entering the national market that comply with best practice or ecological certifications, as evidenced by MAGAP statistics.	Volume of sales from Amazonian farms that incorporate environment-friendly best practices. Volume of products entering the national market that comply with best practice or ecological certifications	<ul style="list-style-type: none"> <li>- MAGAP farm/agricultural production unit registry system</li> <li>- MAGAP statistics</li> <li>- Surveys and interviews with key market players</li> </ul>	Annually Reported in DO tab of the GEF PIR	Project Coordinator with support of M&E Assistant, Outcome 2 technical specialists, MAGAP technicians	<ul style="list-style-type: none"> <li>- MAGAP farm/agricultural production unit registry system</li> <li>- MAGAP statistics</li> <li>- Surveys</li> </ul>	Government and producers and buyers of sustainable products are interested and work jointly to promote sustainable products and certification schemes, and achieve differentiated prices
	Increase in volume of NTFP produced within the Socio-Bosque Program (PSB) that satisfies the demand identified by the Roundtable for Wood, Non-wood and Biodiversity Products, measure through: a) Percentage of increase in community and individual PSB investment plans that include NTFP	The project will promote sustainable use of NTFPs by PSB beneficiaries in community lands	<ul style="list-style-type: none"> <li>- PSB data on investment plans</li> <li>- MAE statistics on NTFP management</li> <li>- Interviews with PSB beneficiaries and market players</li> </ul>	Annually Reported in DO tab of the GEF PIR	Project Coordinator with support of M&E Assistant, Outcome 2 technical specialists, and MAE/PSB technicians	<ul style="list-style-type: none"> <li>- PSB reports</li> <li>- MAE reports</li> <li>- Surveys</li> </ul>	Government and producers and buyers of sustainable products are interested and work jointly to promote mechanisms that favor sustainable production of NTFPs and commercialization.



Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions
	production with management plans c) Volume of NTFP produced under management plans and commercialized in the national market (measured by MAE statistics)						
	Degree to which financial institutions have mainstreamed environmental sustainability criteria in their loan portfolios for the CTEA measured by: a) Number of financial institutions that mainstream environmental criteria in their portfolios of financial products for the CTEA b) Percentage of their loan portfolios that mainstream environmental criteria c) Number of personnel trained in sustainable financing and inter-cultural issues.	Public and private financial institutions (banks, cooperatives) will mainstream environmental criteria in their lending procedures	Financial statements, reports and financing plans of the financial institutions	Annually Reported in DO tab of the GEF PIR	Project Coordinator with support of M&E Assistant, Outcome 2 technical specialists, and technicians from MAE, MAGAP/ FIPRO and financial entities	- MAE/MAGAP agreements with financial institutions - Financial statements, reports and financing plans of the financial institutions	Financial institutions are interested and review their portfolios mainstreaming environmental sustainability criteria and developing credit lines and products to finance sustainable production, SFM, SLM best practices in the CTEA
	Number of hectares of HCVPs in community and indigenous lands (in protective forests and PSB conservation areas) conserved	PSB investment plans will be optimized for increased allocations of the conservation incentive to SFM	- Interviews with PSB beneficiaries - PSB field monitoring	Annually Reported in DO tab of the GEF PIR	Project Coordinator with support of M&E Assistant, Outcome 2 technical	- PSB agreements - PSB investment plans	Key stakeholders in protective forests and community and indigenous lands benefited by PSB incentive are interested in improving the use of

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions
	through incentives, as evidenced by: a) Protective forests with management plans that have mainstreamed ATPA integral farm management plans (for SLM) b) PSB forests with investment plans that mainstream SFM and SLM	and SLM activities in lands surrounding conservation areas.			specialists, MAE/PSB technicians		incentives for SFM and SLM practices that secure the supply of ecosystem services.
<b>Project Outcome 3</b> Landscape level implementation of sustainable practices in commercial production and livelihoods systems, aligned with the conservation and restoration of HVCF	Surface area of three target landscapes covered by environment-friendly best practices following best practice manuals and guidelines, based on landscape, gender and inter-cultural approaches: a) Number of hectares of coffee and cacao in Northern Amazon with soil management, integrated pest management, best management of agro-chemicals, among others b) Number of hectares of oil palm in Northern Amazon under certification schemes c) Number of hectares covered by	Promotion of Coffee, cocoa and oil palm best practices in Northern Amazon; NTFP management plans in Central Amazon; and livestock production best practices in Southern Amazon.	<ul style="list-style-type: none"> <li>- MAGAP surveys and statistics</li> <li>- MAE reports</li> <li>- GAD statistics</li> <li>- Surveys and interviews with producers' associations</li> </ul>	Annually Reported in DO tab of the GEF PIR	Project Coordinator with support of M&E Assistant, Outcome 3 technical specialist, and MAE, MAGAP, GAD and producers' associations technicians	<ul style="list-style-type: none"> <li>- MAGAP reports</li> <li>- MAE reports</li> <li>- GAD reports</li> <li>- Producers' associations reports</li> </ul>	<p>Public and private institutions mainstream sustainable production practices and are committed to transferring knowledge and technologies to producers through technical assistance, incentives and loans</p> <p>Producers are committed to adoption of best practices for sustainable production of coffee, cacao, oil palm, livestock, SFM, NTFP, restoration of degraded areas, and conservation of forests and ecosystem services</p>

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions
	<p>management plans for 4 NTFP species in Central Amazon</p> <p>d) Number of hectares under livestock production in Southern Amazon with soil recovery practices, incorporation of native forest and fruit trees, live fences, and pasture management, among others.</p> <p>Degree of adoption of agrosilvopastoral systems in the 3 target landscapes that enhance landscape connectivity and structure, measured through the average Euclidian distance to the nearest natural vegetation patch weighted by area of the patches, as evidenced by:</p> <p>a) Increase in the number of hectares under agrosilvopastoral systems in process of being established</p> <p>b) Increase in the number of hectares incorporating live fences with native tree species</p>	<p>The project will promote incorporation of trees in coffee and cocoa not based on agroforestry systems, and in pasture areas to promote recovery of degraded soils and connectivity.</p>	<ul style="list-style-type: none"> <li>- Temporal series of land use change maps: MAE cover and land use 1990-2000-2008; MAE 2013 ecosystem maps of continental Ecuador; MAE-MAGAP 2014 cover and land use</li> <li>- Field monitoring</li> </ul>	<p>Annually</p> <p>Reported in DO tab of the GEF PIR</p>	<p>Project Coordinator with support of M&amp;E Assistant, Outcome 3 technical specialist, MAE, MAGAP technicians</p>	<ul style="list-style-type: none"> <li>- MAGAP farm/ agricultural production unit registry system</li> <li>- MAGAP Reforestation incentive records</li> <li>- MAE, MAGAP reports</li> </ul>	<p>Producers are committed to adoption of best practices for sustainable production of coffee, cacao, oil palm, livestock, SFM, NTFP, restoration of degraded areas, and conservation of forests and ecosystem services</p>

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions
	Level of reduction of land degradation in the three target landscapes evidenced through the change in ecosystem function in areas under restoration, measured through GAD restoration reports that include: i) georeferencing of areas identified for restoration; ii) number of hectares to be restored; iii) identification of landholders; iv) Schedule of restoration activities; v) technical information on maintenance and management of the area under restoration (survival and replacement rates)	Reduction in surface area of degraded areas due to uptaking of environment-friendly best practices	<ul style="list-style-type: none"> <li>- Field surveys and MAE-MAGAP land use map.</li> <li>- GAD reports</li> </ul>	Annually Reported in DO tab of the GEF PIR	Project Coordinator with support of M&E Assistant, Outcome 3 technical specialist, MAE, GAD technicians	GAD reports	Land degradation in the three target landscapes is reduced through SLM practices with the active engagement of the local population
	Degree of improvement in sustainable forest and biodiversity management of the Kutuku Shaimi Protective Forest, measured through: a) Increase in management effectiveness score for Protective Forests measuring: management and	Development of management plan for the Kutuku Shaimi protective forest, designation of SFM areas and development of management plans that mainstream SFM and biodiversity criteria	<ul style="list-style-type: none"> <li>- Management plans</li> <li>- Interviews with communities and parish councils within the Kutuku Shaimi forest</li> <li>- MAE permits</li> </ul>	Annually Reported in DO tab of the GEF PIR	Project Coordinator with support of M&E Assistant, Outcome 3 technical specialist, MAE, GAD technicians	<ul style="list-style-type: none"> <li>- Kutuku Shaimi management plan approved by MAE</li> <li>- Special SFM plans approved by MAE</li> <li>- Integral Forest Management Plans approved by MAE</li> <li>- MAE permits</li> </ul>	<p>Communities living in protective forests are committed to conservation and sustainable management of their forests and biodiversity</p> <p>Institutions undertake adequate monitoring and enforcement of management plans and the forest regulatory framework</p>

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions
	<p>planning; monitoring and surveillance; environmental communication, education and participation; biodiversity management; public use and tourism.</p> <p>b) Number of hectares of protective forests managed under SFM and biodiversity criteria established in management plans</p> <p>c) Percentage of increase in the number of forest harvesting permits authorized by MAE on the basis of special management plans</p> <p>d) Percentage of increase in the number of Integral Forest Management Plans authorized by MAE</p>						
	<p>Number of small, medium and large producers (including women and members of indigenous nationalities) that have improved their knowledge, attitude and practices for implementation of best practices to conserve biodiversity, reduce soil</p>	<p>Producers will have developed their capacities to adopt environment-friendly best practices through training and technical assistance</p>	<p>Surveys to determine level of knowledge, attitude and practices</p>	<p>Annually Reported in DO tab of the GEF PIR</p>	<p>Project Coordinator with support of M&amp;E Assistant, Outcome 3 technical specialist, consultants, MAGAP, GADs</p>	<ul style="list-style-type: none"> <li>- Baseline survey</li> <li>- End of project survey</li> </ul>	<p>Producers are aware of the need to adopt sustainable and environment-friendly best practices and their advantages to help improve production, productivity, livelihoods and climate change adaptation, participate in capacity building and adopt best practices</p>

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions
	degradation and plan land use in the MUL of the three target landscapes (measured through surveys and including disaggregation by sex)						
<b>Project Outcome 4</b> Dissemination of lessons learned, monitoring & evaluation	Level of project implementation and achievement of results (percentage of budgetary execution)	Implementation of the M&E Plan.	<ul style="list-style-type: none"> <li>- Monitoring of project indicators</li> <li>- Audits</li> <li>- Supervision missions</li> <li>- Field visits to pilot projects</li> <li>- Project Board meetings</li> </ul>	Annually Reported in DO tab of the GEF PIR	Project Coordinator with support of M&E Assistant and technical specialists for each outcome	<ul style="list-style-type: none"> <li>- Monitoring reports</li> <li>- Back-to-office reports</li> <li>- Audit reports</li> <li>- Minutes of meetings</li> </ul>	Project partners have the political will to make progress toward a sustainable city, assume project ownership and ensure sustainability of results.
	Number of knowledge products and publications on best practices and lessons learned (at least 1 on gender)	Reports and publications systematizing best practices and lessons	<ul style="list-style-type: none"> <li>- Interviews, surveys</li> <li>- Success stories</li> <li>- Case studies</li> </ul>	Annually Reported in DO tab of the GEF PIR	Project Coordinator UNDP CO	Project technical publications	Project partners are open about project challenges and successes, as well as lessons-learned so these can be captured, published and disseminated at national and international level.
<b>Mid-term GEF Tracking Tool</b>	N/A	N/A	Standard GEF Tracking Tool available at <a href="http://www.thegef.org">www.thegef.org</a> Baseline GEF Tracking Tool included in Annex.	After 2 <sup>nd</sup> PIR submitted to GEF	Project consultant in coordination/consultation with project partners	Completed GEF Tracking Tool	Data and information available from project partners
<b>Terminal GEF Tracking Tool</b>	N/A	N/A	Standard GEF Tracking Tool available at <a href="http://www.thegef.org">www.thegef.org</a> Baseline GEF Tracking Tool included in Annex.	After final PIR submitted to GEF	Project consultant in coordination/consultation with project partners	Completed GEF Tracking Tool	Data and information available from project partners

<b>Monitoring</b>	<b>Indicators</b>	<b>Description</b>	<b>Data source/Collection Methods</b>	<b>Frequency</b>	<b>Responsible for data collection</b>	<b>Means of verification</b>	<b>Assumptions</b>
<b>Mid-term Review</b>	N/A	N/A	To be outlined in MTR inception report	Submitted to GEF same year as 3 <sup>rd</sup> PIR	Independent evaluator	MTR Report	Findings from the MTR will be used to revise the project's progress and to establish the corrective measures to achieve project objectives.
<b>Environmental and Social risks and management plans, as relevant.</b>	N/A	N/A	Updated SESP and management plans	Annually	Project Coordinator UNDP CO	Updated SESP	

**Annex C: Evaluation Plan:**

<b>Evaluation Title</b>	<b>Planned start date Month/year</b>	<b>Planned end date Month/year</b>	<b>Included in the Country Office Evaluation Plan</b>	<b>Budget for consultants</b>	<b>Other budget (i.e. travel, site visits etc...)</b>	<b>Budget for translation</b>
<b>Terminal Evaluation</b>	October 2022	October 2022	Yes	International consultants: USD 48,852 National consultants: USD 16,665	Included in consultants' budget	USD 8,142
<b>Total evaluation budget</b>				USD 73,659		



## **Annex D. GEF Tracking Tools at baseline**

**See attached excel files**

## **Annex E. Terms of Reference for Project Board and Project Management Unit**

### **Terms of Reference: Project Coordinator**

The Project Coordinator will act as the head of the Project Technical Team (PMU) and will be responsible for overall project implementation and supervision of the PMU. She/He will work under the supervision of UNDP, and will coordinate with other concerned stakeholders to ensure adequate project implementation.

The Project Coordinator will run the Project on a day-to-day basis on and his/her prime responsibility will be to ensure that the project produces the results specified in the project document, to the required standards of quality and within the specified constraints of time and cost. She/He will be a person with significant experience related to the scope of the project in addition to strong project management skills. She/He will provide overall managerial direction and leadership for the project, working closely with Institutions represented in the Project Board, the Technical Committee and key stakeholders. In addition, the Project Coordinator will have technical responsibilities under Outcomes 1 and 4 of the project.

Main duties and responsibilities:

- Provide overall project coordination and M&E for the achievement of the Project outcomes and objectives, based on Results-Based-Management.
- Coordinate work with UNDP offices and programs to ensure the alignment of the project results with UNDP's Strategic Plan and the Country Programme Document and Gender Strategy.
- Manage day-to-day implementation of the project, coordinating project activities in accordance with the rules and procedures of UNDP and based on the general guidance provided by the Project Board.
- Establish the PMU internal working procedures and coordination mechanisms with UNDP, Project Board, the Technical Committee and other key stakeholders.
- Lead and coordinate a multidisciplinary work team overseeing that all activities respond to the objectives and outcomes established in the project document, the annual work plans and procurement plans, as per UNDP and GEF regulations.
- Supervise the activities of the PMU staff and provide feedback, including analysis and approval of work plans and activity reports.
- Prepare the annual work plans and budgets and submit them for approval of the Project Board.
- Undertake the project M&E Plan, prepare project progress reports and support preparation of annual implementation reports, as well as monitoring reports, in coordination with the UNDP-GEF extended team.
- Ensure a gender approach is maintained in all activities, including specific activities and in coordination with UNDP's Gender Strategy.
- Validate CDRs in close coordination with the project's Administration.
- Ensure adequate inter-institutional coordination and stakeholder participation mechanisms during project implementation.
- Propose project expenditures and procurement ensuring that they respond to the principle of transparency and best value for money, and are in accordance with the activities established in the project document and plans.
- Supervise drafting of TORs for project activities by project specialists, analyze and approve technical reports.
- Undertake meetings and visits to the project stakeholders as part of the overall supervision of project implementation and prepare visit reports.
- Continuously analyze technical, political and institutional aspects and promote corrective actions or any other type of adjustments that may be needed for effective and efficient achievement of results.
- Work closely with the UNDP offices in the region in organizing and providing technical and logistic support and coordination to all missions and assignments by international and national consultants.

- Represent the project in national and international forums.
- Prepare, in accord with the Environment and Energy Unit Responsible, the justification for changes in budgets, activities and objectives that exceed the initially agreed limits.

Profile: At least 8 years of experience in project management and implementation, as well as significant direct experience related to the scope of the project; experience in integrated urban planning and sustainability, and capacity building issues is highly desirable; experience in interacting with public and private sector and civil society; leadership as well as strong management and interpersonal skills; computer skills; high flexibility and capacity to work under pressure.

### **Terms of Reference: Project Administrative-Financial Assistant**

The administrative/finance assistant will provide support to the Project Coordinator in management and administration of the project. She/He will be responsible for project administrative and financial management. In addition, on a part time basis the incumbent will provide logistical support to delivery of technical components of the project. She/He will work under the supervision of the Project Coordinator and will coordinate with UNDP, MAGAP and MAE to ensure adequate project management.

Main duties and responsibilities:

- Administrate the project's financial resources, mainly in processes related to planning, administration, procurement, payments, conciliations, budgetary revisions and inventories, ensuring the adequate administrative and financial management in accordance with UNDP procedures.
- Organize workshops and meetings such as: Inception Workshop, Project Board meetings, Technical Committee meetings, trainings in coordination with the project's technical team.
- Support the Project Coordinator in administrative/operational aspects for a satisfactory implementation of programmed activities based on the Results Framework and annual work plan, and UNDP-GEF procedures.
- Participate in preparation of Annual Work Plans. Prepare Procurement Plans and project budgets based on the Annual Work Plans.
- Ensure that transactions are undertaken in accordance with the Procurement Plan and agreements and/or contracts signed with third parties, and UNDP rules and regulations.
- Management of administrative, accounting and financial files
- Verify all processes for micro-purchases up to USD 5,000 and submit the supporting documents to UNDP Procurement Unit for approval before awarding.
- Verify and participate in procurement processes for goods and/or services up to USD 10,000 to ensure they comply with UNDP rules and regulations; submit the supporting documents to the UNDP Procurement Unit for verification, approval and award.
- Participate in procurement processes for goods and/or services (including professional services) above USD 10,000, preparing technical specifications or terms of reference, establishing a list of suppliers and supporting, if necessary, the Procurement Unit to follow-up the process.
- Submit to the Operations Unit procurement requests for goods and/or services above USD 30,000 and supporting documents, including but not limited to, technical specifications, terms of reference and tender documents.
- Participate in evaluation committees with the technician in charge.
- Undertake financial monitoring and control of the project, as well as disbursement schedules to ensure adequate recording of all financial operations.

- Countersign all supporting documents submitted for signature by Project Coordinator, Environment and Energy Unit Responsible and/or Resident Representative.
- Verify that all payments for remunerations and other services are made in accordance with the terms of the contracts or agreements and the corresponding authorizations.
- Ensure adequate and updated recording of all goods procured with project funds.
- Provide support to project audits and external evaluations.
- Verify quarterly and annual CDRs for certification.
- Manage the project office (contracts, cleaning services, etc.)
- Other tasks necessary for adequate project management.

Profile: At least 5 years of experience in accounting and financial matters; experience in project administrative and financial management; acquaintance with UNDP procedures is highly desirable; computer skills; initiative and responsibility; teamwork ability, high flexibility and capacity to work under pressure; and social sensitivity especially a gender approach.

### **Terms of Reference Project Board**

Project Board: The Project Board is responsible for making by consensus, management decisions when guidance is required by the Project Coordinator, including recommendation for UNDP and/or the Implementing Partner approval of project plans and revisions. In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition.

The Project Board will meet at least once a year. It will provide overall guidance for the project throughout its implementation; specifically, the PB will be responsible for: (i) approving the annual work plan and budget; (ii) achieving coordination among the various government agencies and key stakeholders; (iii) guiding project implementation to ensure alignment with national and local planning processes and sustainable resource use and conservation policies, plans and conservation strategies; (iv) ensuring the participation of key stakeholders in consensus building processes; (v) overseeing the work being carried out by the implementation units and local committees; (vi) reviewing key reports (such as PIR); (vii) approved the Terminal Evaluation Report, and (viii) monitoring progress and the effectiveness of project implementation

The Project Board will take corrective action as needed to ensure the project achieves the desired results. The Project Board will hold project reviews to assess the performance of the project and appraise the Annual Work Plan for the following year. In the project's final year, the Project Board will hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to highlight project results and lessons learned with relevant audiences. This final review meeting will also discuss the findings outlined in the project terminal evaluation report and the management response.

During its first meeting, the Project Board members will prepare and adopt detailed Terms of Reference for its functioning.



**Annex F. UNDP Social and Environmental and Social Screening Template (SESP)**

See attached file.

**Annex G. UNDP Project Quality Assurance Report**

See attached file.

## **Annex H. Letter of Agreement with Government of Ecuador and Description of Support Services to be provided by UNDP Country Office**

### **Ministry of Agriculture Livestock, Acuaculture and Fishing of Ecuador - MAGAP**

#### **LETTER OF AGREEMENT BETWEEN UNDP AND THE MINISTRY OF AGRICULTURE LIFESTOCK, ACUACULTURE AND FISHING OF ECUADOR FOR THE IMPLEMENTATION OF THE PROJECT “SUSTANAIBLE DEVELOPMENT OF THE ECUADORIAN AMAZON: INTEGRATED MANAGEMENT OF MULTIPLE USE LANDSCAPES AND HIGH VALUE CONSERVATION” AWARD 00085036, PROJECT 00092806 WITHIN THE CONTEXT OF THE NATIONAL IMPLEMENTATION MODALITY.**

1. Within the framework of the Project “Sustainable development of the Ecuadorian Amazon: integrated management of multiple use landscapes and high value conservation”, the UNDP and the Ministry of Agriculture, Livestock, Aquaculture and Fishing (MAGAP) express their compliance so UNDP will provide support services for the implementation of the mentioned Project according with the partner petition and with the Project Document submitted between the parties.
2. The UNDP will provide support services without any prejudice that the national partner may strengthen its capacities and directly carry out the activities described in the Project Document. The incurred expenses by the UNDP office while supporting the Project implementation will be recovered according with Direct Cost Recovery Policy that rules in this case. The Policy consist in applying the costs according to the Universal Price List depending on the kind of support service required by MAGAP (see table 2). UNDP can provide the support services described below at the request of the national partner:
  - a) Staff identification and recruitment;
  - b) Training workshops identification and facilitation, and
  - c) Goods and services procurement.
3. Both goods and services procurement and personnel recruitment performed by PNUD, will be undertaken according with its policies, guidelines, procedures and regulations. The support services described in paragraph 2 will have to be detailed in an Annex in the Project Document following the format foreseen in the Annex 1 of this Letter. In case the project requirements change during the project implementation, the support services will be revised and amended in mutual agreement by the parties.
4. All the privileges and immunities as described in the Basic Cooperation Agreement signed on January 19<sup>th</sup> 2005 between PNUD and the Government of Ecuador, will be applied to the support services detailed in the present letter. The Government shall be fully responsible for the Project execution through the designed institution. The Country Office responsibility related to the provision of the support services described in this letter of agreement will be limited to the provision of such services according as detailed in the Project Document Annex.
5. Any dispute arising from or related to the content of the present Letter will be resolved according with the article XII of the Basic Cooperation Agreement.
6. The method to be applied for the Direct Project Cost (DPC) recovery by UNDP for the provided services described in paragraph 3 of the present letter of agreement is detailed in the Project Document. The UNDP recovery policy establishes that the direct costs of the Project implementation incurred by UNDP (previously known as implementation support services ISS) must be recovered according with the estimated real costs that

are expected to incur, or according with the base of each transaction using the Universal Price Lists (attached to this Letter) and will have to be directly charged to the Budget of the Project “*Sustainable Development of the Ecuadorian Amazon: integrated management of multiple use landscapes and high value conservation*”.

7. Every six months, UNDP will send to the national partner progress reports related to the support services provision for the project implementation as well as the costs incurred in developing them. Any amendment or modification to this Letter of Agreement will be carry out in mutual agreement and in writing. The present Letter of Agreement is part of the Project Document submitted by the parties and is included as an Annex of it. To enforce what is mentioned above, the parties, in mutual agreement, submit this letter with two copies with the same legal value.

By UNDP

By the Ministry of Agriculture, Livestock,  
Aquaculture and Fishing

Diego Zorrilla  
Resident Representative

Javier Ponce  
Minister of Agriculture, Livestock,  
Aquaculture and Fishing

**CCH**  
**GJ**



## Annex No.1

### Description of the support services provided by the UNDP Country Office

1. Reference is made to the consultations between officials of the Ministry of Agriculture, Livestock, Aquaculture and Fishing, the designated institution by the Ecuadorian Government, and the officials of UNDP with respect with the support services to be provided by the UNDP Country Office for the national implementation of the Project “*Sustainable Development of the Ecuadorian Amazon: integrated management of multiple use landscapes and high value conservation*”, Award 00085036, Project 00092806.
2. According with the present letter, the UNDP Country office will provide support services in compliance with the table below.
3. Support services to be provided:

Support services*	Schedule for the support services provision	UNDP Cost for providing support services (when necessary)	Quantity and UNDP reimbursement method (when necessary)
1. Payments, disbursements and other financial transactions	During the Project implementation	Universal Price List	Support services
2. Staff, technical team and consultant recruitment.	During the Project implementation	Universal Price List	Support services
3. Equipment and services recruitment, and inventory discharge.	During the Project implementation	Universal Price List	Support services
4. Training activities, workshops and conference organization.	During the Project implementation	Universal Price List	Support services
5. Trip authorization, security clearance, tickets and travel arrangements.	During the Project implementation	Universal Price List	Support services
6. Delivery, sending, custom clearance, vehicles registry and accreditation.	During the Project implementation	Universal Price List	Support services

\*The UNDP support services must be defined annually. The direct costs incurred by implementing support services will be charged at the end of each year based on the Universal Price List or on the real cost of the associated service.

## Annex I. Additional information on agricultural and livestock production in the CTEA

Coffee, cocoa and oil palm are the predominant crops in the CTEA with 52,296 hectares, 35,000 hectares and 48,127 hectares respectively. Coffee is grown in both agroforestry and stand-alone systems. The cultivated area in the CTEA represents 31.5% of the total national area and supplies 62% of the national production (2,662 tons), most of it sold with a small amount withheld for family consumption. It is an important source of income for the region's population with numerous stakeholders in the supply chain alongside producers, and including transportation, local industries and exporters. Most of production is exported as instant coffee (87%); however national production is not sufficient to cover the domestic demand and Ecuador imports coffee.

Cocoa is the third most important agricultural export product of Ecuador. The country occupies the first place in fine aroma cocoa exports with over 70% of global production. Cocoa crops in the CTEA represent 12% of the national cultivated area and provide 7% of the national volume (11,849 ton), mostly sold with a small portion retained for family consumption. Producers sell their produce to collection centers, which in turn sell the product to export companies. There are few successful cases where the producers have entered into contracts supplying directly to international chocolate companies. Ecuador promotes fine aroma cocoa as a means to differentiate quality at international level; however exports do not differentiate between the fine aroma cocoa grown in agroforestry systems and traditional production systems (e.g. *chakras* and *ajás*<sup>72</sup> tended mainly by women) and the introduced CCN51 species grown in monocultures. Although the fine aroma cocoa has a higher yield, prices favor the CCN51 variety thereby promoting its expansion.

Oil palm plantations in the CTEA represent 16.9% of the total national surface area cultivated. The CTEA provides 20.9% of the country's production (735,279 tons), which is totally sold by producers to oil extracting companies and these in turn to local industries and exporters. The domestic market is the main consumer of oil purchasing a number of processed products. Crude oil is exported mainly to Venezuela, Colombia, Chile, Netherlands and Mexico. In 2013, Ecuador was the world's seventh palm oil exporter. There is an increasing interest in promoting certification schemes; however the experience is incipient and no differentiated prices have been yet achieved. Current low international prices are affecting local prices and incomes (especially of small producers who account for 91% of producers in the CTEA) and potentially influencing a change to pastures or toward increase in surface area for production.

Livestock production in the CTEA has increased from 645,538 heads in 2002 to 751,451 heads in 2013 representing 9% of the total number of cattle in the country. It is estimated that livestock production has become the main income source of approximately 3,000 families. The key factors to this growth have been the low cost of labor and investment and availability of technical assistance and credits. While the annual cost of labor per hectare for traditional extensive production is USD 51, one hectare of oil palm costs USD 558<sup>73</sup>. Livestock production is the main borrower of credits with 75.5% of the loans (USD 172 million) between 2009-2015. Most of the cattle are dual purpose, raised for beef and milk. Small producers sell their cattle at their farms to intermediaries for local supply of meat, while medium and large producers sell them in local fairs supplying the main cities of the country.

Some 432 species of non-wood products (NTFP) have been identified in the CTEA with commercial value with diverse uses (medicine, construction materials, food for both persons and animals). NTFPs are especially important for the food security of indigenous nationalities. NTFPs are harvested mainly by women who dedicate between 5-10 hours per day to collection. Products are commercialized mainly in local markets. There are few experiences in sustainable management for commercial purposes with *ungurahua* (*Oenocarpus bataua*), *ishpingo* (*Ocotea quixos*), *guayusa* (*Ilex guayusa*) and Dragon's Blood (*Croton lechleri*). Although the commercial use of *Morete* (*Mauritia flexuosa*) is not common in Ecuador, it could have market opportunities according to experience in neighboring countries.

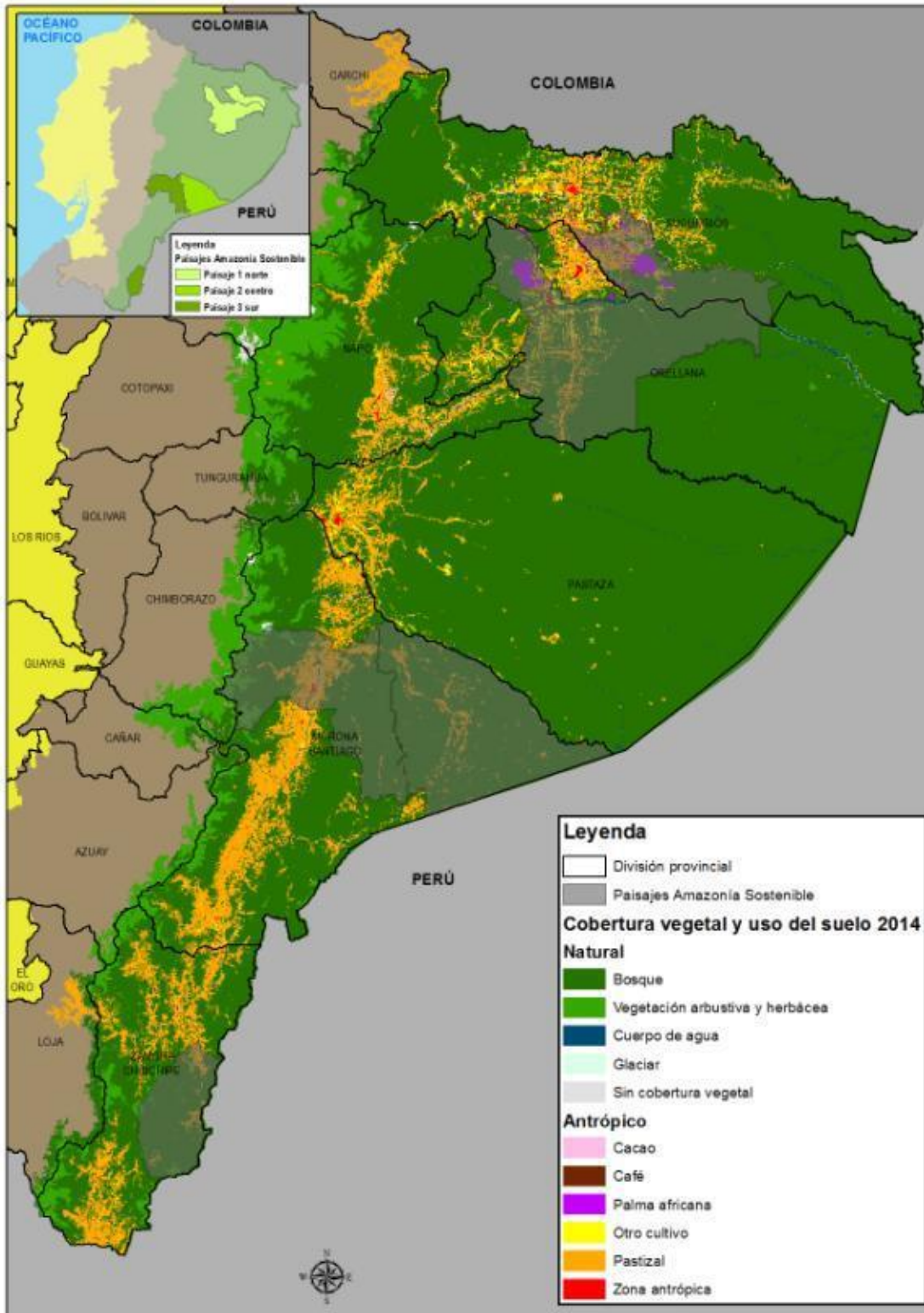
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<sup>72</sup> Traditional production system that combines the main crops (e.g. coffee and cocoa) with staple crops, trees for timber production (from natural regeneration) and medicinal plants, thus creating a special landscape of traditional agroforestry systems.

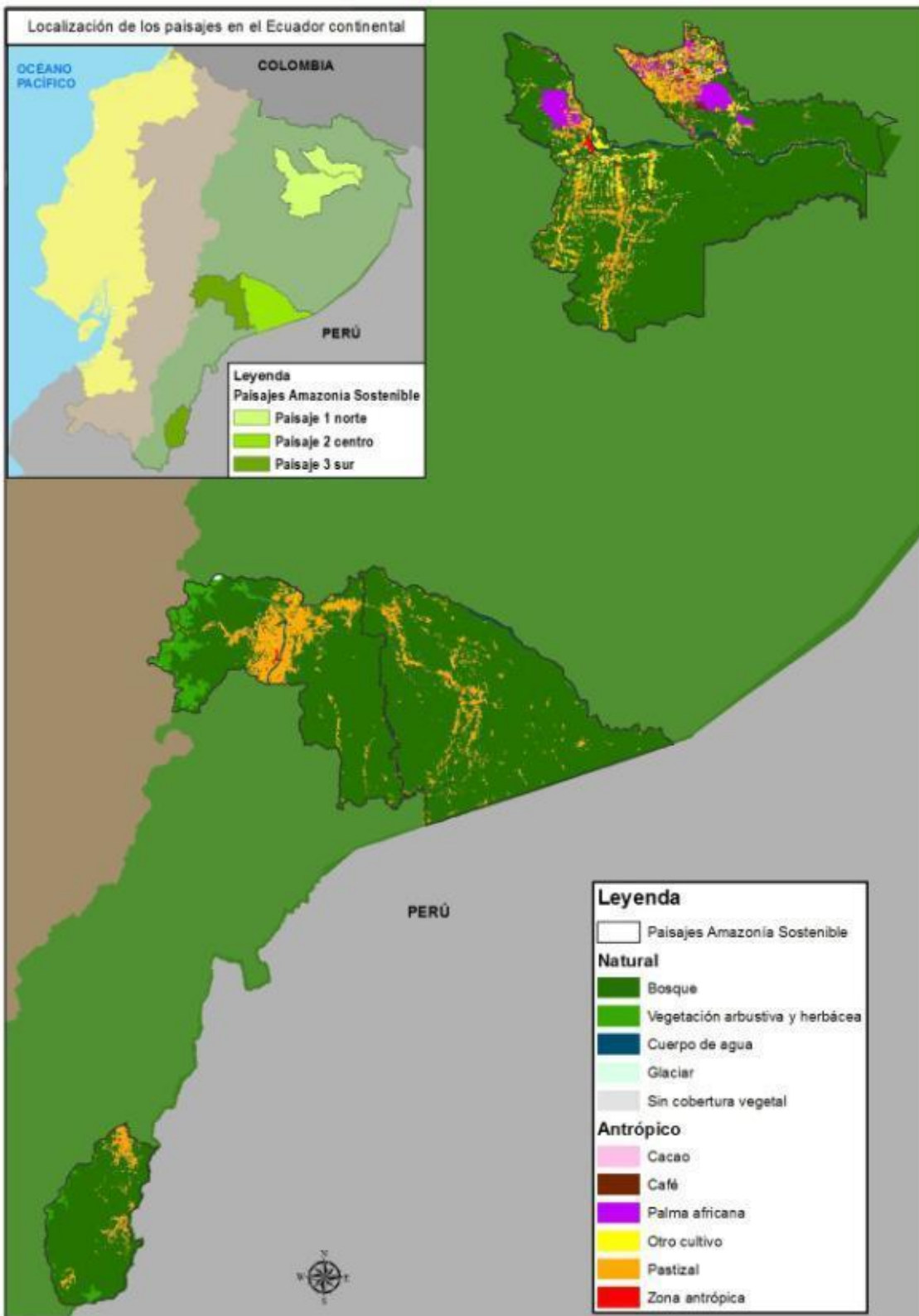
<sup>73</sup> FEDEGAN, MAGAP (2012)

## Annex J. Maps

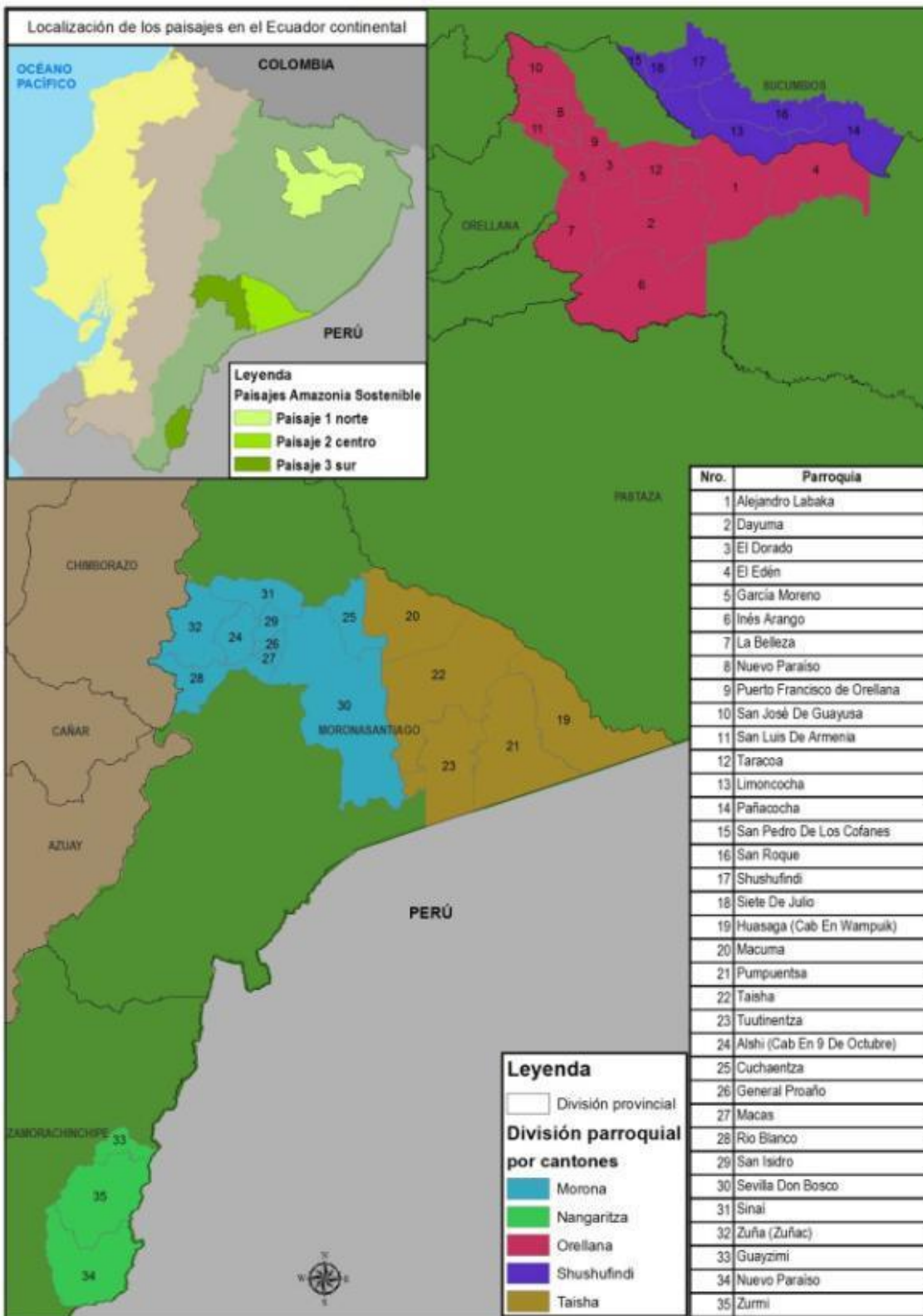
Map 1. Land use in the CTEA and target landscapes



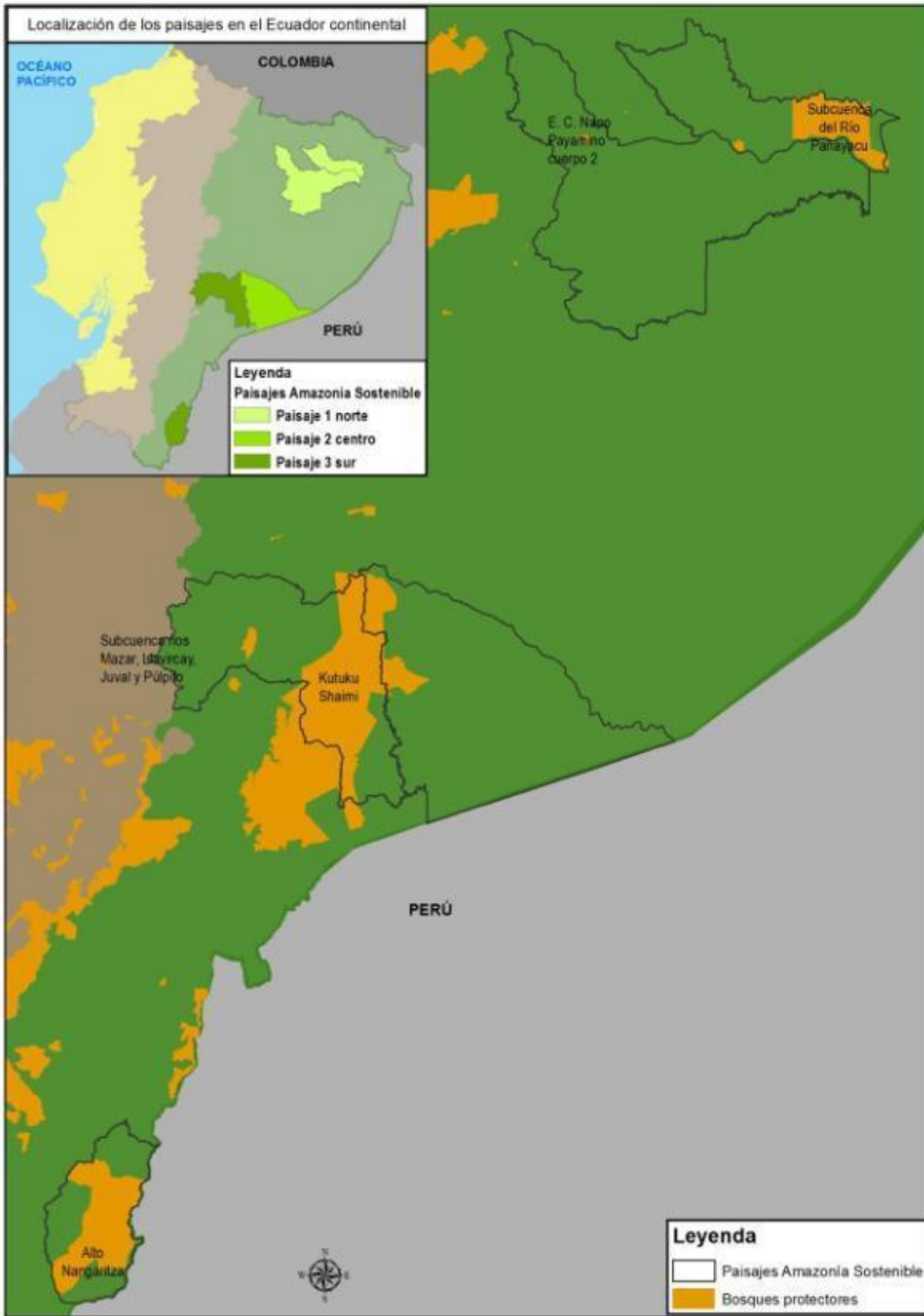
Map 2. Land use in the target landscapes



Map 3. Political Division of the target landscapes (cantons and parishes)



Map 4. Protective Forests



Map 5. Socio-Bosque conservation areas

