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**United Nations Development Programme
Project Document for nationally implemented projects
financed by the Green Climate Fund (GCF)**

Project title: Priming Financial and Land-Use Planning Instruments to Reduce Emissions from Deforestation	
Country: Ecuador	
Implementing Partner: Ministry of Environment	Management Arrangements : National Implementation Modality (NIM)
UNDAF/Country Programme Outcome:	
<p>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.</p> <p>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>	
UNDP Strategic Plan Output:	
<p>1.3 Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste.</p> <p>1.4 Scaled-up action on climate change adaptation and mitigation across sectors which is funded and implemented.</p> <p>2.5 Legal and regulatory frameworks, policies and institutions enabled to ensure the conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems, in line with international conventions and national legislation.</p>	
UNDP Social and Environmental Screening Category: Moderate	UNDP Gender Marker for each project output: GEN 2
Atlas Project ID/Award ID number: 00100778	Atlas Output ID number: 00103568
UNDP-GEF PIMS ID number: PIMS 5768	GCF ID number: FP-019
Planned start date: 1st June 2017	Planned end date: 31st May 2022
LPAC date: 22/05/2017	

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Brief project description:

This project will implement the priority policies and measures identified in Ecuador's REDD+ Action Plan¹. This REDD+AP will contribute to reduce emissions from the land use, land use change and forestry (LULUCF) sector, which represents 30% of GHG emissions of the country². More specifically, it will contribute to achieve the objectives of the government which are: 1) a reduction in gross emissions by at least 20 % by 2025 compared to Forest Reference Emission Levels³ (FREL) 2000-2008; 2) reforestation of 210,000 hectares of cleared land; 3) maintain climate regulation services (carbon) and others such as water regulation and associated biodiversity. Through the present project, the GCF provides approximately 26% of the budget requested for the implementation of the REDD+AP from 2016 to 2025.

Ecuador, under the leadership of the Ministry of Environment (MAE), started to work on REDD+⁴ in 2009. In 2017, Ecuador finalized its REDD+ readiness process. A Forest Reference Emission Level (FREL) was submitted and technically assessed by the UNFCCC in 2015⁵. A National Forest Monitoring System (NFMS)⁶ is now operational. A System of Information on Safeguards (SIS) has been elaborated and need to be implemented. A summary to explain how Cancun safeguards are being addressed and respected has been submitted to the UNFCCC⁷, and a national REDD+ Action Plan (REDD+ AP) has been approved and launched in November 2016⁸. This Action Plan presents the policies and measures prioritized to address the drivers of deforestation⁹. It has a national scope and includes the 5 eligible REDD+ activities.

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

1. Invest in enabling policies to reduce the drivers of deforestation and their associated emissions. More specifically, it will support the coordination of initiatives to mainstream climate change and REDD+ in national public policies, and in the main instruments of land-use planning undertaken by local governments and communities, indigenous peoples and nationalities.
2. Implement financial and economic incentives in non-forest areas to control agricultural expansion into forest areas and support the transition to sustainable "deforestation-free" agricultural production systems. It will do so by optimizing existing financial, economic and market mechanisms, credit lines and tax incentives to implement agricultural and livestock production practices that reduce deforestation, and by strengthening purchasing policies for deforestation-free commodities, their certification and traceability.
3. Implement financial and non-financial mechanisms for restoration, conservation and connectivity.
4. Implement instruments related to the UNFCCC Warsaw Framework, such as the NFMS and the SIS, and operationalize the financial architecture of the REDD+ AP to receive and channel future results-based payments in the future.

The emission reductions that Ecuador will achieve by implementing its REDD+ AP during the GCF project's lifetime (2017-2021) will be assessed in 2018, 2020 and 2022, through the Biennial Update Reports to the UNFCCC.

¹ <http://suia.ambiente.gob.ec/web/suia/redd>

² <http://unfccc.int/resource/docs/natc/ecubur1.pdf>

³ http://redd.unfccc.int/files/submission_frel_ecuador.pdf

⁴ REDD+: "Reducing emissions from deforestation and forest degradation, and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries": For more information see <http://redd.unfccc.int/>

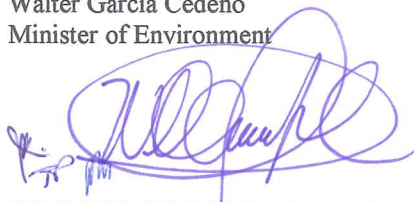
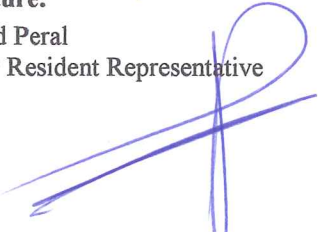
⁵ http://redd.unfccc.int/files/submission_frel_ecuador.pdf

⁶ <http://mapainteractivo.ambiente.gob.ec/>

⁷ http://suia.ambiente.gob.ec/web/suia/salvaguadas_redd

⁸ http://suia.ambiente.gob.ec/documents/10179/185860/MAE_2016_11_21+ART+LIBRO+REDD+17+nov+2016.pdf/e282f00c-37b2-4183-8349-54ecc9837bc8

⁹ In this document, 'reduce deforestation' is used as short-hand for all 5 REDD+ activities, which are all included in the national REDD+ AP, and 'analysis of drivers of deforestation' is used as short-hand for 'analysis of drivers of deforestation and forest degradation, and of barriers to the conservation of forest carbon stocks, sustainable management of forests and enhancement of forest carbon stocks.

FINANCING PLAN ¹⁰		
GCF grant	USD 41,172,739 (excluding fees)	
UNDP TRAC resources	USD 0	
(1) Total Budget administered by UNDP	USD 41,172,739	
PARALLEL CO-FINANCING		
Ministry of Environment	USD 31,755,550	
Ministry of Agriculture	USD 8,490,000	
FAO	USD 820,900	
Cash co-financing to be administered by UNDP	USD 683,074 (UN-REDD TS) USD 1,086,384 (UNDP CO)	
(2) Total co-financing	USD 42,835,908	
(3) Grand-Total Project Financing (1)+(2)	USD 84,008,647	
SIGNATURES		
Signature: Walter García Cedeño Minister of Environment 	Agreed by: Implementing Partner Ministry of Environment	Date/Month/Year: 23 MAY 2017
Signature: Arnaud Peral UNDP Resident Representative 	Agreed by: UNDP	Date/Month/Year: 23 MAY 2017

¹⁰ Disbursement: Government is aware of the conditions of disbursement ascribed to the first and subsequent tranches of the GCF funding as specified in the FAA (and in particular Clause 8 and 9.02 of the FAA). To the extent that these obligations reflect actions of the Government, the Government must ensure that the conditions are met and there is continuing compliance, and understands that availability of GCF funding is contingent on meeting such requirements and such compliance.

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II. DEVELOPMENT CHALLENGE

This project aims to address the development challenge of Ecuador contributing to global efforts to reduce greenhouse gas emissions, while ensuring its own sustainable development, through promoting forest conservation and restoration, and supporting the transition toward more sustainable agricultural practices. It will do so by tackling the direct and indirect drivers of deforestation described below.

The first Biannual Update Report of Ecuador submitted to the UNFCCC in September 2016 indicates that 30% of GHG emissions come from the land use, land use change and forestry (LULUCF) sector¹¹. Reducing emissions in this sector will contribute substantially to mitigating climate change, while generating additional social and environmental benefits. The surface area covered by native forests in Ecuador in 2014 was 12.7 million hectares, i.e. 54% of the national territory. 74% of forests are located in the Amazon region. Approximately 6 million hectares of forest are within indigenous territories. Between 1990 and 2014, nearly 2.6 million ha of natural forest in the country were lost. The main agricultural crops that have replaced forest areas between 2008 and 2014 are coffee, cocoa, corn and palm oil. In turn this direct driver has many underlying causes:

Policies, norms and institutions: The analysis of regional factors of deforestation highlights the influence of state policies on land use. There is a strong correlation between development plans and sectoral policies (mainly mining, petroleum and agriculture sectors, and colonization), for instance, agricultural policies in Ecuador have not necessarily considered the social, economic and environmental characteristics of the regions. Growth has been spontaneous and, at best, planned at the level of local governments, but not always in line with national development goals.

Fiscal and monetary incentives: As of 2013, it was estimated the total Fiscal and Monetary Incentives amount for the agricultural sector was US\$1.5 billion, equivalent to 1.6% of GDP. The main incentives for the agricultural sector are, first, tax concessions, which account for 40.71% of the total; followed by subsidized loans granted by the National Development Bank (BNF) and the National Finance Corporation, accounting for 28.9%, and direct subsidies, with 2%. Almost half of the loans for the agriculture, forestry and fishing sectors go to livestock production, which is precisely the activity which most contributes to deforestation under the current agricultural practices. And most of these fiscal and monetary incentives are provided today with very limited provisions related to environment, deforestation and climate change.

Agricultural and forestry practices: Low productivity is the main challenge to the production of dairy and meat. Large areas of land are occupied, grasslands are poorly utilized, and CO₂e emissions per milk or meat unit are inversely proportional to the level of productivity. Inefficient expansion of pastures for beef cattle destined for domestic consumption is the main factor of deforestation in Ecuador. Livestock is characterized by extensive grazing practices. Pastures are generally inefficient, with grass seeds that are not adapted to the production area and sustainable practices for soil enrichment, shadow generation or the incorporation of food banks are not used. The main agricultural crops that have replaced forest areas between 2008 and 2014 are coffee, cocoa, corn and palm oil. These crops are usually characterized by inefficient and extensive monocultures, with poor management practices.

Demand of agricultural and forest products: The domestic demand for meat, milk, rice, sugarcane, corn and cassava, and the international demand for cocoa, palm oil and bananas were, between 1990 and 2008, the main incentives for deforestation. Likewise, the demand for wood of native species encourages the degradation of natural forests. With regard to exports, in 2014 cocoa, palm oil and coffee were the fourth, sixth and seventh largest export products, respectively. The palm oil sector has been the fastest growing between 2000 and 2014, increasing its exports of raw and refined oil from US\$5 million to US\$225 million. In 2014, Ecuador was ranked among the top five exporters of cocoa worldwide, registering record numbers of US\$588 million.

Other social, economic and environmental factors: In addition to the aforementioned factors, there are other social, economic and environmental ones that have an influence on deforestation: population growth and distribution, road infrastructure, employment, certain macroeconomic factors, some social improvements and various environmental factors.

Several national initiatives are in place to mitigate the impacts of agricultural expansion and unsustainable timber extraction on forests, amongst others:

- The Agenda for the Transformation of Production in the Amazon, ATPA, which seeks the transition to sustainable agriculture production systems through both certification and traceability for deforestation-free products.
- The Natural Protected Areas Heritage of Ecuador (PANE), which represents 20% of the country's land area in

¹¹ <http://unfccc.int/resource/docs/natc/ecubur1.pdf>

- 53 public protected areas, covering 5 million ha of terrestrial land including large forested areas.
- The Socio Bosque Programme (SBP), which provides financial incentives to individual and community landowners who voluntarily commit to conserve native forests for a 20-year period. Since 2008, SBP has signed 2,748 agreements with 34,973 families, reaching roughly 185,000 beneficiaries and covering an area of 1.4 million ha of tropical forests. It is expected to add approximately 200,000 ha of forest per year until 2020. The SBP is of great relevance for the Amazon, particularly for indigenous lands that make up 88% of the sub-region. SBP also includes incentives for sustainable forest management of non-timber forest products (NTFP).
- The goal of zero net deforestation by 2030.

Furthermore, Ecuador has recently signed a Free-Trade Agreement with the European Union. Article 286 on Cooperation on Trade and Sustainable Development mentions that: “Taking into account the cooperative approach of this Title as well as the provisions of Title XIII (Technical Assistance and Trade-Capacity Building), the Parties recognize the importance of cooperation activities that contribute to the implementation and better use of this Title and, in particular, to the improvement of policies and practices related to labor and environmental protection as set out in its provisions. Such cooperation activities should cover activities in areas of mutual interest, such as [...] (d) activities related to the adaptation to, and mitigation of, climate change, including activities related to the reduction of emissions from deforestation and forest degradation (‘REDD’); [...] (f) activities related to the conservation and sustainable use of biological diversity, as addressed in this Title; (g) activities related to the determination of the legal origin of forest products, voluntary forestry certification schemes and traceability of different forestry products; (h) activities to encourage best practices for sustainable forest management; (j) exchange of information and experiences related to the promotion and implementation of good practices of corporate social responsibility...”

While important, these initiatives do not guarantee national reductions of GHG emissions from land use and forestry because they are not well coordinated with numerous other agricultural and land-use planning policies at the national, provincial and local level. Experience and studies illustrate that international sustainable commodities supply chain initiatives, domestic policies and finance, and REDD+ processes are currently advancing largely in isolation, resulting in farmers receiving few – if any – positive incentives to forgo legal forest clearing and to invest in more sustainable production systems. A critical mass is not reached to facilitate transformation, interventions from various sectors and stakeholders are incoherent or even contradictory, and widespread deforestation resulting from the production of agricultural commodities persists. The status quo is often fragmented and conflicting approaches to rural development where:

- Farmers focus on access to credit and markets, supply chains and production challenges
- The private and public banks focus on making loans to the agricultural sectors
- Indigenous peoples focus on rights and livelihoods
- Local civil society puts forth diverse agendas including political, social and environmental demands
- Buyers/retailers focus on ensuring sourcing, while managing reputational risks and achieving sustainability targets; and
- Governments struggle to coordinate land-use planning and its enforcement across sectors and levels of governments (national, provincial, local) despite the existence of an appropriate legal framework.

The barriers to integration which are leading to the disconnection between such initiatives include:

- The limited dialogue and coordination across sectors and levels of government leading to disjointed and inefficient programming and implementation of interventions. Coordination mechanisms between agriculture and forestry agencies are often weak or non-existent due to different stakeholders pursuing distinct objectives, focusing on different scales of intervention (national, jurisdictional/landscape or farm-level), and following different timelines and performance metrics. This materializes both:
 - a) Within governments, horizontally and vertically: across ministries and institutions and levels of government (national, provincial, local). Ministries may pursue contradictory goals for the same land area. The interests of subnational governments may not align with national objectives and policies. These are major constraints to the efficient use of land and natural resources.
 - b) Across stakeholder groups: government, the private sector and civil society. Private sector initiatives are often in contradiction with planned land use and contravene existing regulations. Relevant sustainability initiatives from all these actors should converge to be able to build synergies and economies of scale.
- The limited involvement and awareness of relevant stakeholders in REDD+ and/or sustainable supply chains initiatives. Different engagement mechanisms and entry points are required to build a critical mass of key actors involved.
- Limited understanding and expertise of the linkages and synergies between REDD+ and sustainable commodities issues:
 - a) Important linkages between national forest monitoring systems (NFMS) for REDD+ and commodity sustainability schemes are often not made. On the one hand, there are high costs and important information gaps in certification and traceability schemes which currently prevent companies from monitoring

deforestation associated with their supply chains. On the other hand, important efforts made by countries in developing their NFMS now allow to monitor the expansion of agricultural commodities. Creating linkages with NFMS offers the potential to greatly reduce the costs of national scale monitoring and traceability schemes. However, the mandate for monitoring and enforcing regulations often lies within different institutions with agriculture ministries and or land registries in charge of managing agricultural concessions and permits while the ministries of forest or environment are in charge of forest monitoring and the associated control.

- b) Opportunities to link REDD+ safeguards information systems and commodity sustainability schemes also exist. Achieving high levels of certification for commodity production in a country provides evidence of promoting and supporting some of the REDD+ Cancun Safeguards.
- Limited capacity and investment in processes that promote the production of forest-friendly commodities: while there are available and financially viable sustainable agricultural practices, their dissemination is still low.

This project will contribute to articulate the different land use planning tools, to increase agricultural yields while reducing deforestation by promoting more sustainable practices, to integrate international sustainable commodity supply chain initiatives with domestic policies and finance, and to streamline international finance for REDD+ to reduce deforestation and forest degradation in line with the objective of a central Government Programme. In doing so, the project will contribute to various Sustainable Development Goals (SDGs). It will primarily contribute to SDG 13 (Climate Action - Take urgent action to combat climate change/ the project will reduce GHG emissions from deforestation) and SDG 15 (Life on Land - Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests). And it will also contribute to SDG 1 (Poverty reduction: the project will support existing small farmers in changing their practices to more sustainable and economically viable models), SDG 8 (Decent Work and Economic Growth: the project will support studies to improve market options, including promoting “environmental” certifications that will eventually improve the generation of income from agricultural and sustainable forest practices), and eventually SDG 12 (Responsible Consumption and Production: the project will promote consumption and production of sustainable agricultural products at national and international levels).

III. STRATEGY

Ecuador, under the leadership of the Ministry of Environment (MAE), started to work on REDD+ in 2009. The REDD+ Action Plan¹² (REDD+ AP) officially launched in November 2016 presents the measures and actions (M&A) which have been prioritized by Ecuador to address the drivers of deforestation, forest degradation and to tackle the barriers to sustainable management of forests, conservation and enhancement of carbon stocks, described in the previous section. It also provides the legal context, details the institutional arrangements and responds to the different expectations of the UNFCCC with regard to REDD+ national strategy and action plans.

The desired Impact (general objective) of the REDD+ AP is to contribute to national efforts to reduce deforestation and forest degradation through conservation, sustainable forest management, and optimization of other land uses to reduce pressure on forests. Thus reducing GHG emissions. The target is twofold: (1) Reducing gross emissions from deforestation by at least 20% by 2025, based on the 2000-2008 Forest Emissions Reference Level; and (2) Reducing the net deforestation rate by 2025. The diagram of the theory of change for the REDD+AP is presented in annex 18 and described below.

To achieve the desired impact, the 4 strategic components of the REDD+ AP address the direct and indirect causes of deforestation described above. The REDD+ AP hopes to achieve the following strategic outcomes:

- “Articulate inter-sectoral and governmental policies and mainstream climate change and REDD+ in public policies and in the main instruments of territorial planning at the level of GAD and communities, peoples and nationalities”. Strategic Component 1. (CE1): Policies and institutional management for REDD+
- “Transition towards sustainable and Deforestation free agriculture”. Strategic Component 2 (CE2): Transition to sustainable production systems.
- “Increase the sustainability of areas under forest management and increase Non Timber Forest Products (NTFP) production and commercial use”. Strategic Component 3 (CE3): Sustainable forest management
- “Increase carbon pools through maintenance of areas under conservation and increase areas under reforestation.” Strategic Component 4 (CE4): Conservation and restoration

Additionally, 5 Operational Components will ensure that the enabling conditions requested to monitor the implementation of the strategic components described above are in place, as well as the systems needed to comply with the requirements of the UNFCCC for REDD+. The REDD+AP hopes to achieve the following operational outcomes:

- “Minimize implementation and transaction costs related to the management and operationalization of projects, measures and actions, to enhance the effects sought with the application of REDD + financial resources.”

¹² <http://suia.ambiente.gob.ec/web/suia/redd>

- Operational Component 1 (CO1): Management of REDD + measures and actions.
- “Monitor implementation of measures and actions”. Operational Component 2 (CO2): Monitoring and Reference Level.
- “Avoid or minimize the risks associated with the implementation of REDD + and promote social and environmental benefits resulting from its implementation.” Operational Component 3 (CO3): Social and environmental safeguards for REDD +.
- “Ensure that stakeholders have the necessary capacities, and promote innovation processes and knowledge management for an effective implementation and sustainable implementation of the REDD+ Action Plan.” Operational Component 4 (CO4): Capacity development and knowledge management.
- Develop tools and concrete coordination spaces/platforms for land use planning, institutional management, policy compatibility and strengthening of natural heritage governance. Operational Component 5 (CO5): Participation of actors and communication.

The project will co-finance the REDD+ AP. As a source of finance for the REDD+ Action Plan the project is designed according to the same theory of change. The contributions of the project to the REDD+AP are:

GCF C.1 Investment in enabling policies to reduce the drivers of deforestation and its associated emissions will support the REDD+ Strategic Component 1. (CE1): Policies and institutional management for REDD +. The aim is to "Support the articulation of inter-sectoral and governmental policies and mainstreaming climate change and REDD + in public policies and in the main instruments of territorial planning at the level of GAD and communities, peoples and nationalities." To support this outcome the REDD+ AP identifies a series of measures (or outputs). The project will support some of these measures as outlined in the table below.

REDD+ Action Plan Measures	Project Outputs Supporting REDD+ Action Plan Measures
Political-institutional articulation for the implementation of measures and Actions	1.4 Formal Inter-institutional coordination structures within the framework of land-use plans, life plans and land-use zoning.
Land use and zoning of the agricultural and forestry frontier	1.1 Updating and implementing PDOTs and Life Plans with climate change criteria and actions. 1.2 Local capacity building for supervision of land-use planning and zoning.
Forest control and policy reforms	1.3. Strengthening forest control
Legalization of land	No GCF outputs are related to this measure

GCF component C.2 Implementation of financial and economic incentives towards the transition to sustainable production systems in non- forest areas will support the REDD+ AP Strategic Component 2 (CE2): Transition to sustainable production systems. The aim is to " Support the transition towards sustainable and Deforestation free agriculture". The project will support REDD+ AP measures associated with this outcome as outlined in the table below.

REDD+ Action Plan Measures	Project Outputs Supporting REDD+ Action Plan Measures
Transition to sustainable production systems	2.1 Direct payment incentives for the sustainable production transition period.
	2.2 Promote the articulation and implementation of existing tax incentives that will allow for the transition to sustainable production systems.
Improving productivity and encouraging the adoption of good agricultural, forestry and aquaculture practices	2.3 Support the re design of public credit lines to reorient them to sustainable production practices.
Responsible procurement and market assurance and value chain integration	2.4 Public and private responsible procurement for deforestation-free production.
Traceability and certification for agricultural, forestry and aquaculture products free from deforestation	2.5 Certification and traceability of deforestation-free products.

Project component C.3 Financial and non-financial mechanisms for restoration, conservation and connectivity will support the REDD+ Action Plan Strategic Component 3 (CE3): Sustainable forest management. The aim is "Increasing the sustainability of areas under forest management and increase NTFP production and commercial use". To support this

outcome, the REDD+ AP identifies the following measures (or outputs): improvements to forest management practices, Certification and traceability and responsible Public and private procurement of timber and NTFP. The project will support this outcome through GCF output 1.3 “strengthening forest control”.

Strategic Component 4 (CE4): Conservation and restoration aims to “Increase carbon pools through maintenance of areas under conservation and increase areas under reforestation.” The project will support REDD+ AP measures associated with this outcome as outlined in the table below.

REDD+ Action Plan Measures	Project Outputs Supporting REDD+ Action Plan Measures
Conservation of biodiversity, water resources and ecosystems	3.2 Strengthen mechanisms for an integrated water resource management (IWRM) in the basins located within prioritized areas.
Restoration and reforestation.	3.1 Strengthen conservation, restoration and forest management processes driven through the National Incentives Project Socio Bosque

Operational Component 1 (CO1): Management of REDD + measures and actions aims to “Minimize implementation and transaction costs related to the management and operationalization of projects, measures and actions, to enhance the effects sought with the application of REDD + financial resources. For this reason, the REDD + PA should rely on the operational and administrative structures of other policies, programs or projects.” To support this outcome, the REDD+ AP identifies a series of measures (or outputs). The project will support this operational component by creating institutional arrangement for the management of various projects across institutions. As a first step these management arrangements will be used for all UNDP managed projects supporting the REDD+ AP (see management arrangements).

Operational Component 2 (CO2): Monitoring and Reference Level. In order to provide technical guidelines and strengthen the implementation of measures and actions proposed in the strategic components monitoring and reporting information will be key. To support this outcome, the REDD+ AP identifies a series of measures (or outputs). The project will support REDD+ AP measures associated with this outcome as outlined in the table below.

REDD+ Action Plan Measures	Project Outputs Supporting REDD+ Action Plan Measures
Operation of the National Forest Monitoring System	C.4 Implementation of REDD+ systems (on information of safeguards and on forest monitoring) and REDD+ national fund
Improvement of the Forest Reference Emission Level	4.1 Support in the implementation of the Warsaw Framework for REDD+ and other operational processes.

Operational Component 3 (CO3): Social and environmental safeguards for REDD +. Avoid or minimize the risks associated with the implementation of REDD + and, at the same time, to promote social and environmental benefits resulting from implementation within the framework of national priorities. To support this outcome, the REDD+ AP identifies a series of measures (or outputs). The project will support REDD+ AP measures associated with this outcome as outlined in the table below.

REDD+ Action Plan Measures	Project Outputs Supporting REDD+ Action Plan Measures
Addressing Safeguards in regulatory framework	C.4 Implementation of REDD+ systems (on information of safeguards and on forest monitoring) and REDD+ national fund
Operations of the Safeguards Information System	4.1 Support in the implementation of the Warsaw Framework for REDD+ and other operational processes.

Operational Component 4 (CO4): Capacity development and knowledge management. Ensure that stakeholders linked to REDD + measures and actions have the necessary capacities, and promote innovation processes and knowledge management that Ensure long-term sustainability for an effective implementation of the REDD + AP. To support this outcome, the REDD+ AP identifies a series of measures (or outputs). The project will support REDD+ AP measures associated with this outcome in a cross cutting manner (see partnerships and stakeholder engagement below).

Operational Component 5 (CO5): Participation of actors and communication. Development of tools and coordinate spaces/platforms for land use planning, institutional management, policy compatibility and strengthening of natural heritage governance that support the reduction of deforestation and the development of sustainable landscapes. The project will support REDD+ AP measures associated with this outcome in a cross cutting manner. The project will support REDD+ AP measures associated with this outcome in a cross cutting manner (see partnerships and stakeholder engagement below).

By implementing these components, the project's stakeholders will see the following benefits:

- 60,000 farmers will be supported to modify their agricultural practices so they become more sustainable, and will have access to credit and markets for deforestation-free products.
- The private and public banks (BanEcuador) will have a clear framework for making loans to the agricultural sectors as well as access to information tools to facilitate its implementation.
- Indigenous peoples will receive technical and financial support to maintain and value their traditional livelihoods.
- Local civil society will be able to monitor the implementation of social and environmental safeguards and will be involved.
- National and international buyers/retailers will be able to source deforestation-free products based on reliable traceability systems which will greatly reduce the cost of managing reputational risks and achieving sustainability targets; and
- Governments will effectively coordinate land-use planning across sectors and levels of governments as foreseen by the existing laws (national, provincial, local).

The project will contribute to several outcomes and indicators of the UNDAF 2015-18¹³ and CDP 2015-2018¹⁴. The main ones are:

- Outcome No. 1 of the UNDAF “By 2018, support has been provided to strengthen institutional capacities to improve the efficiency of national and local public management, within their competencies, and to consolidate citizen participation in accordance with the institutional mechanisms and the guidelines of the sectors involved, to reinforce the guarantee of rights”,
 - Indicator 1.1. “Number of central and local government institutions strengthened to design policies and norms that improve their public management with a focus on rights”.
- Outcome No. 4 “By 2018, support has been provided to strengthening institutional and citizen capacities to promote the rights of nature, create conditions for a sustainable low-emission development, and improve the resilience and risk management facing the impacts of climate change and natural and man-made disasters”.
 - Indicator 4.1. Number of policy instruments developed and/or implemented at national and local levels according to their competencies and international and constitutions standards.
 - Indicator 4.2. Number of operational information systems, focusing on the management of public and citizen institutions.
- Outcome No. 5 “By 2018, support has been provided to strengthen the capacity of the state at the national, local and civil society levels to promote social and economic inclusion of priority groups and foster and develop sustainable and equitable livelihoods”.
 - Indicator 5.1. Number of public policy tools at the national and local level developed and/or implemented with the support of the United Nations system that promote the socioeconomic inclusion of priority groups.
 - Indicator 5.2. Number of inclusive and sustainable socio-productive initiatives developed by national and local stakeholders, based on sector guidelines

Key assumptions about what will change, for who, and how this will happen: the policies and measures prioritized in the national REDD+ Action Plan, and supported by the present project, are aiming at reducing deforestation and strengthening forest protection and management at the national scale. Several activities will take place within forests, with forest dependent communities; while many others will be focused on improving agricultural practices. As a result of this project, it is then expected that:

- The right of indigenous communities in participate to the processes of land use planning within their territories will be strengthened, as well as the capacities of central and decentralized authorities to fulfil their obligations. Their right to give or uphold their free prior and informed consent before activities are implemented in their territories will also be respected. In reality, the indigenous communities will be the one directly responsible for implementing activities in their territory, as key actors for contributing to reduce deforestation and protect forests, with the support of the government when appropriate (for instance for preparing their land use planning, their integrated farm management plans, or benefit from extension services);
- The project will facilitate women producer organizations' access to incentives for sustainable agricultural production, and will promote greater participation and involvement of women in land-use planning.
- The beneficiaries of the Socio Bosque Programme (SBP) will benefit from a reinforced programme, thanks to the support provided by the GCF project.
- The small and medium local farmers will benefit from a strengthened ATPA, which will help them in preparing their integrated farm management plans and improving their agricultural practices thanks to better extension

¹³ <http://www.un.org.ec/wp-content/uploads/2015/02/MARCO-DE-COOPERACION-NACIONES-UNIDAS-p6.pdf>

¹⁴ http://www.latinamerica.undp.org/content/dam/rblac/docs/Country%20Programme%20Documents/UNDP-RBLAC-ECU_CPD%202015%202018.pdf

services from MAGAP.

- The loans that the producers of cocoa, coffee, palm and cattle will be able to take, will include specific provisions related to climate change and deforestation, and will be linked to the compliance with land use plans and integrated farm management plans.
- The producers of cacao, coffee and palm will benefit from privileged access to international markets, with the support of *Marca Pais*, the certification and traceability systems which will be put in place to demonstrate that production is delinked from deforestation.
- The decentralized authorities will be strengthened to elaborate their land use plans, and monitor their implementation.
- The MAE will gradually increase the coalition of government and non-government entities interested in supporting and contributing to the implementation of the REDD+AP.

External factors that will be critical for achieving expected changes:

- The new government, which is expected to be in place in May 2017, endorses the objectives of reducing emissions from deforestation and protecting forest, while simultaneously promoting sustainable agricultural practices. Without this endorsement by the upcoming government and prioritization of this topic, the implementation of the policies and measures prioritized in REDD+AP will be challenging.
- The level of incentives provided by the GCF and other donors as REDD+ Result Based Payments is sufficiently attractive to maintain the political interest for undertaking this ambitious national endeavor.
- EU countries and other main buyers of agricultural commodities integrate the requirements and commitment of the NY Declaration on Forest and Amsterdam Declaration into their trade policy, and ideally provide a price premium for these products in order to encourage producers and government to pursue their efforts.
- The drivers of deforestation analyzed during the REDD+ readiness process do not evolve too rapidly, for instance under the pressure of international factors such as the prices of oil and commodities. The policies and measures prioritized in the REDD+AP can be adjusted sufficiently rapidly to respond to evolving drivers of deforestation.

IV. RESULTS AND PARTNERSHIPS

i. EXPECTED RESULTS:

The project is organized around 4 main components. These are described below along with associated outputs and indicative activities. Full details are provided in the Resources Framework in section VI of this project document, as well as in the original Funding Proposal¹⁵ approved by the GCF Board, and included in the FAA document in annex 1 of this project document.

COMPONENT 1. INVESTMENT IN ENABLING POLICIES TO ADDRESS DRIVERS OF DEFORESTATION AND REDUCE ASSOCIATED EMISSIONS

Output 1.1: Land use plans updated taking into account climate change mitigation and adaptation dimensions, and implemented

The project will update 18 land use plans (PDOT for acronym in Spanish; (12 municipals, 6 provincial) and 5 land use plans in indigenous territories (Life Plans, *Planes de vida*), to reflect information, measures, actions and monitoring related to climate change and reducing emissions from deforestation and inclusion of REDD+ performance indicators in PDOTs; support for the regularization of land tenure. It will also support the implementation of off-farm measures prioritized in the 18 PDOTs. Finally, this output will provide trainings for technical staff and improved coordination across associated institutions. Following a needs assessment, ATPA-MAGAP will develop a training plan adapted to local needs. In the update and implementation of PDOTs, Life Plans and Land-use zoning, equal gender participation will be promoted, as well as respect for indigenous peoples' and communities' rights.

Activities to be implemented:

- Develop a training plan adapted to local needs.
- Train technical staff of GADs and other public officials for the development of PDOTs.
- Update of PDOTs with CC criteria, REDD+ actions and REDD+ performance indicators, using the online land use planning system developed under output 1.4.
- Prepare annual reports to MAE to evidence that GCF funding under this output has been disbursed to activities directly related to REDD+ activities

¹⁵ <http://www.greenclimate.fund/-/priming-financial-and-land-use-planning-instruments-to-reduce-emissions-from-deforestation>

Output 1.2. Local capacity building for supervision of land-use planning and zoning

Output 1.2 will strengthen local capacity, mainly non-government stakeholders such as indigenous communities, farmers and local civil society, with a particular emphasis on women and priority groups' participation, to successfully supervise and monitor the implementation of PDOT elaborated under output 1.1. It will help ensure that REDD+ measures and actions result in emission reductions, particularly in areas where the production of commodities is expanding into forested areas. Additionally, capacity building actions to second and third degree indigenous people's organizations and nationalities will be implemented. This monitoring of the PDOT will use the online planning and monitoring system developed under output 1.4.

Activities to be implemented include the organization of collective training through workshops (4 workshops per year, of five days each for approximately 20 people), with a special attention on gender equity:

- Trainings of 300 local officials and stakeholders in 6 provinces.
- Training of 350 indigenous representatives.

Output 1.3. Strengthening forest control

Through this output, the project will support the implementation of traceability processes for forest products included in the REDD+ AP. Lessons from the implementation of this output will be systematized and will contribute to the improvement of new regulations for sustainable forest management, including timber and non-timber forest products. In order to achieve traceability, the project will contribute to the involvement of local communities in the control measures implemented by MAE. This will include the implementation of community monitoring of forest and wildlife, which will reduce the risk of leakage (displacement) of illegal deforestation between areas. Along with community monitoring, scientific research will be coordinated with leading academic institutions in the country to foster the generation of information on logging cycles, species, minimum cutting diameters by species and other relevant factors for forest monitoring. This information will provide feedback to improve forest control measures.

Activities to be implemented:

- Design of the forest control process / model, and analysis of forest control centers;
- Updating logging cycles as well as minimum cutting diameters by species;
- Definition of specific regulations for traceability;
- Development of protocols for certification of origin;
- Strengthening of the Forest Administration System tools (SAF) to meet the technological and institutional requirements needed for traceability;
- Development of species identification catalogues;
- Enhancement of the checkpoints' effectiveness and strengthen integrated forest control centers;
- Technical assistance for the involvement of stakeholders in the forest control and elaboration of a specific monitoring mechanism for illegal timber extraction
- Assisting the implementation of traceability processes in the municipalities included in the area of intervention.
- Supporting the dissemination and uptake of the Forest Traceability System, through communication campaigns in the cantons included in the area of intervention
- Strengthening of technical capacity of control centers within the rea of intervention through technological tools;
- Recruitment of personnel to strengthen the operations of control centers in the areas of intervention;

Output 1.4 Formal inter-institutional coordination structures within the framework of land-use plans, life plans and land-use zoning.

The project will support the establishment of coordination mechanisms between institutions and existing funds (ATPA, CC, Patrimony, Marca País, GADS, SBP, Water Funds, etc.). It will also support the creation of a web-based land planning and monitoring tool for PDOT, life plans and integrated farm management plan, which will be used by outputs 1.1. and 1.2., and which will eventually be linked with the system of information of SENPLADES, in charge of planning and budgeting processes at the national level. This will allow SENPLADES to be informed where PDOT and REDD+ actions are properly implemented, and where not.

Activities to be implemented:

- Promotion and monitoring of multi-level inter-institutional coordination mechanisms and agreements: 3 Regional platforms (north, center and south) and two inter-sectoral platforms at national and local levels;
- Coordination workshops within formal institution structures.

- Creation of an online land use planning system to digitalize and monitor implementation of life plans, integrated farm management plan and PDOTs, compatible with the National System of Information managed by SENPLADES, and publicly accessible.

COMPONENT 2. FINANCIAL AND ECONOMIC INCENTIVES FOR THE TRANSITION TO SUSTAINABLE AGRICULTURE PRODUCTION SYSTEMS IN NON-FOREST AREAS

Output 2.1 Provision of incentives to support transition towards sustainable agriculture production through ATPA in the amazon area.

The Agenda for Transforming Production in the Amazon Region (ATPA¹⁶) is a key programme of the Ministry of Agriculture that targets subsistence farmers seeking to “convert current agricultural production activities in the Amazon region to agro-production systems that are sustainable from economic, social, cultural and environmental perspectives”. It aims to transform 300,000 hectares of grassland to traditional systems (chakra and Ajashuar); semi-intensive and intensive agroforestry systems, silvo-pastoral systems and forestry systems¹⁷. It will support both certification and traceability of deforestation-free products. MAGAP invested USD 3,666,318.07 in technical assistance in 2015, from which USD 895,776 were mobilized through ATPA in the Amazon region. ATPA technical assistance includes developing integrated management plans (IMPs) along with the producers that will integrate information on climate change or REDD+ and will be aligned with updated PDOTs.

The project will support ATPA-MAGAP and its beneficiaries in elaborating Farm Integrated Management Plans (IMP), linked to the agreed PDOT; in providing kits (ploughing, organic manure, seeding, pest management, harvest and post-harvest, tools; specific for each type of crop: short cycle, biennials, perennials, forest) or other non-monetary incentives that directly support the transformation process, on an annual basis, subject to compliance with the integrated management plans and zoning requirements; and on providing extension services to support IMP implementation, yearly monitoring of progress and compliance. They can be renewed according to the technical analysis up to 3 years (4 years in total) depending on the type of crops. The primary beneficiaries include individual farmers and local production organizations willing to switch voluntarily from traditional low-production agriculture production systems toward sustainable agriculture production. Women’s organizations and indigenous peoples will be encouraged to participate. MAGAP will be the implementing entity that verifies beneficiaries’ compliance with the new sustainable production system over time.

A monitoring and evaluation scheme will be established between the provincial directors of MAGAP and the project coordination team in the central office. The provincial office will be responsible for developing an intervention schedule for each farm to continuously monitor activities. A baseline will be set prior to implementation and provision of extension services and delivery of the incentives (non-monetary) and the impact of the support and transition processes will be monitored. An average of three years is estimated for a transition process to be complete.

Activities to be implemented:

- Provision of technical assistance services to the beneficiaries in order to achieve the conversion to sustainable agro-productive practices;
- Technical support in the elaboration of new IMP
- Provision of non-monetary incentives on an annual basis, upon compliance with IMP plans;
- Detailed monitoring of impacts and systematization of lessons learned during transition processes.

Output 2.2 Promote the coordination and implementation of existing tax incentives that will foster the transition to sustainable production systems

A framework agreement between SRI, MAE and MAGAP will be signed to promote the coordination and application of existing tax incentives that will allow the transition to sustainable production systems or work in favor of the environment and, more specifically, to reduce deforestation. The alignment of existing incentives with REDD+ will be assessed to reduce transaction costs and facilitate their application to change the behavior of economic agents or for production to be changed to more sustainable systems. The potential beneficiaries of these environmental tax exemptions will be informed about and

¹⁶ The ATPA integrates a set of MAGAP projects and programmes including: i) Land Project and SIGTIERRAS: Farm Integrated Management Plan and Land Allocation to Communities; ii) Coffee and Cocoa Reactivation Project; iii) Aquaculture; iv) 2KR Support Project for production infrastructure in communities; v) Sustainable livestock; vi) Technological Innovation, as a technical assistance for implementation; and vii) Production chains. See <http://www.produccion.gob.ec/transformacion-productiva/>

¹⁷ Chakra and Ajashuar are ancestral agroforestry smallholder farm systems that combines a number of crops and non-timber forest products (NTFPs). ATPA targets are 10% conversion to improved agroforestry systems; 38% semi-intensive agroforestry; 10% intensive agroforestry; 28% silvopastoral systems; and 13% forestry systems.

prepared to access these incentives. The staff of the SRI will be trained on issues of “green” taxation.

Activities to be implemented:

- Realize the modification to align incentives and taxes listed above to REDD+ objectives;
- Training of staff of the SRI on issues of green taxation;
- Information and training of potential beneficiaries of these environmental tax exemptions;
- Elaboration of 3 studies on the impact of tax incentives: Income Tax, Value Added Tax and Rural Lands Tax; these documents shall use inputs provided by MAGAP and other related studies.
- Training programs on green taxation to SRI, MAGAP and its affiliated institutions

Output 2.3 Adjustment of public credit lines dedicated to agricultural production, in order to promote more productive a sustainable agriculture and reduce impacts on deforestation.

The project will strengthen capacities of the financial institutions so that they can adjust financial products available to the agricultural sector so that they are more favorable for producers and encourage them to adopt sustainable production systems. GCF resources will not be used to capitalize credit lines. All the adjusted and new financial products will include criteria to improve productivity in already-deforested areas, in line with land-use planning and IMPs. With regard to livestock, the transformation of production will integrate economic, ecological, technological and institutional elements to convert marginally profitable and unsustainable pastures to other agricultural uses (preferably agroforestry systems). The project will support the development of criteria to improve productivity and sustainability of production processes.

Activities under this output will include:

- Developing criteria that allow farmers with approved IMPs to access more favorable financial conditions
- Training of staff of MAGAP and BanEcuador on deforestation impact of existing credit lines.
- Capacity building to financial institutions on technical criteria for establishing new credit lines that promotes sustainable production practices and monitoring the use of credit for sustainable production systems;
- Adjustments and implementation of credit lines by MAGAP technicians and financial advisors, together with the smallholder farmers, which are conducive to encouraging producers/farmers to adopt sustainable practices. This information is passed to the credit unit in MAGAP’s central office which will, in turn, pass this information to Ban Ecuador and other credit agents to evaluate the financial feasibility of the credit.
- Promotion and dissemination of designed public credit lines.
- Strengthen staff capacities in MAGAP for technical assistance in the submission of projects.

Output 2.4 Promote public and private procurement of deforestation-free products

The project will increase the number of public and private purchasers in Ecuador committed to the procurement of commodities free of illegal deforestation.

Activities to be implemented:

- Organization of knowledge exchanges on procurement policies for deforestation-free commodities, to promote the inclusion of responsible purchasing criteria of certified deforestation-free products in the procurement processes of an ever-growing number of public and private entities
- Creation of a catalog of objects and products free of deforestation, with the Ministry of the Environment, with commercial potential in the country;
- Investigation on biodiversity products (inventories, censuses, carrying capacity, mapping of actors) in areas prioritized by SBP, and assessment of their commercial potential;
- Signature of an inter-institutional cooperation agreement between MAE, MAGAP and SERCOP to promote the inclusion of responsible purchasing criteria and certified deforestation-free products in all public procurement processes.
- Policy advice and promotion of best practices in sustainable commodities production.
- Organization of markets and fairs, and support producers with the implementation of the Alternative Markets methodology in order to incentivize private sector entities to undertake sustainable procurement,
- Development of a new Certificate of Origin for Amazonian products coming from diversified systems of deforestation-free production, in coordination with relevant stakeholders and public institutions. The certification (result of a process that guarantees traceability) will be promoted among local supermarkets to ensure commercialization of these products. A marketing campaign through mass media will take place to promote their consumption.

Output 2.5 Certification and traceability of deforestation free products

The project aims to support the following certification schemes:

- For international market, 'Marca País' (Country Brand) is a national-level initiative launched by the Ministry of Foreign Trade that seeks to promote high-quality products for export. 'Marca País' does not yet include certification criteria for cacao, coffee or palm commodities and their related by-products.
- For domestic market, 'Punto Verde' is a national-level certification scheme launched by MAE that recognizes good environmental practices in the industrial and service-providers sectors. 'Punto Verde' encourages the public and private sectors to employ new and better production and service practices. It serves as a tool to promote competitiveness in industry and services, committing them to protect and conserve the environment. However, 'Punto Verde's certificate is not linked with deforestation-free commodities produced through the Integrated Farm Management Plans, and capable of ensuring their traceability.
- Good Agricultural Practices Certification (BPA), is a voluntary and free of charge certification scheme that have developed 28 good practices guidelines for agriculture and livestock. These guidelines set standards and technical recommendations for different production stages. The BPA is looking forward to being a tool that promotes the export of quality products and it is currently looking to harmonize requirements with GLOBALG.A.P certification.
- Roundtable on Sustainable Palm Oil (RSPO) certification have a set of principles and criteria that seek to ensure the respects of indigenous communities labor rights, that new areas of high environmental value are not intervened and that biodiversity is not threatened, as well as promoting cleaner agricultural practices. By encouraging the adoption of RSPO principles in the palm oil sector, it is expected to increase land use efficiency, reduce environmental and social impacts, and halting the expansion of this crop to areas of native forests.

The lack of certification and traceability for deforestation-free agricultural products impedes the procurement of deforestation-free products. Current private certification schemes cannot guarantee that supply chains are deforestation-free. The absence of traceability systems to support certification translates into a perception that the costs of certification for the individual private producer outweigh the benefits (especially for small producers). Moving upscale from farm-level certification to a landscape-level certification, will shift the certification burden from the producer, thereby generating economies of scale and greatly reducing transaction costs. ATPA and its related integrated management plans (IMP) support farmers to transition to deforestation-free production. They will foster sustainable production that aligned to the 'BPA', 'RSPO', 'Marca País' and the 'Punto Verde' certification schemes, but are currently uncoordinated with them.

The GCF project will help to strengthening national standards for deforestation-free production and traceability mechanisms for 'Marca País', 'Punto Verde' and 'BPA', linked with the Farm Integrated Management, the project will set up a strategy to articulate with each other and integrate these certification schemes into a coherent package that will foster i) sustainable production, ii) access to tax incentives, iii) promote commercialization in local markets and iv) increase competitiveness in international markets. These standards will be developed together with the private sector and will define the guidelines that industry will have to follow to obtain any of these certifications.

The certification schemes will be generated at two different levels:

- i) Deforestation free agricultural commodities coming from sustainable production in line with the IMP. For these products, MAGAP will be in charge of ensuring the traceability. The GCF project will support the inclusion of deforestation-free certification in the production of various commodities, such as livestock, cocoa, coffee, and palm oil; and will explore the commercial potential of other Amazon products. It will support farmers in having their products certified and marketed under these labels, and will directly affect at least 45,000 hectares, in grassland and upper basin areas, particularly close to forest areas with high potential risk of deforestation. The project will also support MAGAP ensuring a proper harmonization between 'Punto Verde', 'Marca País' and the 'BPA'. Therefore, AGROCALIDAD who has the role of monitoring the quality of agricultural and livestock products, will be able to ensure that the traceability of products is verified. In the case of certifications, MAGAP will support beneficiaries to comply with all requirements to obtain at least one of the certifications related to this output.

The project will support the implementation of a regional RSPO certification in the Amazon. This certification will cover at least 10% of the palm oil production in the country, and will act as a referent for the implementation nationwide. The regional certification is an improvement in the competitiveness of the sector at the international level, and in turn promotes the care of the environment, so it is presented as part of the solution to avoid further deforestation caused by the expansion of the agricultural frontier of the palm oil sector.

- ii) Deforestation free products coming from the forest. For those products, the MAE will ensure the traceability

process in coordination with the National Forestry Monitoring System. The Under Secretariat of Natural Heritage (SPN) will design and pilot processes for forest-friendly certification which will create synergies with the National Forest Monitoring System. This will be done through internal coordination meetings, minutes of agreements and the establishment of a critical road map for compliance.

Eventually, the project will support supply and demand studies and analysis linked to agroforestry (coffee, cocoa, and milk, timber and non-timber forest products), while at the same time creating marketing strategies for each specific sectoral brand (coffee, cocoa and palm oil) , including the support to private-public partnerships for promoting deforestation-free productions. Additionally, it will work with the Ministry of Foreign Trade to increase exports of deforestation-free commodities within the framework of the ‘Marca País’ initiative, promoting the differentiation of the exportable supply of Ecuadorian commodities through appropriate country and sectoral brand marketing strategies. This marketing effort should improve foreign market access for private producers, thus creating new revenues or protect existing market share by increasing the appeal of existing products. During year 1 of implementation, MAGAP will commission a study to define the exact location, crop-type, size, construction costs and other technical specifications for the construction or the restructuring of collection centers that are needed as part of the traceability processes, price differentiation and the improvement of the production supply. They shall be installed in the northern Amazon and Central-South Amazon.

Indicative activities will include:

- Definition of standards for deforestation free commodities production in coordination with the institutions that have the authority.
- Integration of these standards into Marca País, Punto Verde and BPA, and ensure a proper link with international certifications such as RSPO and GLOBALG.A.P, when needed.
- Strengthening of the traceability systems for deforestation-free production in relation to cacao, coffee, palm and cattle production (meat and milk), to be linked with the IFM plans and the NFMS.
- Develop national standards for deforestation-free production and traceability mechanisms for ‘Marca País’, ‘Punto Verde’ and ‘BPA’, linked with the Farm Integrated Management Plans.
- Set up a strategy to complement and articulate between certification schemes and avoid duplicity.
- Promote inter institutional agreements between relevant stakeholders, MAE, MAGAP, MIPRO, MCE and others for the establishment of platforms for deforestation-free goods.
- Strengthening institutions and producer’s capacity in understanding and implementing the deforestation free standards and the corresponding certification schemes and traceability system.
- Support producers in getting certified, in complying with the requirements of the standards of a specific certification.
- Support supply and demand studies and analysis linked to agroforestry.
- Create marketing strategies for each specific sectoral brand (coffee, cocoa and palm oil) and other Amazon products with commercial potential.
- Support the implementation of a regional RSPO certification in the Amazon.
- Construction and/or Improvement of collecting centers that comply certification requirements.
- Establishment of private-public partnerships for promoting purchasing of deforestation-free commodities.
- Development of a strategy to support commercialization of deforestation free products to national and international markets.
- Support the implementation of the National System of Traceability of forest products.
- Implementation of a campaign to promote the regularization of land within the areas of intervention of the SBP and GCF project, as an important element related to certification and traceability.

COMPONENT 3. FINANCIAL AND NON-FINANCIAL MECHANISMS FOR RESTORATION, CONSERVATION AND CONNECTIVITY

Output 3.1 Strengthen conservation, restoration and forest management processes driven through the Socio Bosque Programme

The project will support the expansion of SBP outside of its former areas of intervention, specifically in areas that are under threat of deforestation and that have been prioritized in the REDD+ AP, in three main areas: a) North zone – buffer areas of the national protected areas Cofan-Bermejo, Cayambe Coca, Antisana and Sumaco- Napo Galeras. (78.000 ha approx.) b) Central zone – buffer areas within Pastaza Watershed between Llanganates and Sangay national park (30.000 ha approx.). c) South zone – buffer areas of Podocarpus national park and SB conservation areas along the provinces of Loja and Zamora (65.000 ha approx.). The project will strengthen and expand the area of intervention of the Socio Bosque Program by 14,500 ha for conservation and 75,000 ha for restoration, i.e. a total of 89,500 additional hectares. Priority will be given to interventions in areas around the area of influence of protected areas, in order to maintain and foster connectivity

between ecosystems.

To strengthen conservation, restoration and forest management through the SBP, criteria and activities between the SCC and the SPN will be defined and implemented using the information generated by the UN-REDD Joint National Programme. In SNAP buffer zones, protective forests and vegetation, IMPs and Life Plans will be used to guide interventions in coordination with the National Directorate of Biodiversity. SBP will be the mechanism to reach out to beneficiaries located in prioritized areas. Both conservation and restoration of ecosystem services will be included in Life Plans and IMPs in these areas to enable the transition to sustainable production systems.

Activities to be implemented:

- Signature of new contracts in geographical areas not already covered by the SBP and prioritized in the REDD+ action plan.
- Support the implementation and monitoring of these new contracts.
- Strengthen the financial sustainability of the SBP, by analyzing options such as prioritizing future REDD+ results based payment towards this program, as well as any other options.
- Adjust the management model of the SBP to incorporate REDD + criteria and objectives, to be ratified via a new Ministerial Agreement.
- Generate protocols which contribute to the creation and strengthening of biological corridors in areas greater than 4 hectares.
- Strengthen capacities of the technical staff of the SPN in agroforestry and agro-ecological techniques, to encourage the scaling up of reforestation initiatives.
- Capacity building and technical assistance to the beneficiaries of the SBP for the implementation of business plans under the updated management model of SBP.
- Strengthening IT systems of the SPN, to collect input of field information.
- Analyze physical and mechanical properties of wood in forests.

Output 3.2: Strengthen mechanisms for integrated water resource management in the watersheds located within prioritized areas

This output will support three Water Funds (FONAG, FONAPA and FORAGUA), in coordination with the Water National Authority (SENAGUA), to implement specific climate change mitigation activities (as described in the Water Funds Implementation Plans Annex 19) and increase the number of initiatives contributing to forest conservation and restoration in prioritized REDD+ areas, through the implementation of policies and measures as defined by the REDD+ AP, and following the criteria of the Funds. Hence, this output is specifically focused on protecting forests and restoration of surrounding areas in watersheds, which contributes directly to component 4, “Conservation and Restoration”, of the REDD+ AP, which sets actions for biodiversity conservation, management of water resources and ecosystems, and restoration and reforestation.

Activities to be implemented:

- Signature of inter-institutional cooperation agreements between MAE, SENAGUA, water funds, the municipal GADs and jurisdiction in these river basins.
- Definition of technical and legal criteria for issuing environmental legal ordinances and determining economic financial contributions by water consumers.
- Monitoring of quality and quantity of water, reforestation, ecosystems restoration, sustainable management of forests, and land-use planning through Technical Secretariats which coordinate this work with the Parish GADs and other members of the Water Funds, in agreement with SENAGUA and with the participation of the technical Secretariat of the agency of regulation and control of water.
- Annual reporting to MAE from the 3 water funds, demonstrating how GCF funds have contributed to supporting implementation of REDD+ actions in the watersheds.
- Determine areas of protection to intervene in watersheds, complying with the Legal Norms established in the LORHUYA, with MAE, SENAGUA and Water Funds
- Support water funds, GADs and landowners on the signature of water conservation agreements (AMAs).
- Capacity building for GAD’s, water supply companies, and hydroelectric companies.
- Strengthen patrol activities in coordination with GAD’s, water companies and hydroelectric companies, and create a network of rangers or environmental promoters who comply with a standard database of records and reports.
- Support systematization of information generated for forest monitoring.
- Implement passive and active ecosystems restoration in the intervention areas.
- Implement ecosystems conservation in new areas as well as areas already managed by the water fund(s).
- Implement environmental education activities and sustainable production and management workshops, aimed at

- the communities of the watersheds;
- Investigation about ecosystems services for improving management of these watersheds;
- Implementation of the results of the analysis on financial sustainability, realized by the water funds, in coordination with SENAGUA.

COMPONENT 4. OPERATIONALIZATION OF REDD+ SYSTEMS (SAFEGUARDS AND FOREST MONITORING) AND NATIONAL REDD+ FUND

Output 4.1 Support the implementation of the Warsaw Framework for REDD+ and other operational processes

This output will support the establishment of an integrated information system for the implementation of REDD+, including the NFMS, the management information system for the measures and actions prioritized in the REDD+AP of Ecuador, as well as the GHG inventory system and the Safeguards Information System (SIS), which corresponds to the Operational Components of the REDD+AP. These systems exist, but have not been fully institutionalized, are only partially operational, and are not currently interconnected. The project will support the integration of these systems to ensure timely and coordinated efforts among the different institutions in order to facilitate reporting to the UNFCCC. The Food and Agriculture Organization (FAO) will provide technical assistance and support on the implementation of this output, to ensure continuity to the current activities in the framework of the UN REDD Targeted Support project.

Activities to be implemented:

- Operationalization and automatization of the management information system for the measures and actions prioritized in the REDD+AP of Ecuador
- Operationalization and automatization of the SIS
- Training of MAGAP, water funds, GADs and other entities involved in the implementation of the project about the Cancun safeguards and the SIS defined by Ecuador to report on how safeguards are addressed (legal and regulatory frameworks) and respected (enforcement of these frameworks)
- Capacity building to stakeholders in how to submit and report information to the REDD+ information systems.
- Elaboration and submission of new summaries of information on safeguards, prior to requesting REDD+ RBP
- Elaboration and submission of a new iteration of the FREL, to integrate other REDD+ eligible activities
- Elaboration and submission of the REDD+ technical annexes, in parallel with the elaboration of upcoming BUR
- Integration of the traceability systems with the NFMS
- Articulation of the management information system for REDD+ actions and measures with the NFMS, GHG Inventory System and SIS.
- Articulation of the National forest monitoring system with other monitoring systems to ensure reliable and coordinated data
- Support of inter-institutional and multi-level coordination platforms such as the inter-institutional Committee on Climate Change (*Comité Inter-Institucional de Cambio Climático – CICC*), and the national REDD+ steering committee in charge of supervising the implementation of the GCF and the GEF-Ecuadorian amazon projects, as well as potentially the upcoming FIP, REM and other REDD+ related supports.
- Strengthen dialogue and dissemination of REDD+ related activities through platforms such as the REDD+ work group (*mesa de trabajo REDD+*) and others.
- Design and implementation the communication and capacity building strategy as described in the operational components #4 and #5 of the REDD+ AP.
- Strengthening the technological infrastructure to support the consolidation of the systems of sustainable production and its monitoring.

Output 4.2 Operationalization of the financial architecture of REDD+ AP

GCF funds will be used to support the operationalization of the Environmental National Fund. The project will pilot the distribution of funds through different funding windows and different entities involved in the implementation of the REDD+ AP, such as MAGAP, the GADs, the PSB and the Water Funds. MAE will be responsible for administrative actions related to the establishment of the National Environmental Fund. Note that GCF resources will not be used to capitalize the Fund.

GCF funds will also support the creation of an inter-institutional and multi-level platform to promote proper coordination between management instruments with land-use planning guidelines and the different financial and non-financial incentives. This will include the following entities: MAE (SCC, SPN), MAGAP (ATPA, SSTR), SRI, SENPLADES, ECORAE, municipal and provincial GADs, production sector enterprises, indigenous peoples and communities. MAE will lead the implementation of this platform in a strong coordination with SENPLADES and other entities with the competence. Eventually, with the GCF project, a national entity will be accredited by the GCF to manage the National Fund to obtain

and receive results-based payments. This a key output to ensure the full transition of Ecuador from Phase 2 to Phase 3 of REDD+. Future REDD+ Results Based Payments (RBP) will in turn be used to co-finance the REDD+ AP, as an iterative process allowing progressive expansion of its coverage and sustainability. This arrangement is consistent with UNFCCC COP Decision 10/CP.19.

Activities to be implemented:

- Support establishment of financial mechanisms to channel REDD+ resources through the new environmental National Fund
- Support for the accreditation of a national entity to the GCF.
- Elaboration of annual reports on the implementation of REDD+ actions and measures, through the management information system for REDD+ actions and measures, including GCF funds and other co-financings of the REDD+ action plan.
- Assistance and capacity building in following up and implementing the financial strategy for the REDD+ Action plan, including working to engage the financial sector in REDD+, continue the work on fiscal incentives and REDD+ complementarities and exploring other financial complementary options for REDD+ implementation.
- Assistance in identifying private investment opportunities for the implementation of the REDD+ Action Plan, including co-financing opportunities

ii. PARTNERSHIPS

The table below provides a list of partners, their roles and expected contributions.

Partners	Responsibilities of the partner in the project's implementation and other initiatives this partner is implementing that contribute towards the achievement of this project. (Detailed responsibility during the implementation of the GCF project-s outcomes and outputs are described in the section on expected results page)
Ministry of the Environment (MAE)	Implementing Partner of the project, and through the Undersecretary of Climate Change (SCC) coordinating with the Undersecretary of Natural Heritage (SPN). Chair of the Project Board. Will convene stakeholders to engage them in project planning and implementation processes. Will co-lead project implementation in coordination with other entities involved.
Ministry of Agriculture, Livestock, Aquaculture and Fisheries (MAGAP)	Responsible Party of the project. MAGAP leads the Amazonian Productive Transformation Agenda (ATPA_MAGAP). Member of the Project Board. 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).
National Secretariat for Planning and Development (SENPLADES)	The project will coordinate with the SENPLADES Zonal Under-secretariats in activities related to the elaboration and updating of PDOTs, creation of an online tool to articulate the different PDOTs and life plans, and the capacity building processes related to these themes. PDOTs will follow SENPLADES regulations and guidelines. Will participate in the Technical Committees as relevant depending on the agenda and key matters to discuss.
Ministry of Foreign Trade (MCE)	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). Will participate in the Technical Committees as relevant depending on the agenda and key matters to discuss.
Decentralized Autonomous Governments (GAD): provinces, communes and Parish	Will participate in the elaboration of PDOTs, including REDD+ provisions, and in the articulation of the different levels of PDOTs. Beneficiaries of the training programs on PDOT, REDD+ and sustainable production, as well as the strengthening of their extension services to promote the adoption of best practices within their territories. Will participate in the Technical Committees as relevant depending on the agenda and key matters to discuss.
BanEcuador and CFN	Will receive training in sustainable finance; participate in the revision of credit lines to mainstream environmental sustainability criteria for productive agriculture. Dissemination of information on new credit lines for sustainable production and technical assistance to producers to access financing. Will participate in the Technical Committees as relevant depending on the agenda and key matters to discuss.
SENAGUA	Will endorse the activities related to conservation and protection of water resources. Will participate in the definition of prioritized areas of intervention within the Project target areas. Through the Water Regulation and Control Agency (<i>Agencia de Regulación y Control del Agua</i>)

	-ARCA), SENAGUA will monitor the quality and quantity of water within the intervention areas. Finally, will develop the collection mechanisms and distribution of the Water Tariff. Will participate in the Technical Committees as relevant depending on the agenda and key matters to discuss.
Water Funds (FONAG, FORAGUA and FONAPA)	Responsible Parties of the project, will be in charge of implementing the output 3.2. Will monitor the quality and quantity of water, reforestation, ecosystems restoration, sustainable management of forests, and land-use planning through Technical Secretariats which coordinate this work with the Parish GADs and other members of the Water Funds, in agreement with SENAGUA and with the participation of the technical Secretariat of the agency of regulation and control of water. Will participate in the Technical Committees as relevant depending on the agenda and key matters to discuss.
Food and Agriculture Organization (FAO)	Will provide technical assistance to the implementation of the REDD+ national systems, such as National Forest Monitoring System, Safeguards Information System, Forest Reference Emissions Level, development of the second Biannual Update Report.
National Tax Service (<i>Servicio de Renta Interna - SRI</i>)	Will provide the necessary backstopping for the adjustments of existing tax incentives or creation of new taxes incentives, as well as in application of all the existing ones. Will participate in the Technical Committees as relevant depending on the agenda and key matters to discuss.
Ministerio de Produccion (MIPRO)	As MIPRO has the competences on production activities, will support MAE and MAGAP to foster the commercialization of deforestation free products. Will participate in the Technical Committees as relevant depending on the agenda and key matters to discuss.
Private sector	It is expected that private sector will be gradually involved during the implementation of the GCF project, including but not limited to the main national and international buyers of agricultural commodities such as palm, coffee and cacao, as well as cattle, milk and cheese. One of the objectives of the project is to foster public-private partnerships to promote the trading of deforestation-free agricultural and forests products, in compliance with the free trade agreement signed between Ecuador and the European Union, and in the NY and Amsterdam Declarations on forests. Will participate in the Technical Committees as relevant depending on the agenda and key matters to discuss.
REDD+ Work Group (Mesa REDD+)	It will be supported by the project and will serve as a platform to supervise and monitor the implementation of the REDD+AP, and provide feed-back to the MAE on ways for improving effectiveness of support. Will participate in the Technical Committees as relevant depending on the agenda and key matters to discuss.
Indigenous communities	Will be responsible for implementing actions in their territories, for instance their Life Plans articulated to the Land Use Plans. Will participate in the Technical Committees as relevant depending on the agenda and key matters to discuss.

iii. STAKEHOLDER ENGAGEMENT:

During the national and local consultations for the elaboration of the REDD+AP, hundreds of stakeholders, including indigenous communities and small farmers, actively discussed the best ways of addressing the drivers of deforestation. Results of these consultations have been consolidated into the national REDD+ AP and the GCF Funding Proposal. They have also been discussed by members of the REDD+ Work Group. Information and training will be provided so that participants are properly informed before they decide to opt-in.

The project's Environmental and Social Management Plan provides a strategy, methods and a timetable for sharing information and consulting with stakeholders (see Annex 5b). It also describes resources and responsibilities for implementing stakeholder engagement activities. Specific provisions of the plan are noteworthy here:

- Project activities will be undertaken in a participatory manner, ensuring Free Prior and Informed Consultation processes when required, aiming to get indigenous people's consent when applicable.
- On-the-ground activity in Indigenous Lands will be undertaken where the respective Indigenous Peoples (IPs) have indicated willingness to participate to the SBP and ATPA, as well as in other territories prioritized for REDD+ implementation, using incentives to implement sustainable-use, conservation and restoration activities according to their life plans.
- Socio-Bosque Program already includes indigenous lands and has gradually developed a strong framework for

holding consultations with IPs prior to their participation. Further consultations will be made during the implementation of the project to fine-tune on-the-ground action.

These consultations will be fully compliant with a human rights based approach, and the principles of accountability and rule of law, both national and international. Active participation in project activities will be voluntary and provisions have been made to increase understanding and buy-in, as this is crucial to increase the feasibility, effectiveness and social sustainability of the actions proposed.

The REDD+ Work Group, which agglutinates representatives from different sectors (academia, agriculture production, indigenous people, civil society organizations, organizations of women and youth, etc.) has been instrumental during the elaboration of the REDD+AP. It will be supported by the project and will serve as a platform to supervise and monitor the implementation of the REDD+AP, and provide feed-back to the MAE on ways for improving effectiveness of support.

iv. MAINSTREAMING GENDER:

The REDD+ Action Plan of Ecuador acknowledges the importance of gender equality and explains how gender issue will be taken into account during the implementation of the REDD+ measures and action, including those supported by the GCF. Basically, gender is not treated as an isolated component of the budget and project, because of its centrality to any REDD+ intervention. Instead, gender is mainstreamed across all the components. Different studies on gender have been produced during the REDD+ readiness process and their conclusions have been taken fully into account in the design of the REDD+AP and the GCF project. Annex 6 provides further details on gender analysis and mainstreaming related to GCF funded activities. Thanks to these studies, the following actions have been identified and will be supported through the implementation of the REDD+AP and the GCF project:

- Promoting the participation of women in the areas of national and local participation and decision-making associated with the implementation of REDD+, according to their circumstances and considering gender roles and arrangements.
- Establishing a development plan for women's capabilities associated with their participation in different measures and actions.
- Identifying and generating measures and incentives to promote the participation of women and youth in productive transformation processes, such as agroforestry systems, in the context of the causes and agents of deforestation, and the enhancement of other environmental and social benefits.
- Identifying and promoting opportunities that will enable the integration of the knowledge, skills, abilities and experience of women in the implementation of REDD+ policies and measures.
- Involving female producers and members of women's associations in the process of transition to sustainable production systems and initiatives related to harvesting NTFP, according to the role they have and the opportunities identified for their insertion into the value chain.
- Promoting the full participation of women in the areas of environmental and natural resource management.
- Promoting equal participation of rural women in the management and protection of watersheds and water sources.
- Promoting equal opportunities for women producers, through training programmes, strengthening leadership, and through incentives of various kinds, including those of a technological nature.
- Promoting, strengthening and improving the access of rural women to the means of production and marketing, giving special consideration to agro-ecological practices, traditional or ancestral, and those that conserve biodiversity and environmental services.
- Ensuring that the mechanisms of the allocation of local resources from REDD+ use sex-disaggregated data, looking for women to participate in the benefits of the implementation of the REDD+ policies and measures.

v. SOUTH-SOUTH AND TRIANGULAR COOPERATION (SSC/TRC):

Opportunities for S/S cooperation lie in fostering a common understanding of the forms of this engagement with donors and commodity buyers across countries. Ecuador will lead the way and learn by doing. Information will be shared internationally at meetings and conferences when possible. UNDP will also distribute results to other countries where programming supports REDD+ efforts. More specifically, Ecuador will:

- Build confidence in UNFCCC processes by demonstrating the link between Ecuador's successful implementation of its National REDD+ AP and the early achievement of measurable and reportable results, in terms of tCO₂e, that can be eligible for REDD+ Results-Based Payments. As such, it will provide a model for moving from phase 2 towards phase 3 of REDD+ that can be replicated by the GCF in its engagement with other countries.
- Demonstrate that sustainable commodity supplies chain initiatives, domestic policies and finance, and

international finance for REDD+ can be integrated into a coherent package of PAMs, completely in line with the objective of a central Government. It will provide a model for these types of engagement such that other developing countries can adopt them.

vi. KNOWLEDGE:

Knowledge Management (KM) is fully embedded into the REDD+AP, as one of its Operational Components. The project will contribute to its implementation. KM systems and tools will be developed, including an online platform that will be part of the Unified Environmental Information System (SUIA), to meet country needs and facilitate the systematization of, and accessibility to, knowledge by decision-makers, technicians, beneficiaries, donors and other relevant stakeholders. Lessons learned will be captured periodically, as indicated in the monitoring framework of the project.

V. FEASIBILITY

i. COST EFFICIENCY AND EFFECTIVENESS:

The project promotes cooperation and complementarity with public sector projects that are being implemented or are under negotiation, thus creating integration. Also, the project will promote public policies that allow the private sector to adopt procurement policies for deforestation-free and environmentally responsible products, thus creating access to markets and price differentiation.

The project design and budget builds on more than six years of preparation for REDD+ and sustainable forest management. This provided official and validated information and a comprehensive set of studies that facilitated the quantification of the measures and actions in this proposal. These studies include, among others, the assessment of the drivers and agents of deforestation; the forest reference level from deforestation; studies on multiple environmental and social benefits; opportunity costs of land-use change; and the costing of REDD+ implementation. These have allowed Ecuador to design a REDD+ AP with concrete and costed measures and actions that are ready for implementation.

UNDP, as the GCF accredited agency, will ensure transparency and the proper use of the allocated resources, according to the approved document, by using multi-annual and annual planning tools defined under the project governance structure. In addition, Ecuador has the legal and institutional framework to ensure accountability and transparency in the management of funds, based on results, subject to planning and complementarity with the mobilized co-financing for this initiative, generating savings, optimizing resources and creating synergies for a sustainable forest management.

With the US\$41.17 million investment from the GCF, US\$41.83 million will be leveraged from a range of institutions, including the National Government. This corresponds to a 1:1 ratio in resource leverage. While not directly leveraged by GCF funding, complementary financing sources under joint programming are being mobilized from the KFW-REM, FIP and the Ministry of Foreign Trade currently stand at US\$74.76 million.

The estimated cost per tCO₂eq, defined as total investment cost / expected lifetime emission reductions is US\$ 5.53 / tCO₂eq when considering the GCF contribution and the associated co-finance. However, this estimate must be taken with a grain of salt as attribution of reduced emissions from deforestation to a single policy or measure is flawed in the context of REDD+ for multiple reasons. Studies undertaken in Ecuador indicate that the estimated cost per tCO₂ can vary significantly depending upon the national development scenario (i.e. basically the financial and economic capacity of the Government and of the economic stakeholders to implement their respective policies and plans), the level of ambition of the country to reduce its emission from deforestation at the national level, the opportunity costs which are affected by external factors, and the transaction and implementation costs.

The project will also enable further leverage of investment in the long term. In terms of fiscal resources, the NCCS, and its associated REDD+ AP, is being executed by MAE, financed by tax resources from the State's General Budget. Moreover, as part of REDD+ implementation the possibility of creating an entity that will take over REDD+ management at a technical and operational level is currently being explored. Finally, to ensure closure of the financing gap, Ecuador will maintain an active role in international fora that will allow the country to access climate financing on appropriate terms for the country and on a competitive basis compared with other available financing.

Expansion of agriculture and ranching is the main driver of deforestation in Ecuador. If farmers' livelihoods are improved through productivity, if quality increases on existing farmland, and if barriers are created to avoid expansion of the agricultural frontier (land zoning, social control, traceability, etc.), then farmers will have much less incentive to clear new

land. The project will support a number of agricultural practices through various means (incentives, agricultural extension services, support to associations, and access to markets). In all cases, the project will ensure that best practices are applied. Best practices for cacao production, cattle ranching, recuperation of grasslands, silvo-pastoral and agricultural systems are summarized below:

- **Cacao produced using modern techniques integrated within the traditional ‘chacra’ system.** Chacra (the local word for a smallholder farm system) combines a number of crops as well as non-timber forest products (NTFPs). It is a resilient and diversified production system, but productivity is low and often fails to provide smallholders with adequate income to lift them out of poverty. The best practice is to integrate cacao into the chacra system, which will increase productivity to produce double or even more, and will provide better prospects than monoculture because cacao can be complemented by other crops. The introduction of timber shade trees can also benefit the chacra, growing into a significant asset over a lifetime and bringing considerable revenue from the sale of timber in the long-term.
- **Improved traditional cattle ranching practices.** Livestock production is usually very inefficient, both in the case of large and small producers. Many farmers have only one cattle head per hectare, and cattle typically compact lands and overgraze, significantly reducing grassland productivity (impeding the regeneration of fresh grass). The best practice that will be supported by the project is to divide the participating farms into many (20, 30 or more) small lots and circulate the cattle daily, as well as to improve the quality of grass with improved varieties and fertilization. In this way, cattle will not overgraze and compact land, and will gain weight more rapidly and produce better quality milk. Ranchers can sustain up to 4-5 head of cattle per hectare with this system.
- **Silvo-pastoral systems.** The proposed best practice is to transform unproductive cattle producers into much more productive timber producers, where cattle revenues provide farmers with a constant cash-flow while the trees grow. Trees provide shade to the cattle, reduce heat stress, maintain soil moisture and allow grass to grow faster in some instances. In summary, silvo-pasture systems provide the opportunity to simultaneously reduce encroachment by raising efficiency on existing farms, and also to reforest production landscapes.
- **Agroforestry systems:** The proposed best practice is for tomato de árbol, granadilla, bananas, plantain, citrus, mango, avocado, coffee, cocoa and palm production to be made more sustainable by diversification through the use of native shade tree species. The shade trees can provide fertilization in the case of leguminous tree species, such as guabo (*Inga edulis*).
- **Recuperation of grassland.** Man-made grasslands can be turned into productive silvicultural or agricultural land for timber, palm oil, coffee or cocoa plantations. As grassland will often be compacted, the best practice is to use tractors to loosen the soil structure before planting crops or trees.

ii. RISK MANAGEMENT:

A full Risk Log has been prepared for this project (see Annex 14). The overall risk rating for this project is moderate. Six major risk areas have been identified and are highlighted here. Their potential impact and probability, as well as their respective mitigation measures are included in the Annex 14.

1. The project could potentially lead to adverse impacts on enjoyment of the human rights of the affected population and particularly of marginalized groups (indigenous people and poor farmers) because duty-bearers might not have the capacity to meet their obligations in the project or because rights-holders might not have the capacity to claim their rights.
2. The project will develop land-use plans to reduce the pressure on forest areas and increase protection of key forest fragments in the production landscape. Some of these land-use plans may place restrictions on existing and future land uses. Although the project does not envisage physical displacement, land-use restrictions may increase the possibility of economic displacement, especially for poorer and marginalized individuals who may not have resources to change current production practices.
3. The 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. Unless land use planning, regulation and enforcement activities supported by the project take into account sustainable practices and harvesting limits as well as climate-resilient interventions, there may be adverse effects on conservation values of these areas and/or increase vulnerability to CC of production sectors and local communities.

4. The project depends on actions of multiple stakeholders, ranging from different national line ministries, local governments and agricultural producers and communities. Sub-optimal coordination, duplication and overlap of responsibilities between and within the different levels may undermine implementation.
5. There not a direct financial risk for the project; however, uncertainties with regard to future REDD+ results-based payments is a potential risk for the full implementation of the National REDD+ AP
6. Potential risks associated with land tenure in the project area.

As per standard UNDP requirements, the Project Manager will monitor risks quarterly 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 probability is 1,2,3,4, 5 or when impact is rated as 4 and probability is rated at 3 or higher). Management responses to critical risks will also be reported in the Annual Project.

7. SOCIAL AND ENVIRONMENTAL SAFEGUARDS:

The Cancun safeguards for REDD+ have been integrated through all the actions and measures prioritized in the REDD+AP of Ecuador. As requested by the UNFCCC under the Warsaw framework, a specific System of Information on Safeguards (SIS) has been elaborated, to be implemented in all the actions supported by the present project. Output 4.1 of this project will operationalize the SIS and support the Ministry of Environment in submitting summaries of information the UNFCCC to inform how safeguards are being addressed and respected during the implementation of REDD+ in the country, prior to seeking REDD+ Result Based Payments.

Additionally, a specific project Environmental and Social Management Plan (Annex 5 b) has been prepared for this project, based on a social and environmental screening procedure (see Annex 5 a). A detailed social and environmental impact assessment will be realized during project implementation.

Social and environmental complaints by communities and people affected by the project can be submitted to UNDP's Social and Environmental Compliance Unit (SECU). SECU will respond to claims that UNDP is not in compliance with applicable environmental and social policies. Complaints can be submitted by e-mail to project.concerns@undp.org or the [UNDP website](#). Project-affected stakeholders can also request the UNDP Country Office for access to appropriate grievance resolution procedures for hearing and addressing project-related social and environmental complaints and disputes. Environmental and social grievances will be monitored and reported in the Annual Project Report.

8. SUSTAINABILITY AND SCALING UP:

The expected long-term impact of the REDD+ AP (30 years) is to promote a shift to a low-emission rural development pathway in Ecuador. This will require substantial public investments in the creation of public goods for which grants are required in the short term (2016-2021). A progressively diminishing level of investment will be required in the medium-term to consolidate the institutional and technological changes induced by the project. This level of investment will be maintained in the medium-term by accessing RBPs from REDD+ and channeling these resources towards the successful PAMs. In the long-term, some of the public investments will no longer be needed as markets for commodities and agricultural technology and practices will be permanently transformed. It is most likely that investment in land zoning enforcement and forest monitoring will need to be permanently supported through state budgetary resources. Additionally, the existence of a credible international mechanism to deliver RBPs could attract other sources of funding for this type of investment in the future.

Activities to ensure long term sustainability are embedded in the project components as described below:

- For Outcome 1, investments in reformulating PDOTs in targeted GADs will ensure the inclusion of forest mitigation actions over time, through policies, regulations and actions financed by public funds. The project will contribute directly to start-up processes and to their sustainability over time. The project will also contribute to improving coordination and alignment between PAMs implemented at the national and sub-national levels, in order to better protect the forests. This will result in a paradigm shift and will be supported after project closure by future REDD+ RBPs. It is expected to deliver capacity building among GADs staff in order to reinforce climate change, forestry and land use criteria for future updates to PDOTs and alignment between SENPLADES guidelines and REDD+ AP.

- For Outcome 2, the GCF contribution aims to overcome financial barriers towards sustainable production by delivering direct incentives to smallholder subsistence farmers. Direct incentives will be made through ATPA, which has a clear mandate to support reconversion from conventional to sustainable production in the long term. These activities will reinforce the proposed project activities, particularly on the demand-side with traceability processes, certification and responsible procurement. The operational and maintenance costs will be covered by the UPAs with the support of additional incentives to be designed during the project to ensure its sustainability. Furthermore, support for the inclusion of environmental criteria in existing credit lines and capacity building to relevant staff will institutionalize procedures to grant future credits with favorable conditions in the long term.
- For Outcome3, during the GCF's intervention and beyond, the strategy will be to reduce the incentives' dependency on fiscal funds by linking SBP beneficiaries with other productive activities supported by ATPA; this strategy will ensure a paradigm shift towards sustainable production after GCF intervention. Additionally, project will support SBP through consultancies to identify different options to strengthen its financial sustainability, such as for instance the definition of a potential permanent allocation of financial resources that will be collected from hydro-power users as a tariff in accordance with the National Water Resource Use Law and which will be assessed and validated by the Water Authority, as a first step to institutionalizing SBP as a stronger instrument of conservation policy and beneficiary of tax-derived income. Furthermore, SBP expects to receive additional funds from future RBPs and international agencies such as KfW and Agence Française de Développement (AFD), among others, that assure complementary financial support to SBP in the long term.
- For Outcome4, Ecuador intends to use public resources to finance the operational costs of the National Forest Monitoring System, the Safeguards Information System, MRV, capacity building and the management of measures and actions for REDD+. This will ensure the sustainability of these monitoring and information systems over time. The fund will have continuity under the general financial structure of MAE, and it will be replenished by other bilateral and multilateral funds. Other funds, such as KfW-REM, will be channeled through this financial structure. Ultimately the GCF contribution seeks to support the accreditation of a National Entity in charge of the financial mechanism in order to have access to future RBPs

Finally, the project management team will provide capacity building for MAE and strategic partners officials directly responsible for the management of this project as well help a national institution to become a GCF Accredited Entity to receive RBPs. This will not only comply with GCF requirements regarding project management, monitoring and evaluation, but will also lay the foundation for ensuring sufficient know-how to continue with key actions post-GCF funding.

9. ECONOMIC AND/OR FINANCIAL ANALYSIS:

A full financial analysis has been conducted for the project. Details can be found in [Annex XIIb](#) on the GEF pims database. Highlights are presented here.

The project has identified four economic benefits that have been quantified for the economic evaluation:

1. Greenhouse gas emission reductions (direct benefit). The value of emission reductions from deforestation is estimated based on potential future revenues associated with REDD+ results-based payments, valued at a conservative international prices of US\$5 per tCO₂ eq.
2. Water regulation (co-benefit). The main effects of the project are a change in the amount of precipitation in general and locally, as well as changes to the temporal patterns of the flows and reduced sedimentation. These have numerous positive impacts on hydro-electrical production capacity which have been estimated.
3. Biodiversity (co-benefit). The project will greatly contribute to habitat conservation, which is key for biodiversity. The value of nature tourism benefits flowing to the project areas was used as a proxy for the value of these biodiversity benefits. The geographical area included in the calculation are the areas of project intervention in buffer zones around protected areas that are at risk of deforestation (17,200 ha).
4. Poverty reduction (co-benefit). This is mainly achieved through increases in agricultural productivity and its impact on household income per capita (see Funding Proposal ¹⁸ Section E.4.2).

The economic evaluation is positive; results show that the project is economically profitable, since the ENPV is US\$181.5 million, the EIRR is 55.3% and the cost/benefit ratio is of 5. See Annex XII of the Funding Proposal for details.

¹⁸ <http://www.greenclimate.fund/-/priming-financial-and-land-use-planning-instruments-to-reduce-emissions-from-deforestation>

For sensitivity modelling, variations in the total costs and the total economic benefits have been combined inversely: i.e. where economic benefits are increased by 5%, total economic costs are reduced by the same proportion, and this exercise is performed with percentage variations up to 25%. This facilitates comparison of best and worst case scenarios. In all scenarios, the economic results of the project are positive. See Annex XII of the Funding Proposal for details.

VI. PROJECT RESULTS FRAMEWORK

<p>This project will contribute to the following Sustainable Development Goal (s): Directly: SDG#13 climate action, SDG#15 life on land Indirectly: SDG#1 end Poverty, SDG#5 gender equality, SDG#6 clean water and sanitation, SDG#12 responsible consumption and production</p>					
<p>This project will contribute to the following country outcome included in the UNDAF/Country Programme Document: 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>This project will be linked to the following output of the UNDP Strategic Plan: Output 1.3: Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste. Output 1.4: Scaled up action on climate change adaptation and mitigation cross sectors which is funded and implemented. Output 2.5: Legal and regulatory frameworks, policies and institutions enabled to ensure the conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems, in line with international conventions and national legislation.</p>					
<p>GCF Paradigm shift objectives: Shift to low-emission sustainable development pathways: The project will engender a shift to a low-emission sustainable development pathway by addressing one of the main emission sources of greenhouse gas emissions in Ecuador – that from deforestation and forest degradation. The project will develop a set of financial and market instruments for sustainable use of land through supply chain initiatives, domestic policies and finance, and will strengthen the financial sustainability of existing government programmes such as ATPA and PSB. These measures are priorities outlined in the National REDD+ AP for 2016-2025.</p>					
	Objective and Outcome Indicators	Baseline¹⁹	Mid-term Target	End of Project Target	Assumptions
SDG indicators²⁰	Indicator 13.2.1 Number of countries that have communicated the establishment or operationalization of an integrated policy/strategy/plan which [...] low GHG emissions development in a manner that does not threaten food production	Ecuador has defined a national action plan to reduce emissions from REDD+, but has not made it operational yet	Ecuador implements its REDD+ AP and reports Emission Reduction from REDD through the technical annex of its BUR 2020 ²¹	Ecuador implements its REDD+AP and reports Emission Reduction from REDD through the technical annex of its BUR 2022.	The constituencies of the NY Declaration of Forests and Amsterdam declarations, and the buyers of agricultural commodities, are complying with their commitments of removing deforestation from their supply chain by 2020, and

¹⁹ The detailed baseline, mid-term targets and end of the project targets which are not available now will be generated during the inception of the project and provided in the inception report.

²⁰ With regards to SDG 13, it is acknowledged that the United Nations Framework Convention on Climate Change is the primary international, intergovernmental forum for negotiating the global response to climate change. Therefore there is no SDG indicator directly related to reduction of GHG Emissions from Land use and forestry. This is dealt with in the Paris Agreement and the NDC of each country.

²¹ Due to the UNFCCC processes, the ER achieved by Ecuador during the period 2016-2018 and 2018-2021 will be monitored and reported to and verified by the convention respectively in 2020; and 2022.

UNDP Strategic Plan Indicators	1.3.A.11: total annual emissions of CO ₂ eq	FREL [2001-2008]: 43.418.126 tCO ₂ eq/y	7.64 million tCO ₂ eq (cumulative) emissions reduced between 2017-19	13.35 million tCO ₂ eq (cumulative) emissions reduced between 2017-21	are incentivizing deforestation free production in Ecuador. Besides, payments provided by the GCF for verified Emission Reduction (tCO ₂ eq) for REDD+ are predictable and sufficiently attractive to incentivize Ecuador in pursuing the endeavor of reducing emission from deforestation at the national level.
FUND LEVEL IMPACT:					
Fund level Impact: M4.0 Reduced emissions from land use, reforestation, reduced deforestation, and through sustainable forest management and conservation and enhancement of forest carbon stocks	a) M4.1: Emission reduction (tCO ₂ eq) as a result of REDD+ AP b) Cost per tCO ₂ e	a) FREL [2001-2008]: 43.418.126 tCO ₂ eq/y b) Tbd	a) 7.64 million tCO ₂ eq (cumulative) emissions reduced between 2017-19 b) Tbd	a) 13.35 million tCO ₂ eq (cumulative) emissions reduced between 2016-2021 b) US\$5.53 average per tCO ₂ e	The direct and indirect drivers of deforestation may evolve very rapidly. Several of them are strongly influenced by international factors such as, for instance, the price of the crude which directly impact the budget of the government, or the price of agricultural commodities, or the level of unemployment in urban and rural areas. They are not necessarily under the government control, and can all impact significantly the pressure on natural forests.
Fund level Impact: M5.0 Strengthened institutional and regulatory systems	M5.1 Number of policies, institutions, coordination mechanisms and regulatory frameworks that improve incentives for low-emission planning and development and their effective implementation	a) PDOTs include some environmental information but do not include actions for GHG emissions reduction. Besides, they are not really operational, and not articulated amongst them b) Life Plans include environmental information, but not actions for GHG emissions reduction. c) One institutionalized mechanism for a national dialogue on	a) At least 9 land-use planning instruments (PDOT, life plans) linked to land-use zoning and climate change mitigation objectives. b) At least 1 national mechanisms institutionalized and working (CICC and one related to deforestation-	a) At least 18 land-use planning instruments (PDOT, life plans) linked to land-use zoning and climate change mitigation objectives. b) At least 2 national mechanisms institutionalized and working (CICC and one related to deforestation-free commodities).	The results of the upcoming presidential election (March 2017) is unknown, and the priorities of the future government are still to be defined. If the attention toward environmental issues in general or the REDD+ AP decreases, as well as the budget allocations to programmes such as the ATPA and PSB, then the likelihood to maintain or increase the reduction of deforestation in

		climate change: Inter-institutional Committee on Climate Change (CICC).	free commodities).		Ecuador will be negatively affected.
Fund level Impact: M9.0 Improved management of land and forest	M 9.1: Hectares of land or forests under improved and effective management that contributes to CO ₂ emission reductions (cumulative of SBP, ATPA and Water Funds)	In total 1,713,879 ha: SBP has 1.48 million ha under conservation, 110,911 ²² for forest sustainable management, and 70,000 ha under restoration programmes; ATPA-MAGAP contributes to improved and effective management of Agroforestry systems in 7,260 ha; The 3 water funds in 83,201 ha.	In total 1,889,229 ha: SBP has 1.487 million ha under conservation, 177,027 ha for forest sustainable management, and 107,500 ²³ ha under restoration programmes; ATPA contributes to improved and effective management of Agroforestry systems in 30,000 ha; and the 3 water funds in 250,396 ha.	In total 2,025,318 ha: SBP has 1.5 million ha under conservation, 203,911 ha for forest sustainable management, and 145,000 ha under restoration programmes; ATPA contributes to improved and effective management of Agroforestry systems in 45,000 ha; and the 3 water funds in 285,823 ha.	Success factors (or risks): <ul style="list-style-type: none"> Continued political will from the institutions and stakeholders involved. New investments in strategic projects are aligned with the PDOTs and Life Plans in the intervention areas. Hypotheses: <ul style="list-style-type: none"> Lack of political will may slow the development or impede the approval or implementation of land-use plans. If strategic public and private investments are not aligned with PDOTs and life plans, then these instruments will lose credibility and effectiveness.
PROJECT OUTCOMES:					
Outcome 1: Investment in enabling policies to reduce the drivers of deforestation and its associated	Number of strengthened land-use planning instruments and life plans that have included climate change mitigation policies and actions.	<ul style="list-style-type: none"> Provincial PDOTs: 1 Cantonal PDOT: 1 Life Plans: 0 	<ul style="list-style-type: none"> Provincial PDOTs: 3 Cantonal PDOTs: 6 Life Plans: 2 	<ul style="list-style-type: none"> Provincial PDOTs: 6 Cantonal PDOTs: 12 Life Plans: 5 	Success factors (or risks): Political will from the highest authorities of the involved institutions and stakeholders. GADs and communities update

²² Data from SAF (corresponding to data from 2010 to 2016), with estimates for future areas based on projections and availability of funding.

²³ Actually, 70,000 ha have been reforested in Ecuador for conservation purposes. The MAE has the capacity to support reforestation processes on 15,000 ha per year. Midterm and final targets are estimated based on these data.

emissions.	inclusion of a national level, “Contents and Processes Guide for the formulation, development and land-use plans in provinces, cantons and parishes” <ul style="list-style-type: none"> • Provincial PDOT • Cantonal PDOT • Life Plans 	At a national level, the “Contents and Processes Guide for the formulation development and land-use plans in provinces, cantons and parishes” does not include CC guidelines: 0		At a national level, the “Contents and Processes Guide for the formulation development and land-use plans in provinces, cantons and parishes” will include CC guidelines.	their PDOTs and Life Plans. Hypotheses Lack of political will may slow the development or impede the approval or implementation of land-use plans If PDOTs and life plans are not update as planned, there will be no opportunity to include CC criteria.
	Number of legal coordination instruments at a national and territorial level for REDD+.	There are legal coordination instruments at a national and territorial level, but not for REDD+.	N/A	At least 5 legal coordination instruments and 6 inter-institutional agreements institutionalized and working at a national and territorial level for REDD+.	
Outcome 2: Implementation of financial and economic incentives towards the transition to sustainable production systems in non- forest areas.	# of ha transiting successfully to sustainable production systems in deforested areas.	7,260 ha, from which grassland: <ul style="list-style-type: none"> • Northern Amazon: 1,655 ha. • Central Amazon: 467ha. • Southern Amazon: 298 ha. 		At least 45,000 ha converted to sustainable production systems in the project’s prioritized areas.	Success factors (or risks) Producers maintain their commitment to the transformation to sustainable production. Will from private businesses to commit to responsible purchasing.
	Number of products with deforestation-free certification and traceability.	0		At least 4 products will have deforestation-free certification.	Hypotheses Given that participation is voluntary, if producers do not participate or abandon their commitment prior to consolidating the transition, then gains will be limited or impermanent.
	Existence of a national service for contracts (SERCOP) resolution that includes and prioritizes the procurement of deforestation-free products.	SERCOP resolution does not exist.		Existence of a SERCOP resolution: “purchase volumes will be measured to know the impact of this measure”.	

	Number of beneficiaries transiting successfully to sustainable production systems in deforested areas			75,000 direct beneficiaries have transitioned to sustainable production	If private companies do not commit to responsible purchasing, then there will be no demand-side incentives for producers and improved practices will remain highly dependent on Government incentives and policies.
Outcome 3: Financial and non-financial mechanisms for restoration, conservation and connectivity	<p>a) # of additional hectares receiving support from SBP for conservation, sustainable forest management and restoration</p> <p>b) # of additional hectares of Southern Dry Forests and Valleys under SBP</p> <p>c) # of hectares and % of total areas of watersheds managed by the 3 water funds, where REDD+ actions are implemented</p>	<p>a) 1.48 million ha, 110,911 million ha and 70,000 ha respectively.</p> <p>b) 4,000 ha</p> <p>c) The 3 water funds are implementing REDD+ actions in 83,201ha, representing 22 % of their total areas of intervention.</p>	<p>a) At least 7,250 ha, 66,116 ha and 37,500 respectively.</p> <p>b) 1,300 ha</p> <p>a) 250,396 ha, representing 66 % of total areas of intervention.</p>	<p>a) At least 14,500 ha, 93,000 ha and 75,000 ha.</p> <p>b) 2,750 ha</p> <p>a) 285,823 ha, representing 76 % of total areas of intervention.</p>	<p>The SBP maintains its previous commitments despite the reduction of government's budget.</p> <p>Forest owners remain interested in seeking SBP support for conservation, sustainable forest management and restoration programs.</p> <p>Local actors are interested in conservation, restoration and sustainable management activities in the area of intervention</p>
Outcome 4: Implementation of enabling instruments to reduce the drivers of deforestation and its associated emissions.	Number of enabling systems and instruments available	<p>a) Management system for REDD+ measures and actions is designed but not fully operational</p> <p>b) SNMF is operational but not yet institutionalized. REDD technical annex submitted with first BUR in 2016.</p> <p>c) SIS conceptualized and methodologically designed, and draft summary of</p>	<p>a) Management system for REDD+ measures and actions is operational</p> <p>b) SNMF is institutionalized and a second BUR with REDD annex is submitted to the UNFCCC in 2018.</p>	<p>a) Management system for REDD+ measures and actions is operational</p> <p>b) SNMF is institutionalized and a third BUR with REDD annex is submitted to the UNFCCC in 2020.</p> <p>c) SIS is operational and a third summary of information is</p>	<p>Success factors (or risks)</p> <ul style="list-style-type: none"> • Resource availability for REDD+ RBPs in compliance with the Warsaw Framework for REDD+. <p>Hypotheses:</p> <p>If RBPs for REDD+ do not materialize, the implementation of the Warsaw Framework requirements will no longer have a purpose.</p>

		<p>information on safeguards under clearance.</p> <p>d) FREL from deforestation submitted to the UNFCCC and assessed.</p> <p>e) The new environmental National Fund is under creation</p>	<p>c) SIS is operational and a second summary of information is submitted to the UNFCCC in 2018</p> <p>d) Improved activity data for FREL.</p> <p>e) The environmental National Fund is operational and manages REDD+ funds.</p>	<p>submitted to the UNFCCC in 2020.</p> <p>d) Improved FREL submitted to the UNFCCC in 2020 and assessed.</p> <p>e) The environmental National Fund is operational and manages REDD+ funds.</p>	
PROJECT OUTPUTS:					
1.1 PDOTs and Life Plans updated and implementation with CC criteria and actions.	Number of additional strengthened PDOTs and Life Plans that have included climate change mitigation criteria, policies and actions.	Provincial PDOTs: 1 Cantonal PDOTs: 1 Life Plans: 0	Provincial PDOTs: 3 Cantonal PDOTs: 6 Life Plans: 2	Provincial PDOTs: 6 Cantonal PDOTs: 12 Life Plans: 5	Entities and stakeholders involved in PDOT are convinced that PDOT can become useful tool of planning, are monitoring them, and are taking corrective actions when needed.
1.2. Local capacity building for supervision of land-use planning and zoning.	# of public officials and indigenous community leaders trained on monitoring land use plans and land use zoning, disaggregated by gender.	30 public officials and 20 indigenous community leaders, including 80% and 20% of men and women respectively	150 public officials and 100 indigenous community leaders, including 70% and 30% of men and women respectively	300 public officials and 350 indigenous community leaders, including 60% and 40% of women respectively	Monitoring of PDOT becomes compulsory and attribution of funds by SEMPLADES to provinces, cantons and parishes becomes contingent to the compliance with agreed upon PDOT
1.3 Strengthening forest control	<p>a) Existence of a certification of origin</p> <p>b) Existence of a forest traceability system</p> <p>a) c) # public officials in forest control points trained in forestry control, by gender</p>	<p>a) No</p> <p>b) No</p> <p>c) 64 persons, including 19 women</p>	<p>a) No</p> <p>b) No</p> <p>c) 81 persons, including 28 women</p>	<p>a) Yes</p> <p>b) Yes</p> <p>c) 106 persons, including 42 women</p>	Entities and stakeholders involved in PDOT endorse the online tool to be developed under output 1.4, which will ensure consistency between the different PDOT, link them to the NFMS and potentially to the SNI of SEMPLADES.
1.4 Formal Inter-Institutional Coordination Structures within the framework of	a) Existence of a web-based tool for land use planning and monitoring, linking all PDOTs, life plans and IFM plans together, and connected	a) No: PDOTs life plans and IFM plans are prepared on paper, are not linked between		a) Yes 3 regional and 2 intersectorial coordination platforms	Local actors are empowered for monitoring the implementation of PDOT and for contributing to

land-use plans, life plans and land-use zoning.	to the NFMS of MAE and the SNI of SENPLADES b) Number of regional and intersectorial coordination platforms established and operational.	themselves, and not monitored and not connected to the NFMS of MAE and the SNI of SENPLADES b) 0			forest control
2.1 Provision of incentives for the sustainable production transition period.	a) Area (ha) supported by ATPA and area (ha) implementing REDD+ compatible measures b) # of additional beneficiaries supported by ATPA thanks to GCF. c) # and % of IMF plans integrating provisions for reducing deforestation d) Level of financial sustainability of ATPA (IRR), where the current and future farm expenses and revenues are determined, and economic indicators such as NPV and IRR are improved))	a) 7,260 ha, and 3,630 ha. b) NA c) 10, 0% d) IRR = 8%	a) 30,000 ha, and 30,000 ha. b) 120,000 beneficiaries, including 25% of women c) 300, 50% d) IRR = 10%	a) 45,000 ha, and 45,000 ha. b) 250,000 beneficiaries, including 50% of women c) 450, 90% d) IRR = 12%	ATPA receives sufficient funds from the GoE and MAGAP to maintain its operation, despite the reduction of government budget due to the fall of crude price.
2.2 Promote the coordination and implementation of existing tax incentives that will allow for the transition to sustainable production systems.	a) Number, b) annual and c) cumulative amounts of tax incentives that will allow for the transition to sustainable production systems, compared to BAU	a) 0/5 b) Tbd usd / Tbd usd c) Tbd usd / Tbd usd		a) 5/5 b) Tbd usd / Tbd usd c) Tbd usd / Tbd usd	SRI endorses the principle that tax incentives must be adjusted to include provisions related to reduction of deforestation and other environmental and social considerations.
2.3 Support the redesign of existing public credit lines with favorable financial conditions for sustainable production.	a) # and b) annual amounts of credit lines for sustainable agriculture production incorporating provision for reducing deforestation, compared to # and annual amounts of credit lines without provisions for reducing deforestation in the agriculture and livestock sector c) # of beneficiaries of these credit lines with provision for reducing	a) 0/6 b) 10,9 million usd / 1.392,9 million usd c) XX,	a) 3/6 c) Tbd,	a) 6/6 b) Tbd usd / Tbd usd c) Tbd,	BanEcuador endorses the idea of adjusting public credit lines to include favorable financial conditions for sustainable production, despite the fact that this might reduce temporarily the number and volume of credits provided by Banecuador

	deforestation				
2.4 Responsible public and private procurement for deforestation-free production	<p>a) Number of public and private buyers in Ecuador committed to the sustainable sourcing of meat, milk, cacao, coffee and palm oil.</p> <p>b) Number of int'l buyers of commodities who are fulfilling their commitments to rid their supply chain of deforestation in Ecuador by 2020.</p> <p>c) Volume (in tons and % of production) of purchased meat, milk, cacao, coffee and palm oil production which are certified deforestation free</p>	<p>a) Tbd public and Tbd private buyers</p> <p>b) Tbd of int'l buyers by 2016.</p> <p>a) Tbd tons and Tbd%</p>	<p>a) Tbd public and Tbd private buyers</p> <p>b) Tbd of int'l buyers by 2018.</p> <p>a) Tbd tons and Tbd%</p>	<p>a) Tbd public and Tbd private buyers</p> <p>b) Tbd of int'l buyers by 2020.</p> <p>a) Tbd tons and Tbd%</p>	<p>Many companies or public institution will be keen on participating and are adhering to national definition and standards.</p> <p>Data can be standardized and analyzed on a regular basis.</p> <p>All relevant institutions are involved and contributing to data collection.</p> <p>The price differentiation in favor of deforestation free commodities is sufficient to incentivize local producers to comply with requirements of deforestation free production.</p>
2.5 Certification and traceability of deforestation-free products.	<p>a) National Standards in place for the production of deforestation-free cacao, coffee, palm oil, and cattle</p> <p>b) Traceability systems for cacao, coffee (national) and palm oil (Amazon wide) are operational and enables national and international buyers to identify the producers of deforestation-free goods</p> <p>c) # of certification schemes integrating provisions for deforestation free production</p> <p>a) # of producers with certificates that include deforestation free provisions for cacao, coffee and Palm oil.</p>	<p>a) 0, 0, 0, 0</p> <p>b) 0, 0</p> <p>c) 0:</p> <p>·</p> <p>Marca pais, Punto Verde and BPA do not integrate provision related to deforestation.</p> <p>d) 0, 0</p>	<p>a) 1, 1, 0, 0</p> <p>b) 1, 0</p> <p>c) 1: BPA</p> <p>d) TBD</p>	<p>a) 1, 1, 1, 1</p> <p>b) 1, 1</p> <p>c) 3: Marca país, Punto Verde, BPA</p> <p>d) TBD</p>	<p>Traceability systems are not duplicating, can be integrated into the NFMS and linked to the PDOTs and IFM Plans</p> <p>International recognition of this traceability systems (in particular by Trade Partners such as European Union).</p>
3.1 Strengthen conservation, restoration and forest management processes driven through the Socio	# of additional hectares under a) conservation, b) forest sustainable management, c) restoration programmes, and	<p>a) 1.48 million ha under conservation,</p> <p>b) 110,911 ha for forest sustainable management,</p> <p>c) 70,000 ha under</p>	<p>a) at least 7,250 ha</p> <p>b) at least 66,116 ha</p> <p>c) at least 37,500 ha</p> <p>d) 45%</p>	<p>a) at least 14,500 ha</p> <p>b) 93,000 ha</p> <p>c) 75,000 ha</p> <p>a) 65%</p>	<p>The SBP maintains its previous commitments despite the reduction of government's budget.</p> <p>Forest owners remain interested</p>

Bosque Programme.	d) financial sustainability of SBP (% of total budget not from public funds)	restoration programmes d) 23%			in seeking SBP support for conservation, sustainable forest management and restoration programs.
3.2 Support financial mechanisms for integrated water resource management in the basins located within prioritized areas.	# of ha in FONAG, FONAPA and FORAGUA respectively where REDD+ compatible measures are implemented, compared to total surfaces intersecting with the REDD+ prioritized areas	20,000 ha/ 109,776 ha 50.369,60 ha/ 207.323,69 ha 12,832 ha/ 59,559 ha	24,250 ha/ 109,776 ha 196.146,46 ha/207.323,69 ha 30,000 ha/153,080ha	28,500 ha/ 109,776 ha 207.323,69 ha/ 207.323,69 ha 50,000 ha/ 197,425 ha	Local actors are interested in conservation, restoration and sustainable management activities in the area of intervention
4.1 Support to the implementation of the Warsaw Framework for REDD+ and other operational processes.	a) SIS operational and providing transparent information on how safeguards are addressed and respected, with summary of information b) NFMS institutionalized and linked to BUR, PDOTs and IFM plans, with certification systems, and connected to the system of information of MAGAP c) # of annual meetings of the national REDD+ platform	a) SIS designed but not operational b) NFMS not institutionalized c) In 2016: 2	a) Yes b) Yes c) 4 in 2017 and 4 in 2018	a) Yes b) Yes c) 4 in 2019 and 4 in 2020	The payments provided by the GCF for verified Emission Reduction (tCO2eq) for REDD+ are predictable and sufficiently attractive to incentivize Ecuador in pursuing the endeavor of reducing emission from deforestation at the national level and maintaining these systems which are requested by the UNFCCC
4.2 Operationalization of the financial architecture of the REDD+ AP.	a) System of management of REDD+ actions and measure institutionalized and provides annual financial and technical reports for the GCF and other co-financings of the REDD+ action plan b) New Environmental Fund is operational	a) No b) No	a) Yes b) Yes	a) Yes b) Yes	

While activities are not included in this resources framework, they are included in Annex 10 (Time Table for Project Completion) of this report.

VII. MANAGEMENT ARRANGEMENTS

i. ROLES AND RESPONSIBILITIES OF THE PROJECT'S GOVERNANCE MECHANISM:

The project will be implemented following UNDP's national implementation modality, according to the Standard Basic Assistance Agreement between UNDP and the Government of Ecuador²⁴, and the Country Programme²⁵. It will be implemented over a period of 5 years, starting when GCF funds are disbursed to UNDP Ecuador. The implementation of this project will be closely coordinated as a national integrated programme with the GEF Project "Sustainable Development of the Ecuadorian Amazon: integrated management of multiple use landscapes and high value conservation forests"²⁶, to maximize their respective impacts, avoid overlaps and duplications, and reduce transaction costs.

The **Implementing Partner** for the project is the Ministry of Environment (MAE). 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 GCF resources. MAE will also be responsible at the highest level for ensuring that project implementation follows the national policies and standards. The Implementing Partner is responsible for:

- Approving and signing the multiyear workplan,
- Approving and signing the combined delivery report at the end of every quarter; and,
- Signing the financial report or the funding authorization and certificate of expenditures.

MAE will coordinate with the Responsible Parties of the project: Ministry of Agriculture (MAGAP) and Water Funds (FONAG, FORAGUA and FONAPA), as well as with the other entities involved in the implementation such as Secretariat of Planning (SENPLADES), Decentralized Government Authorities (GADs), Ministry of Production (MIPRO), Ministry of Foreign Trade (COMEX), Internal Revenue Service (SRI), BanEcuador, National Corporation of Fomento (CFN). The exact roles and responsibilities of institutions involved are described under section "partnership" above.

The management arrangements include the following levels:

Decision making: includes the Project Board in charge of strategic decision making, as well as the Monitoring and Quality Assurance Unit of the UNDP that will supervise the activities in its role of accredited entity; and the National Project Director.

Technical advisory, includes four Technical Committees, one per each Implementing Unit, will provide technical support to the Project Board, the National Project Director, and the Project Manager to facilitate informed decision making.

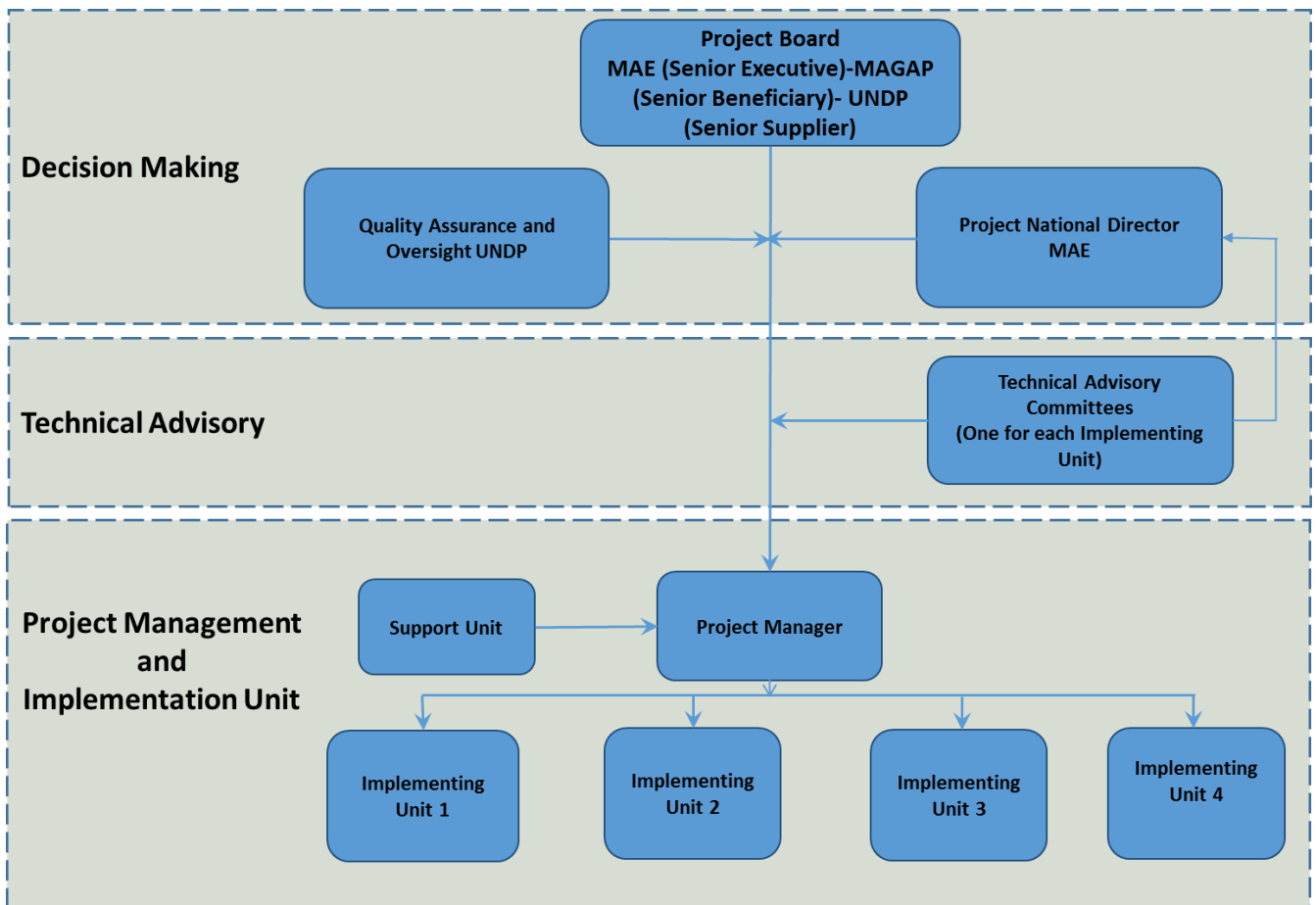
Project Management and Implementation Unit, includes the Project Management Unit (PMU), the Project Manager, the Support Unit for administrative and financial issues and four **Implementing Units**, organized according to the outcomes of the project.

The project organisation structure is as follows:

²⁴http://www.ec.undp.org/content/ecuador/es/home/operations/legal_framework/_jcr_content/centerparsys/download_1/file.res/pnud_ec_Acuerdo_basico_ene2005.pdf

²⁵http://www.ec.undp.org/content/ecuador/es/home/operations/legal_framework/_jcr_content/centerparsys/download_2/file.res/pnud_ec_CPD%202015-2018.pdf

²⁶<https://www.thegef.org/project/sustainable-development-ecuadorian-amazon-integrated-management-multiple-use-landscapes-and>



Project Board (also called steering committee): The Project Board (PB) is the highest level of analysis and decision making in regards to programming and achievement of results; and is responsible for making by consensus, management decisions when guidance is required by the Project Manager, including recommendations for UNDP/Implementing Partner approval of project plans, budgets and revisions. In order to ensure UNDP’s ultimate accountability, the 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 composition of the Project Board must include the following roles:

- 1) **Executive:** The Executive is an individual who represents ownership of the project who will chair the Project Board. This role can be held by a representative from the Government Cooperating Agency or UNDP. The Executive is MAE.

The Executive is ultimately responsible for the project, supported by the Senior Beneficiary and Senior Supplier. The Executive’s role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher level outcomes. The executive has to ensure that the project gives value for money, ensuring cost-conscious approach to the project, balancing the demands of beneficiary and supplier.

Specific Responsibilities: (as part of the above responsibilities for the Project Board)

- Ensure that there is a coherent project organisation structure and logical set of plans;
 - Set tolerances in the AWP and other plans as required for the Project Manager;
 - Monitor and control the progress of the project at a strategic level;
 - Ensure that risks are being tracked and mitigated as effectively as possible;
 - Brief relevant stakeholders about project progress;
 - Organise and chair Project Board meetings.
- 2) **Senior Supplier:** The Senior Supplier is an individual or group representing the interests of the parties concerned which provide funding and/or technical expertise to the project (designing, developing, facilitating, procuring,

implementing). The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project. The Senior Supplier role must have the authority to commit or acquire supplier resources required. If necessary, more than one person may be required for this role. Typically, the implementing partner, UNDP and/or donor(s) would be represented under this role. The Senior Supplier is UNDP.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Make sure that progress towards the outputs remains consistent from the supplier perspective;
- Promote and maintain focus on the expected project output(s) from the point of view of supplier management;
- Ensure that the supplier resources required for the project are made available;
- Contribute supplier opinions on Project Board decisions on whether to implement recommendations on proposed changes;
- Arbitrate on, and ensure resolution of, any supplier priority or resource conflicts.

- 3) Senior Beneficiary: The Senior Beneficiary is an individual or group of individuals representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Board is to ensure the realization of project results from the perspective of project beneficiaries. The Senior Beneficiary role is held by a representative of the government or civil society. The Senior Beneficiary is MAGAP.

The Senior Beneficiary is responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project. The Senior Beneficiary role monitors progress against targets and quality criteria. This role may require more than one person to cover all the beneficiary interests. For the sake of effectiveness, the role should not be split between too many people.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Prioritize and contribute beneficiaries' opinions on Project Board decisions on whether to implement recommendations on proposed changes;
- Specification of the Beneficiary's needs is accurate, complete and unambiguous;
- Implementation of activities at all stages is monitored to ensure that they will meet the beneficiary's needs and are progressing towards that target;
- Impact of potential changes is evaluated from the beneficiary point of view;
- Risks to the beneficiaries are frequently monitored.

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. It will be 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; and will be chaired by MAE

The PB will meet at least 2 times a year, in order to review the progresses of the ongoing semester or year, take project-related strategic and critical decisions, and delegate the authority to the Project Manager for implementing the work plan. The PB will be convened by the Project Manager in advance to give the members sufficient time to schedule the meeting and agree on the agenda. The Project Manager 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-REDD RTA offices may participate in PB meetings (without vote). When necessary the PB will invite key stakeholders to support specific themes.

The PB will play a critical role in facilitating inter-ministerial coordination, project monitoring and evaluation, 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. 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 Management and Implementation Technical Team; (vi) reviewing key reports; (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.

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.

Specific responsibilities of the Project Board will include:

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;
- Address project issues as raised by the project manager;
- Provide guidance on new project risks, and agree on possible countermeasures and management actions to address specific risks;
- Agree on project manager's tolerances as required;
- Review the project progress, and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans;
- Appraise the annual project implementation report, including the quality assessment rating report; make recommendations for the workplan;
- Provide ad hoc direction and advice for exceptional situations when the project manager's tolerances are exceeded;
- Assess and decide to proceed on project changes through appropriate revisions.

The **National Project Director (NPD)** will be appointed by MAE. The NPD will be responsible for orienting and advising the National Project Manager on Government policy and priorities. The NPD will be supported by the Technical Committees and, on a bi-monthly basis, review coherence of the intervention, including results, risks, planning and procurement processes. The NPD will sign and approve procurement of services and goods corresponding to the project and will delegate to the Project Manager the approval and signature of procurement and hiring requests and payments. The Combined Delivery Report (CDR) will be approved on a quarterly basis and signed by the NPD.

Technical advice to the Board and the NPD will be provided by **Technical Committees**. The Technical Committees will be convened by MAE or MAGAP, depending on the topic to be discussed, and will include the National Project Director and the corresponding technical team; as well as representatives of other relevant government institutions and / or representatives of civil society and indigenous organizations. The coordinator of the respective Implementing Unit and its technical team will act as Secretariat to the Technical Committees. The Technical Committees will meet quarterly or more often, if required, to advise the Program Management and Project Board on technical matters.

The **Project Management and Implementation Unit (PMU)** will consist of a Project Manager, Administrative-Financial Assistant, M&E Assistant, and a Technical Implementation Team for each Implementing Unit. The **Project Manager** responds to the NPD and the PB, and will be selected by the Project Board through a competitive selection process.

The **Project Manager** 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 Manager will be a person with significant technical experience related to the scope of the project in addition to strong project management skills.

Specific responsibilities include:

- Provide direction and guidance to project team(s)/ responsible party (ies), and supervise project staff;
- Liaise with the Project Board to assure the overall direction and integrity of the project;
- Be the main project contact person for external communications;
- Identify and obtain any support and advice required for the management, planning and control of the project;
- Responsible for project administration;
- Plan the activities of the project and monitor progress against the project results framework and the approved annual workplan;
- Mobilize personnel, goods and services, training and micro-capital grants to initiative activities, including drafting terms of reference and work specifications, and overseeing all contractors' work;
- Monitor events as determined in the project monitoring schedule plan/timetable, and update the plan as required;
- Manage requests for the provision of financial resources by UNDP, through advance of funds, direct payments or reimbursement using the fund authorization and certificate of expenditures;
- Monitor financial resources and accounting to ensure the accuracy and reliability of financial reports;
- Be responsible for preparing and submitting financial reports to UNDP on a quarterly basis;
- Manage and monitor the project risks initially identified and submit new risks to the project board for consideration and decision on possible actions if required; update the status of these risks by maintaining the project risks log;
- Capture lessons learned during project implementation;
- Prepare the annual workplan for the following year; and update the Atlas Project Management module if external access is made available.

- Prepare the Annual Project Report and submit the final report to the Project Board;
- Prepare progress reports as requested by MAE, UNDP and/or the Donor, and ensure conditions defined by GCF for annual disbursements are met;
- Based on the Annual Project Report and the Project Board review, prepare the AWP for the following year.
- Ensure the mid-term review process is undertaken as per the UNDP guidance, and submit the final MTR report to the Project Board.
- Identify follow-on actions and submit them for consideration to the Project Board;
- Ensure the terminal evaluation process is undertaken as per the UNDP guidance, and submit the final TE report to the Project Board;

Upon project inception, the Project Manager 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 Manager and provide support in management and administration of the project as well as provide logistical support to technical components of the project.

Each **Implementing Unit** will be led by a Technical Coordinator and their respective technical teams, according to their fields of action. Unit Coordinators will report to the Project Manager. The **Coordinators of the Implementing Units** will be responsible for implementing the activities depending on the thematic areas, with a view to ensuring articulation with the objectives of the national policy, the relevance, effectiveness and impartiality of the implementation process. The Coordinators will oversee the performance of the technical teams.

Project Assurance:

UNDP provides a three – tier supervision, oversight and quality assurance role – funded by the agency fee – involving UNDP staff in Country Offices and at regional and headquarters levels. Project Assurance must be totally independent of the Project Management function. The quality assurance role supports the Project Board and Project Management Unit by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. The Project Board cannot delegate any of its quality assurance responsibilities to the Project Manager. This project oversight and quality assurance role is covered by the accredited entity fee provided by the GCF.

As an Accredited Entity to the GCF, UNDP delivers the following GCF-specific oversight and quality assurance services: (i) day to day project oversight supervision covering the start-up and implementation; (ii) oversight of project completion; and (iii) oversight of project reporting. A detailed list of the services is presented in the table below.

Function	Detailed description of activity	Typical GCF fee breakdown
Day-to-day oversight supervision	<p>1. Project start-up:</p> <ul style="list-style-type: none"> • In the case of Full Funding Proposals, prepare all the necessary documentation for the negotiation and execution of the Funding Activity Agreement (for the project) with the GCF, including all schedules • In the case of readiness proposals, if needed assist the NDA and/or government partners prepare all the necessary documentation for approval of a readiness grant proposal • Prepare the Project Document with the government counterparts • Technical and financial clearance for the Project Document • Organize Local Project Appraisal Committee • Project document signature • Ensure quick project start and first disbursement • Hire project management unit staff • Coordinate/prepare the project inception workshop • Oversee finalization of the project inception workshop report <p>2. Project implementation:</p> <ul style="list-style-type: none"> • <u>Project Board</u>: Coordinate/prepare/attend annual Project Board Meetings • <u>Annual work plans</u>: Quality assurance of annual work plans prepared by the project team; issue UNDP annual work plan; strict monitoring of the 	70%

Function	Detailed description of activity	Typical GCF fee breakdown
	<p>implementation of the work plan and the project timetable according to the conditions of the FAA and disbursement schedule (or in the case of readiness the approved readiness proposal)</p> <ul style="list-style-type: none"> • <u>Prepare GCF/UNDP annual project report</u>: review input provided by Project Manager/team; provide specialized technical support and complete required sections • <u>Portfolio Report (readiness)</u>: Prepare and review a Portfolio Report of all readiness activities done by UNDP in line with Clause 9.02 of the Readiness Framework Agreement. • <u>Procurement plan</u>: Monitor the implementation of the project procurement plan • <u>Supervision missions</u>: Participate in and support in-country GCF visits/learning mission/site visits; conduct annual supervision/oversight site missions • <u>Interim Independent Evaluation Report</u>: Initiate, coordinate, finalize the project interim evaluation report and management response • <u>Risk management and troubleshooting</u>: Ensure that risks are properly managed, and that the risk log in Atlas (UNDP financial management system) is regularly updated; Troubleshooting project missions from the regional technical advisors or management and programme support unit staff as and when necessary (i.e. high risk, slow performing projects) • <u>Project budget</u>: Provide quality assurance of project budget and financial transactions according to UNDP and GCF policies • <u>Performance management of staff</u>: where UNDP supervises or co-supervises project staff • <u>Corporate level policy functions</u>: Overall fiduciary and financial policies, accountability and oversight; Treasury Functions including banking information and arrangements and cash management; Travel services, asset management, and procurement policies and support; Management and oversight of the audit exercise for all GCF projects; Information Systems and Technology provision, maintenance and support; Legal advice and contracting/procurement support policy advice; Strategic Human Resources Management and related entitlement administration; Office of Audit and Investigations oversight/investigations into allegations of misconduct, corruption, wrongdoing and fraud; and social and environmental compliance unit and grievance mechanism. 	
<p>Oversight of project completion</p>	<ul style="list-style-type: none"> • Initiate, coordinate, finalize the Project Completion Report, Final Independent Evaluation Report and management response • Quality assurance of final evaluation report and management response • Independent Evaluation Office assessment of final evaluation reports; evaluation guidance and standard setting • Quality assurance of final cumulative budget implementation and reporting to the GCF • Return of any un-spent GCF resources to the GCF 	<p>10%</p>

Function	Detailed description of activity	Typical GCF fee breakdown
Oversight of project reporting	<ul style="list-style-type: none"> Quality assurance of the project interim evaluation report and management response Technical review of project reports: quality assurance and technical inputs in relevant project reports Quality assurance of the GCF annual project report Preparation and certification of UNDP annual financial statements and donor reports Prepare and submit fund specific financial reports 	20%
	TOTAL	100%

ii. DIRECT PROJECT SERVICES AS REQUESTED BY GOVERNMENT:

Services provided to government directly under NIM: The UNDP Country Office will also deliver a pre-determined set of project-specific execution services at the request of the Government. To ensure the strict independence required by the GCF and in accordance with the UNDP Internal Control Framework, these execution services should be delivered independent from the GCF-specific oversight and quality assurance services (i.e. not done by same person to avoid conflict of interest).

These execution services will be charged to the project budget in accordance with the [UNDP's Harmonized Conceptual Funding Framework and Cost Recovery Methodology](#) and UNDP-GEF Guidance on Direct Project Service. The letter of agreement for these direct project costs is included in Annex to this project document.

The government has requested UNDP to undertake the following services: Payments, reimbursements and other financial transactions; hiring the project team and personnel; procurement of services and equipment; inventory; providing authorizations for traveling and logistical support; providing support to the organization of workshops and conferences; accreditation and registry of vehicles; delivery and customs clearance. More details are provided in annex 2 direct project cost letter of agreement.

iii. PROJECT MANAGEMENT UNIT OFFICE:

The PMU for the project will be based in Quito.

iv. AGREEMENT ON INTELLECTUAL PROPERTY RIGHTS AND USE OF LOGO ON THE PROJECT'S DELIVERABLES:

In order to accord proper acknowledgement to the GCF for providing grant funding, the GCF logo will appear together with the UNDP logo on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GCF will also accord proper acknowledgement to the GCF as per the GCF branding guidelines.

v. DISCLOSURE OF INFORMATION:

Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy²⁷ and the GCF Disclosure Policy²⁸.

vi. CARBON OFFSETS OR UNITS:

As outlined in the AMA agreement between UNDP and the GCF, to the extent permitted by applicable laws and regulations, the Implementing Partner will ensure that any greenhouse gas emission reductions (e.g. in emissions by sources or an enhancement of removal by sinks) achieved by this project shall not be converted into any offset credits or units generated thereby, or if so converted, will be retired without allowing any other emissions of greenhouse gases to be offset. Notwithstanding Clause 23.05 of the AMA, any future Decisions with respect to the use of emission reductions and/or enhanced removals by sinks resulting from activities financed through REDD+ Results-Based Payments (RBP) modalities, will, if permitted by such Decision, retroactively apply to this Funded Activity.

²⁷ See http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/

²⁸ See https://www.greenclimate.fund/documents/20182/184476/GCF_B.12_24_-_Comprehensive_Information_Disclosure_Policy_of_the_Fund.pdf/f551e954-baa9-4e0d-bec7-352194b49bcb

vii. **TRANSFER OR DISPOSAL OF ASSETS:**

In consultation with the NIM Implementing Partner and other parties of the project, UNDP programme manager (UNDP Resident Representative) is responsible for deciding on the transfer or other disposal of assets. Transfer or disposal of assets is recommended to be reviewed and endorsed by the project board following UNDP rules and regulations. Assets may be transferred to the government for project activities managed by a national institution at any time during the life of a project. In all cases of transfer, a transfer document must be prepared and kept on file. POPP: https://popp.undp.org/layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PPM_Project%20Management_Closing.docx&action=default.

In addition, the following GCF requirements must be followed: As stated in Clause 9.03 of the Funding Activity Agreement: “Pursuant to Clause 23.04 of the Accreditation Master MA²⁹, the Accredited Entity shall inform the Fund, in the final APR, which steps it intends to take in relation to the durable assets and/or equipment purchased with the GCF Proceeds to implement the Funded Activity.”

VIII. MONITORING AND EVALUATION (M&E) PLAN

The project results as outlined in the project results framework will be monitored and reported annually and evaluated periodically during project implementation to ensure the project effectively achieves these results. Monitoring and Evaluation Plans have been included in Annexes 8 and 9 of this report. 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 work with the relevant project stakeholders to ensure UNDP M&E requirements are met in a timely fashion and to high quality standards. Additional mandatory GCF-specific M&E requirements will be undertaken in accordance with relevant GCF policies.

In addition to these mandatory UNDP and GCF 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 Workshop Report. This will include the exact role of project target groups and other stakeholders in project M&E activities including national/regional institutes assigned to undertake project monitoring.

i. **M&E OVERSIGHT AND MONITORING RESPONSIBILITIES:**

Project Manager: The Project Manager is responsible for day-to-day project management and regular monitoring of project results and risks, including social and environmental risks. The Project Manager 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 Manager will inform the Project Board, the UNDP Country Office and the UNDP-GEF-REDD Regional Technical Advisor of any delays or difficulties as they arise during implementation so that appropriate support and corrective measures can be adopted.

The Project Manager will develop annual work plans to support the efficient implementation of the project. The Project Manager will ensure that the standard UNDP and GCF 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 Annual Project Report, and that the monitoring of risks and the various plans/strategies developed to support project implementation (e.g. Environmental and social management plan, gender action plan etc..) occur on a regular basis.

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.

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,

²⁹ 23.04 of the AMA states: “ In relation to a Funded Activity that is a grant financed in whole or in part with GCF Proceeds, if any part of such grant is used to purchase any durable assets or equipment used to implement the relevant Funded Activity (such as vehicles or office equipment), upon completion of the Funded Activity or termination of the relevant FAA in accordance with its terms, the Accredited Entity shall take such steps in relation to such assets or equipment which it reasonably deems in the best interest of the continued operation of the Funded Activity taking into consideration the objectives of the Fund and the terms of the applicable SBAA.”

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.

UNDP Country Office: The UNDP Country Office will support the Project Manager 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 M&E activities including the Annual Project Report, the independent mid-term review and the independent terminal evaluation. The UNDP Country Office will also ensure that the standard UNDP and GCF M&E requirements are fulfilled to the highest quality.

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; 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 Annual Project Report and the UNDP ROAR. Any quality concerns flagged during these M&E activities (e.g. Annual Project Report quality assessment ratings) must be addressed by the UNDP Country Office and the Project Manager.

The UNDP Country Office will support GCF staff (or their designate) during any missions undertaken in the country, and support any ad-hoc checks or ex post evaluations that may be required by the GCF.

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

UNDP-Global Environmental Finance (UNDP-GEF): Additional M&E and implementation oversight, quality assurance and troubleshooting support will be provided by the UNDP-GEF REDD Regional Technical Advisor and the UNDP-GEF Directorate as outlined in the management arrangement section above.

ii. AUDIT:

The project will be audited according to UNDP Financial Regulations and Rules and applicable audit policies on NIM implemented projects.³⁰ Additional audits may be undertaken at the request of the GCF.

iii. ADDITIONAL MONITORING AND REPORTING REQUIREMENTS:

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 strategy and 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;
- e) Identify how project M&E can support national monitoring of SDG indicators as relevant;
- f) 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 action plan; and other relevant strategies;
- g) Review financial reporting procedures and mandatory requirements, and agree on the arrangements for the annual audit; and
- h) Plan and schedule Project Board meetings and finalize the first year annual work plan.

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

Annual Project Report: The Project Manager, the UNDP Country Office, and the UNDP-REDD Regional Technical

³⁰ See guidance here: <https://info.undp.org/global/popp/frm/pages/financial-management-and-execution-modalities.aspx>

Advisor will provide objective input to the annual project report covering the calendar year for each year of project implementation. The Project Manager will ensure that the indicators included in the project results framework are monitored annually in advance so that progress can be included in the report. Any environmental and social risks and related management plans will be monitored regularly, and progress will be included in the report.

The Annual Project Report will be shared with the Project Board. The UNDP Country Office will coordinate the input of other stakeholders to the report as appropriate. The quality rating of the previous year's report will be used to inform the preparation of the subsequent report.

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, analyze 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.

Independent Mid-term Review (MTR): An independent mid-term review process will begin after the second Annual Project Report has been submitted to the GCF. This is expected to be performed during the first semester of the third year of implementation of the project. 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. 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-REDD Regional Technical Adviser, and approved by the Project Board.

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 at least four 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 Manager 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. 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 publicly available in English on the UNDP ERC.

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).

Final Report: The project's final Annual Project Report 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.

Mandatory GCF M&E Requirements and M&E Budget:

GCF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget ³¹ (US\$)		Time frame
	Responsible	GCF grant	Co-financing	
Inception Workshop	UNDP Country Office	US\$11,000	<i>add</i>	<i>August 2017</i>
Inception Workshop Report and baseline assessments	Project Manager	None	None	<i>no later than end of December 2017</i>
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 <i>(including hiring of external experts, project surveys, data analysis etc...)</i>	Project Manager	Per year: US\$10,000	<i>add</i>	Annually
Annual Project Report	Project Manager and UNDP Country Office and UNDP-GEF team	None	None	Annually
NIM Audit as per UNDP audit policies	UNDP Country Office	Per year: US\$3,000 – 5,000	<i>add</i>	Annually or other frequency as per UNDP Audit policies
Lessons learned, case studies, and knowledge generation	Project Manager	Per year: US\$5,000	<i>add</i>	Annually
Monitoring of environmental and social risks, and corresponding management plans as relevant	Project Manager UNDP CO	None	<i>add</i>	On-going
Monitoring of gender action plan	Project Manager UNDP CO	Per year: US\$4,000	<i>add</i>	On-going
Monitoring of stakeholder engagement plan	Project Manager UNDP CO	Per year: US\$4,000	<i>add</i>	On-going
Addressing environmental and social grievances	Project Manager UNDP Country Office BPPS as needed	<i>ad'hoc</i>	<i>add</i>	<i>Costs associated with missions, workshops, BPPS expertise etc. can be charged to the project budget.</i>
Project Board meetings	Project Board UNDP Country Office Project Manager	Per year: US\$2,000	<i>add</i>	At minimum twice a year
Supervision missions	UNDP Country Office	None ³²	<i>add</i>	Two per year
Oversight missions	UNDP-GEF team	None ⁶	<i>add</i>	Troubleshooting as needed
GCF learning missions/site visits	UNDP Country Office and Project Manager and UNDP-GEF team	Per year: US\$5,000	<i>add</i>	To be determined.
Independent Mid-term Review (MTR) and management response	UNDP Country Office and Project team and UNDP-GEF team	US\$20,000 - 30,000	<i>add</i>	Mid-2020
Independent Terminal Evaluation (TE) included in UNDP evaluation plan, and management response	UNDP Country Office and Project team and UNDP-GEF team	US\$30,000 - 60,000	<i>add</i>	31/12/2022; At least three months before operational closure
Translation of MTR and TE reports into English	UNDP Country Office	US\$2,000 – 5,000	<i>add</i>	As required. GCF will only accept reports in English.
TOTAL indicative COST Excluding project team staff time, UNDP staff and travel expenses		<i>1-2% of Total GCF grant</i>	<i>add</i>	

³¹ Excluding project team staff time and UNDP staff time and travel expenses.

³² The costs of UNDP Country Office and UNDP-GEF Unit (including UNDP-GEF REDD RTAs)'s participation and time are charged to the GCF Agency Fee.

IX. FINANCIAL PLANNING AND MANAGEMENT

The total cost of the project is US\$41,172,739. This is financed through a GCF grant. UNDP, as the GCF Accredited Agency, is responsible for the oversight and quality assurance of the execution of GCF resources and the cash co-financing transferred to UNDP bank account only.

i. PROJECT FINANCING

Component	Outputs	Financing institution			Total (US\$)
		GCF	Government	UNDP	
		Grant	Grant	Grant	
Component 1. Investment in enabling policies to reduce the drivers of deforestation and its associated emissions.	PDOTs and Life Plans updated and implemented with climate change criteria and actions.	1,722,600	2,347,100		4,069,700
	Local capacity building for supervision of land-use planning and zoning.	726,400			726,400
	Strengthening forest control	1,972,000	2,314,423		4,286,423
	Formal Inter-institutional coordination structures within the framework of land-use plans, life plans and land-use zoning.	882,000	1,446,924		2,328,924
Component 2. Implementation of financial and economic incentives towards the transition to sustainable production systems in non- forest areas.	Provision of incentives for the sustainable production transition period.	9,257,518	9,758,766		19,016,284
	Promote the coordination and implementation of existing tax incentives that will allow for the transition to sustainable production systems.	500,000			500,000
	Support the re design of public credit lines to reorient them to sustainable production practices.	780,000	541,090		1,321,090
	Public and private responsible procurement for deforestation-free production	560,000	509,091		1,069,091
	Certification and traceability of deforestation-free products.	4,439,726	6,880,771		11,320,497
Component 3. Financial and non-financial mechanisms for restoration, conservation and connectivity	Strengthen conservation, restoration and forest management processes driven through the National Incentives Project Socio Bosque	7,768,000	12,389,117		20,157,117
	Strengthen mechanisms for an integrated water resource management (IWRM) in the basins located within prioritized areas.	4,470,000	3,185,499		7,655,499

Component 4. Implementation of enabling instruments to reduce the drivers of deforestation and its associated emissions	Support in the implementation of the Warsaw Framework for REDD+ and other operational processes.	3,697,995	542,597	820,900	4,240,592
	Operationalization of the financial architecture of REDD+ AP	1,508,110	328,727	683,074	1,836,837
Project Management		2,888,390	0	1,086,384	3,974,776
Total		41,172,739	40,244,105	2,590,358	84,007,202

ii. GCF DISBURSEMENT SCHEDULE

GCF grant funds will be disbursed according to the GCF disbursement schedule. The Country Office will submit an annual work plan to the UNDP-GEF and comply with the GCF milestones in order for the next tranche of project funds to be released. All efforts must be made to achieve 70% delivery annually.

Disbursements	GCF Proceeds (USD)	Indicative disbursement schedule
Disbursement 1	7,901,895	June 2017
Disbursement 2	11,324,992	June 2018
Disbursement 3	10,556,592	June 2019
Disbursement 4	7,378,595	June 2020
Disbursement 5	4,010,665	June 2021
Total	41,172,739	

iii. BUDGET REVISION AND TOLERANCE:

GCF requirement: 10% of the total projected costs per year can be reallocated among the budget account categories within the same project Component. Any budget reallocation involving a major change in the project's scope, structure, design or objectives or any other change that substantially alters the purpose or benefit of the project requires the GCF's prior written consent.

UNDP requirement: As 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 manager to expend up to the tolerance level beyond the approved project budget amount for the year without requiring a revision from the Project Board (within the GCF requirements noted above). Should such deviation occur, the Project Manager and UNDP Country office will seek the approval of the UNDP-GEF team.

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

Any reallocation among the Project components of more than 10% must be approved in writing by the Fund in advance. The GCF Proceeds shall not finance any expenditures incurred prior to the effectiveness of the FAA.

iv. REFUND TO GCF:

Unspent GCF resources must be returned to the GCF. Should a refund of unspent funds to the GCF be necessary, this will be managed directly by the UNDP-GEF Unit in New York.

v. PROJECT CLOSURE:

Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP.³³ 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.

vi. 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.

UNDP and the Implementing Partner agree that any durable assets or equipment purchased during the implementation of the project (such as vehicles or office equipment) will upon operational completion of the project be transferred to the Implementing Partner. Any funds or proceeds received from the sale of such assets will be transferred to the GCF.

i. 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).

The project is required to 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.

³³ see <https://info.undp.org/global/popp/ppm/Pages/Closing-a-Project.aspx>

X. TOTAL BUDGET AND WORK PLAN

TOTAL BUDGET AND WORK PLAN			
Atlas Proposal or Award ID:	00100778	Atlas Primary Output Project ID:	00103568
Atlas Proposal or Award Title:	Green Climate Fund Funded Programme		
Atlas Business Unit	ECU10		
Atlas Primary Output Project Title	Priming Financial and Land Use Planning Instruments to Reduce Emissions from Deforestation		
UNDP-GEF PIMS No.	5768		
Implementing Partner	Ministry of Environment		

Component/Atlas Activity	Responsible Party/Atlas Implementing Agent	Fund ID	Donor Name	ATLAS Budgetary Account Code	Atlas Budget Account Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Amount Year 5 (USD)	TOTAL (USD)	Budget Notes
Component 1 Investment in enabling policies to reduce the drivers of deforestation and its associated emissions	Ministry of Environment	66000	GCF	71400	Contractual Services - Individ	280,800	280,800	280,800	280,800	280,800	1,404,000	A
				72100	Contractual Services-Companies	-	550,000	550,000	550,000	-	1,650,000	B
				72200	Equipment and Furniture	292,000	-	-	-	-	292,000	C
				71300	Local Consultants	30,000	-	1,150,000	-	-	1,180,000	D
				74500	Miscellaneous Expenses	5,000	5,000	5,000	5,000	5,000	25,000	E
				75700	Training, Workshops and Conferences	104,000	75,000	224,000	195,000	104,000	702,000	F
				71600	Travel	10,000	10,000	10,000	10,000	10,000	50,000	G
Total Component 1						721,800	920,800	2,219,800	1,040,800	399,800	5,303,000	

Component 2 Implementation of financial and economic incentives towards the transition to sustainable production systems in non- forest areas.	Ministry of Environment	66000	GCF	74200	Audio Visual&Print Prod Costs	160,000	160,000	160,000	160,000	160,000	800,000	H
				72100	Contractual Services-Companies	489,165	2,939,965	286,865	286,865	286,865	4,289,726	I
				72600	Grants	2,225,430	2,225,430	2,225,430	2,225,430	-	8,901,718	J
				71300	Local Consultants	610,000	30,000	-	-	-	640,000	K
				74500	Miscellaneous Expenses	5,000	5,000	5,000	5,000	5,000	25,000	L
				72500	Supplies	50,000	-	-	-	-	50,000	M
				75700	Training, Workshops and Conferences	84,000	166,800	362,000	84,000	84,000	780,800	N
				71600	Travel	10,000	10,000	10,000	10,000	10,000	50,000	O
Total Component 2					3,633,595	5,537,195	3,049,295	2,771,295	545,865	15,537,244		
Component 3 Financial and non-financial mechanisms for restoration, conservation and connectivity	Ministry of Environment	66000	GCF	71400	Contractual Services - Individ	121,400	121,400	121,400	121,400	121,400	607,000	P
				72600	Grants	1,792,000	2,336,000	2,880,000	2,336,000	1,792,000	11,136,000	Q
				71300	Local Consultants	420,000	-	-	-	-	420,000	R
				74500	Miscellaneous Expenses	5,000	5,000	5,000	5,000	5,000	25,000	S
				71600	Travel	10,000	10,000	10,000	10,000	10,000	50,000	T
Total Component 3					2,348,400	2,472,400	3,016,400	2,472,400	1,928,400	12,238,000		
Component 4 Implementation of enabling instruments to reduce the drivers of deforestation and its associated emissions	Ministry of Environment	66000	GCF	71400	Contractual Services - Individ	442,022	442,022	442,022	442,022	442,022	2,210,110	U
				71400	Contractual Services - Individ	7,166	7,166	7,166	7,166	7,166	35,832	V
				72200	Equipment and Furniture	-	1,050,498	1,050,498	-	-	2,100,995	W

				71200	International Consultants	-	170,000	50,000	-	-	220,000	X
				71300	Local Consultants	92,834	92,834	92,834	92,834	92,834	464,168	Y
				74500	Miscellaneous Expenses	5,000	5,000	5,000	5,000	5,000	25,000	Z
				71600	Travel	20,000	45,000	20,000	45,000	20,000	150,000	AA
Total Component 4						567,022	1,812,520	1,667,520	592,022	567,022	5,206,105	
Component 5 Project Management	Ministry of Environment	66000	GCF	71400	Contractual Services - Individ	405,078	405,078	405,078	405,078	405,078	2,025,390	AB
				72100	Contractual Services-Companies	25,000	-	7,500	-	7,500	40,000	AC
				72200	Equipment and Furniture	7,000	-	7,000	-	-	14,000	AD
				72800	Information Technology Equipmt	17,000	-	17,000	-	-	34,000	AE
				74596	Direct Project Service	120,000	120,000	80,000	40,000	40,000	400,000	AF
				74100	Professional Services	6,000	6,000	36,000	6,000	66,000	120,000	AG
				73400	Rental & Maint of Other Equip	6,000	6,000	6,000	6,000	6,000	30,000	AH
				73100	Rental & Maintenance -Premises	30,000	30,000	30,000	30,000	30,000	150,000	AI
				72500	Supplies	5,000	5,000	5,000	5,000	5,000	25,000	AJ
				71600	Travel	10,000	10,000	10,000	10,000	10,000	50,000	AK
Total Proj. Mgt.						631,078	582,078	603,578	502,078	569,578	2,888,390	
Total GCF						7,901,895	11,324,992	10,556,592	7,378,595	4,010,665	41,172,739	

Summary of Funds:

	Amount Year 1	Amount Year 2	Amount Year 3	Amount Year 4	Amount Year 5	Total
GCF	7,901,895	11,324,992	10,556,592	7,378,595	4,010,665	41,172,739
UNDP						1,769,458
Government						40,245,550
FAO						820,900
TOTAL						84,008,647

Note Description of cost item

A	Each year: 5 technicians for the monitoring unit of the SPN; 3 technicians for the follow up and institutionalization of formal platforms; 6 technicians assigned in every province GAD and 1 technician at national level for MAE and SENPLADES
B	At least 2 Integrated Forest Control Centers in the Amazon in years 2 and 3, and 1 Integrated Forest Control Center in the Dry Forest in Year 4
C	2 vehicles for each one of the four areas of intervention (ZHPD). GPS and computers for staff for each one of the four areas of intervention (ZHPD).
D	Year1: One consultancy to design social control of forests. Year 3: Local individual consultancies: 18 municipal PDOTs; 6 provincial PDOTs and 9 Life Plans. USD 50,000 each
E	Office, security and printed promotional supplies.
F	Y1: 4 meetings of regional platforms Y2: 3 workshops of the regional interinstitutional platforms Y3: 4 workshops of 5 days each for 20 pax; and 4 meetings of inter regional sectorial platforms Y4: 4 workshops of 5 days for 20 pax; and 3 meetings of inter regional sectorial platforms Y5: 4 meetings of regional platforms Logistic arrangements and other expenses for local actors: Y1, Y2 and Y5: At least 50 people per workshop for 2 days (400 USD per pax) Y3 and Y4: At least 20 people per workshop for 5 day (860 USD per pax)
G	Travel for staff including air tickets and local DSA
H	For each year: The generation of at least 4 diffusion and socialization materials for producers at a territorial level will be funded. USD 20,000 each material package. Dissemination of public policies for responsible purchasing the public and private sector. USD 10,000 in materials for one workshop (8 in total)
I	Y1: 2 consultancies for the development of studies and analysis on sectoral supply and demand for deforestation-free products. Y2: 1 Storage and Collection Center in the Centre South Amazon and 1 in the Northern Amazon. 1 consultancy on traceability. Y1 to Y5: 1 consultancy for the international promotion of products (coffee and RSPO palm)
J	Y1: provide USD 38.75 per converted hectare Y2 to Y4: provide USD 155 per converted hectare
K	Y1: 3 studies on the impact of tax incentives (Income Tax, Value Added Tax and Rural Lands Tax); 6 consultants hired to design and modify credit lines. 4 consultancies will be hired for the following: regulatory framework of deforestation-free public procurement policies for timber, cocoa and livestock. 5 consultancies will be hired for the development of studies on the willingness to pay for deforestation-free products (coffee, cocoa, milk, timber and non-timber forest products). Y2: 1 consultancy in design of instruments for incentive application.
L	Each year: Office, security and printed promotional supplies.
M	Y1: 250 books on climate change finance and green taxation will be bought for the Fiscal Studies Centre of the SRI.
N	Each Year: Capacity building to financial institutions on technical criteria for granting new credits that promotes sustainable production practices and its monitoring. 1 workshop of \$10,000 per financial institution from a total of 3 institutions. 1 training workshop for at least 50 officials of MAGAP will be funded, so they can provide technical assistance in the presentation of projects to be financed the CFN. Y2: 3 workshops of 50 people for discussion between relevant actors. Y3: 3 workshops on the analysis and socialization of results will be conducted for 50 people. High level national event to launch publication of impact studies. Logistic arrangements and other expenses for MAGAP Officials: Every year: At least 50 MAGAP officials per workshop for 2 days (400 USD per pax). Logistic arrangements for Financial Institutions Officials: At least 60 financial institution officials per workshop for 2 days (400 USD per pax). Y2 and Y3: Logistic arrangements and other expenses for discussion workshops. At least 50 people per

	workshops for 1 day (152 USD per pax). Y3: Logistic arrangements and other expenses for participants to national event. At least 100 people for 1 day (152 USD per pax).
O	Travel for staff including air tickets and local DSA
P	Each year: 5 technicians to strengthen the PSB forest management processes. Monthly Salary of USD 1,300 plus public law benefits. 2 technical assistance officers will be hired to support the project implementation and to provide oversight and monitoring.
Q	Y1: Conservation incentives: USD 30 / Ha for approximately 13,600 Has. Restoration incentives: USD 272 / ha for approximately 2,000 has. \$280,000 for conservation and restoration programs and projects of each water fund (total of \$840,000) Y2 and Y4: same as Y1 except Restoration incentives on approximately 4,000 has. Y3: same as Y1 except Restoration incentives on approximately 6,000 has. Y5: same as Y1 except Restoration incentives on approximately 2,000 has.
R	1 consultancy for the study of physical and mechanical properties of wooden species in forests. USD 250,000. 1 consultancies to develop studies financial sustainability in coordination with SENAGUA and the water funds. It is estimated that there will be 1 study per each water fund. USD 50,000 each. 1 consultancy will be hired for developing an integration strategy for financial mechanisms. USD 20,000
S	Office, security and printed promotional supplies
T	Travel for staff including air tickets and local DSA
U	Each year: Technical staff for operationalization of the Fund for piloting the distribution of funds through different funding windows and different entities involved in the implementation of the REDD+ AP: 1 Senior Coordinator: Monthly salary \$ 3785.83 (\$ 48,662 annually). 8 technical financial specialists (1 per actor/sector): Each with a monthly salary of \$ 2426 (\$ 31,620.60 annually for each person). 1 coordinator and 8 technicians to monitor the traceability system. Monthly Salary of USD 1,300. Coordinator: Will manage communication between the National Forest Directorate and SUIA to ensure the implementation of the traceability system and will manage field personnel for traceability on the field. Technicians (8): IT Technicians (2) to support in the programming and development of traceability software and its maintenance. Forestry technicians (6): Supervision for the correct use of forestry resources Control of illegal logging Scheduled and random audits to individuals or programs involved in wood production
V	2 technical assistance officers will be hired to support the project implementation and to provide oversight and monitoring.
W	Y2 and Y3: Equipment for the National System of Forest Monitoring: high precision GPS; workstations, tablets, cell phones and laptops to collect information from the field; license for SIG software; drones Ranger for forest monitoring; radar images; IT software and licenses; BI system for big data interpretation; optical fiber backbone for processing images and geographic information; network certification; smart net contract for technical support; network segmentation equipment's for cyber security; checkpoint software technologies for cyber security.
X	Y2: 2 international consultancies for the development of the traceability system. 1 international consultancy for the integration of the traceability system with forest monitoring Y3: 1 international consultancy for the integration of the traceability system with forest monitoring
Y	Five local consultants for each year for short term facilitation consultancies. Consultancies will develop the following topics: 1. Definition of standards for deforestation free commodities production and integration of these standards into the existing certification and traceability policies in the country. 2. Legal framework for traceability implementation. 3. Incentives to Foster products with traceability certifications. 4. Certifications and Branding. 5. IT and other technological alternatives to incorporate to traceability processes (i.e. bar code) 6. Monitoring alternative systems for traceability. 7. Traceability as a strategy for sustainable markets
Z	Office, security and printed promotional supplies
AA	Y1 to Y 5: Travel for staff and participants including air tickets and local DSA. USD 10,000 for regular travel and DSA and \$ 10,000 for missions to attend international Inter institutional coordination meetings Y2 and 4: Travel for staff in 5 south-south cooperation events (\$5,000 each)

AB	Staff for project Unit for five years administered under UNDP contractual salary scale (Monthly salaries): 1 Programme Manager: \$4,721; 4 Technical Experts to lead four components: \$3,589; 1 M&E Technician: \$2,139; 1 Communication specialist: \$ 2,139; 1 Admin Fin Assistant: \$2,139; 1 Procurement Assistant: \$2,139 and 1 admin assistant clerk: \$1,624; Procurement assistant: 1,069.50; Finance monitoring Assistant: 1,069.50; Monitoring Expert: \$2,360.50
AC	Development of Monitoring system for the project
AD	Furniture for project staff premises
AE	IT equipment and computer software for project staff
AF	Calculated based on the Universal Price List that provides specific costs for every specific transaction. Direct Project Costs are estimated for operational and administrative support activities carried out by UNDP CO on behalf of NIM Modality, such as: HR activities, including recruitment of project personnel, issuance of project personnel contracts, processing travel, etc.; and costs incurred in the process of undertaking procurement activities of project goods and services.
AG	1 Financial Audit per year (\$6,000); 1 Midterm Review (\$30,000); 1 Final Evaluation (\$60,000)
AH	Basic utilities in the office (water, electricity, phone charges, internet)
AI	Office rental services with capacity for ten individuals that include maintenance and housekeeping fee
AJ	Office supplies, cleaning supplies, cafeteria supplies and operational costs
AK	Travel for staff including air tickets and local DSA for monitoring and evaluation, programmatic visits

XI. LEGAL CONTEXT

i. ADDITIONAL LEGAL CONDITIONS

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.

By signing this UNDP project document, the Implementing Partner also agrees to the terms and conditions of the GCF Funded Activity Agreement (FAA) included in Annex and to use the GCF funds for the purposes for which they were provided. UNDP has the right to terminate this project should the Implementing Partner breach the terms of the GCF FFA.

ii. LEGAL CONTEXT STANDARD CLAUSES

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of Ecuador and UNDP, signed on 2005 January 19th. All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

This project will be implemented by MAE (“Implementing Partner”) in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

iii. RISK MANAGEMENT STANDARD CLAUSES

1. Consistent with the Article III of the 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.
2. 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 [and the Project Cooperation Agreement between UNDP and the Implementing Partner]³⁴.
3. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no 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. This provision must be included in all sub-contracts or sub-agreements entered into under/further to this Project Document.
4. Consistent with UNDP’s Programme and Operations Policies and Procedures, social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
5. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability

³⁴ Use bracketed text only when IP is an NGO/IGO

Mechanism.

All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

6. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or using UNDP funds. The Implementing Partner will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.
7. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.
8. In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects and programmes. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner's (and its consultants', responsible parties', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with the Implementing Partner to find a solution.
9. The signatories to this Project Document will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.
10. Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.
11. UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement.
12. Where such funds have not been refunded to UNDP, the Implementing Partner agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to the Implementing Partner for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.
13. *Note:* The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.
14. Each contract issued by the Implementing Partner in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from the Implementing Partner shall cooperate with any and all investigations and post-payment audits.
15. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing

relating to the project, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.

16. The Implementing Partner shall ensure that all of its obligations set forth under this section entitled “Risk Management” are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled “Risk Management Standard Clauses” are included, *mutatis mutandis*, in all sub-contracts or sub-agreements entered into further to this Project Document.

XII. MANDATORY ANNEXES

The following documents are mandatory annexes and must be included as part of the final project document package. These documents must be posted to open.undp.org, and can also be posted to the UNDP County Office website as appropriate.

1. Funding Activity Agreement and Notice of Effectiveness from GCF

1.1 Link to the FAA: [FAA signed](#)

1.2 Link to the Notice of Effectiveness from GCF: [Notice of Effectiveness](#)

2. Direct project cost letter of agreement

Link to the [Direct project cost letter of agreement](#)³⁵

3. Letter of agreement between the Implementing Partner and Responsible Parties

3.1 Link to the [Agreement between MAE and MAGAP](#)

3.2 Link to the [Agreement between MAE and FONAG](#)

3.3 Link to the [Agreement between MAE and FONAPA](#)

3.4 Link to the [Agreement between MAE and FORAGUA](#)

4. Letters of co-financing

Link to co-financing letters: [P-UNDP-031215-5768-Annex IV.zip](#)³⁶

5. Social and environmental screening procedure (signed) and management plan for moderate risk projects

Link to SESP:

http://gefipims.undp.org/documents/1/g5768/g2_20813/FP-UNDP-120916-5768-Annex%20VIc%20%28Environment%20%26%20social%20documents%20disclosure%29.docx

Link to Environmental and Social Management Plan:

http://gefipims.undp.org/documents/1/g5768/g2_20813/FP-UNDP-120916-5768-Annex%20VIId%20%28Environmental%20%26%20Management%20screening%29.docx

6. Gender analysis and action plan

The Action Plan REDD + (REDD + PA) includes considerations related to gender, so that in the Framework Plan in

³⁵http://gefipims.undp.org/documents/1/g5768/g2_20813/LOA%20Instrumentos%20Financieros%20Emisiones%20por%20Deforestaci%C3%B3n.pdf

³⁶http://gefipims.undp.org/documents/1/g5768/g2_20813/FP-UNDP-031215-5768-Annex%20IV.zip

section 2.2.7³⁷ a specific section for it is included. It is indicated that gender differences influence the use, access and control of resources, power structures, decision-making and livelihood strategies. Women and men use, manage and depend on forests differently according to their gender roles and responsibilities. In terms of forest resources, in Ecuador, women are important forest users and conservationists; in their use they make substantial economic, social and cultural contributions that contribute to their conservation and management (MAE 2014e).

Several international agreements of which the country is a signatory point out that gender equality and the rights of women should be promoted in environmental and sustainable development initiatives, including those related to climate change. Ecuador has incorporated in its internal legislation the principle of equality and non-discrimination as contemplated in various instruments such as the Universal Declaration of Human Rights, the International Covenant on Civil and Political Rights, the American Convention on Human Rights, the International Convention on the Elimination of All Forms of Racial Discrimination The Convention on the Elimination of All Forms of Discrimination against Women, the International Convention on the Rights of the Child, the Inter-American Convention on the Elimination of All Forms of Discrimination against Persons with Disabilities, and The Declaration on the Elimination of All Forms of Intolerance and Discrimination Founded in Religion (MAE 2014k).

Both international and constitutional instruments (constitutional, legal and policy) - requiring the cross-cutting incorporation of the gender approach - lead society towards a new way of life based on equality, inclusion and sustainability. It is a question of achieving the transformation of social, political, economic and cultural relations in the management of the forest to reach its substantive and not only declarative dimension, and with that, contribute to the Good Living.

In order to incorporate the gender approach into public policy, the National Agenda for Women and Gender Equality 2014-2017, linked to national planning, is composed of nine transversal axes: 1) Reproduction and sustainability of life; 2) A life free from violence; 3) Education and knowledge; 4) Health; 5) Sport and recreation; 6) Culture, communication and art; 7) Production and employment; 8) Environment, and 9) Power and decision making. These foster the full and effective participation of women and their empowerment in the areas of environmental management, natural resource management and habitat, and create conditions and employment opportunities and include women in power structures and decision-making processes.

The gender approach is a fundamental transversal element in the REDD + PA, so it is incorporated and considered in all its areas. To ensure the success and sustainability of REDD + in its implementation, it is essential that effective mechanisms be in place to implement the constitutional, legal and international precepts on gender in national plans and programs. From a gender perspective, the environment and the impacts of climate change require an analysis from the reproduction and sustainability of life, in which women are the protagonists (National Women's Agenda 2014-2017).

Section 6.5 of the Plan of Action establishes the "Incorporation of the gender approach" and indicates that the different measures and actions proposed are instruments that seek to strengthen or deepen the processes under development; Are also a favorable scenario for incorporating and internalizing pragmatic gender equity guidelines. This, in practice, means:

1. Promote participation of women in the spaces of participation of national and local, and decision-making associated with implementation of REDD +, according to their circumstances and considering the roles and arrangements of gender.
2. Establish a plan for capacity building for women to be associated with their participation in the implementation of the different measures and actions of the PA REDD +.
3. Identify and generate measures and incentives, within factors of deforestation, and for the enhancement of environmental and social co - benefits that promote participation of women in the processes of productive transformation, such as agroforestry systems.
4. Identify and promote opportunities that will enable the integration or n of knowledge, skills, abilities and experience of women in the implementation of measures and REDD + actions.
5. Involve producers and members of women's associations in the processes of transition or n towards sustainable production systems and initiatives NWFPP harvesting, according to the role they have and the

³⁷ All this information is in the Plan of Action REDD + Forests for Good Living, in the section reference frame from 79 and 80. Link to download the plan: <http://suia.ambiente.gob.ec/redd>.

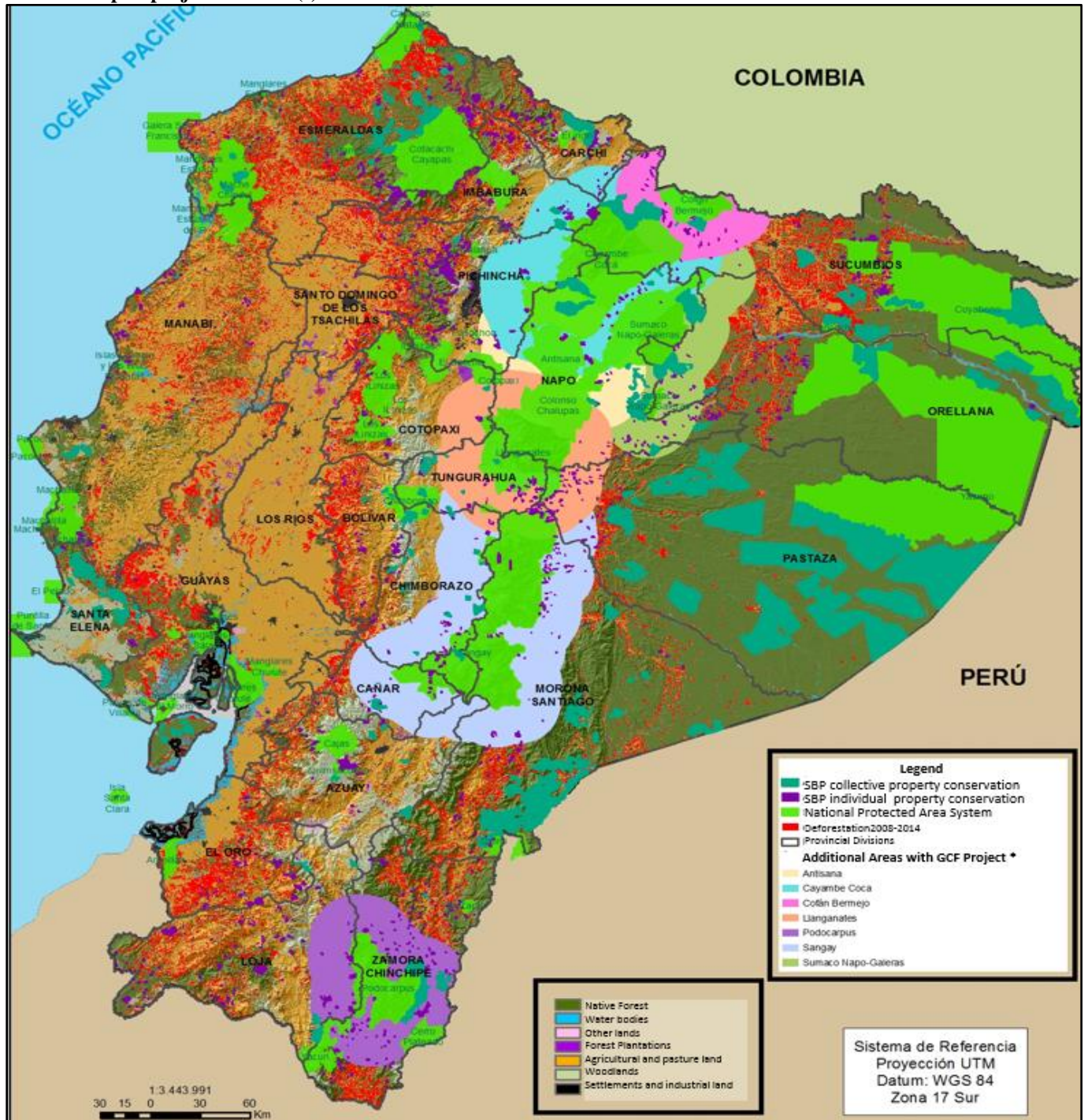
- opportunities identified for insertion or n in the chain of value.
6. Or encourage the full participation of women in n spaces GESTI or environmental n and management of natural resources.
 7. Promote participation parity of rural women in the management for protecting basins of hydric and water sources.
 8. Promote equal opportunities for women producers, trough enabling programs, strengthening leadership, and through incentives, including those of technological or logic nature.
 9. Promote, strengthen and improve access of rural women to the means of production or and marketing, giving special consideration to agroecological practices, traditional or ancestral sustainable practices and conserving biodiversity and environmental services.
 10. Ensure that allocation mechanisms of local resources REDD+ using sex - disaggregated data, looking for women to participate in the benefits of implementation of the REDD+ measures and actions.

In addition, as a complement to what mention is made in the Plan of REDD + Action in relation to gender, it should be noted that the Ministerial Agreement No. 116³⁸ which is the instrument that formalizes the Plan, in Article No 11 provides that in the Implementation of the REDD + Action Plan will incorporate the gender approach in a cross-cutting way to respond to the differentiated needs and interests of women and men, in order to ensure effective equality and equity.

Finally, it should be noted that the Ministry of the Environment currently has the support of a consultancy in which specific recommendations are being generated for the incorporation of the gender approach in the REDD + Implementation Plans.

³⁸ Ministerial Agreement No. 116. November 7, 2016. Link: <http://suia.ambiente.gob.ec/redd>

7. Map of project location (s) with GPS coordinates



8. Monitoring Plan

Monitoring Plan: The Project Manager 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 and Risks
SDG indicator	Indicator 13.2.1 Number of countries that have communicated the establishment or operationalization of an integrated policy/strategy/plan which [...] low GHG emissions development in a manner that does not threaten food production	Ecuador has submitted its REDD+AP to the Lima Info hub, which ambitions to reduce deforestation and enhanced agricultural production. It needs now to be implemented.	Source of the data: UNFCCC Lima info hub	Annually Reported in DO tab of the Annual Project Report	M&E specialist	UNFCCC Lima info hub	The constituencies of the NY Declaration of Forests and Amsterdam declarations, and the buyers of agricultural commodities, are complying with their commitments of removing deforestation from their supply chain by 2020, and are incentivizing deforestation free production in Ecuador. Besides, payments provided by the GCF for verified Emission Reduction (tCO ₂ eq) for REDD+ are predictable and sufficiently attractive to incentivize Ecuador in pursuing the endeavor of reducing emission from deforestation at the national level. The direct and indirect drivers of deforestation may evolve very rapidly. Several of them are strongly influenced by international factors such as, for instance, the price of the crude oil which directly impact the budget of the government, or the price of agricultural commodities, or the level of unemployment in urban and rural areas. They are not necessarily under the government control, and can all impact significantly the pressure on
UNDP Strategic Plan IRRF Indicators	1.3.A.11: total annual emissions of CO ₂ eq	Reduction of emissions will be measured against the FREL [2001-2008]: 43.418.126 tCO ₂ eq/y	Source of info: REDD annex of the BUR, verified by UNFCCC experts	Bi-annually	M&E Specialist	Lima info Hub and technical annex of the BUR	
Fund level Impact	a) M4.1: Emission reduction (tCO ₂ eq) as a result of REDD+ AP b) Cost per tCO ₂ e	a) FREL [2001-2008]: 43.418.126 tCO ₂ eq/y b) Tbd	a) Source of info: REDD annex of the BUR, verified by UNFCCC experts b) Reports to	Bi-annually	M&E Specialist	Lima info Hub and technical annex of the BUR	

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
			the GCF				natural forests.
	M5.1 Number of policies, institutions, coordination mechanisms and regulatory frameworks that improve incentives for low-emission planning and development and their effective implementation	a) At least 18 land-use planning instruments (PDOT, life plans) linked to land-use zoning and climate change mitigation objectives. At least 2 national mechanisms institutionalized and working (CICC and one related to deforestation-free commodities).	Reports to the GCF	Annually	M&E Specialist	Reports to the GCF	The results of the upcoming presidential election (March 2017) is unknown, and the priorities of the future government are still to be defined. If the attention toward environmental issues in general or the REDD+ AP decreases, as well as the budget allocations to programmes such as the ATPA and PSB, then the likelihood to maintain or increase the reduction of deforestation in Ecuador will be negatively affected. Continued political will from the institutions and stakeholders involved.
	M 9.1: Hectares of land or forests under improved and effective management that contributes to CO ₂ emission reductions (cumulative of SBP, ATPA and Water Funds)	In total 2,025,318 ha: SBP has 1.5 million ha under conservation, 203,911 ha for forest sustainable management, and 145,000 ha under restoration programmes; ATPA contributes to improved and effective management of Agroforestry	Reports to the GCF	Annually	M&E Specialist	Reports to the GCF	New investments in strategic projects are aligned with the PDOTs and Life Plans in the intervention areas. Lack of political will may slow the development or impede the approval or implementation of land-use plans. If strategic public and private investments are not aligned with PDOTs and life plans, then these instruments will lose credibility and effectiveness.

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
		systems in 45,000 ha; and the 3 water funds in 285,823 ha.					
Outcome 1: Investment in enabling policies to reduce the drivers of deforestation and its associated emissions.	Number of strengthened land-use planning instruments and life plans that have included climate change mitigation policies and actions.	<ul style="list-style-type: none"> • Provincial PDOTs: 6 • Cantonal PDOTs: 12 • Life Plans: 5 	Reports to the GCF	Annually	M&E Specialist	Reports to the GCF	<p>Success factors (or risks): Political will from the highest authorities of the involved institutions and stakeholders. GADs and communities update their PDOTs and Life Plans.</p> <p>Hypotheses Lack of political will may slow the development or impede the approval or implementation of land-use plans If PDOTs and life plans are not update as planned, there will be no opportunity to include CC criteria.</p>
	inclusion of a national level, “Contents and Processes Guide for the formulation, development and land-use plans in provinces, cantons and parishes”; Provincial PDOT; Cantonal PDOT; Life Plans	At a national level, the “Contents and Processes Guide for the formulation development and land-use plans in provinces, cantons and parishes” will include CC guidelines.	Reports to the GCF	Annually	M&E Specialist	Reports to the GCF	
	Number of legal coordination instruments at a national and territorial level for REDD+.	At least 5 legal coordination instruments and 6 inter-institutional agreements institutionalized and working at a national	Reports to the GCF	Annually	M&E Specialist	Reports to the GCF	

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
		and territorial level for REDD+.					
Outcome 2: Implementation of financial and economic incentives towards the transition to sustainable production systems in non-forest areas.	# of ha transformed to sustainable production systems in deforested areas.	At least 45,000 ha converted to sustainable production systems in the project's prioritized areas.	Reports to the GCF	Annually	M&E Specialist	Reports to the GCF	<p>Success factors (or risks) Producers maintain their commitment to the transformation to sustainable production. Will from private businesses to commit to responsible purchasing.</p> <p>Hypotheses Given that participation is voluntary, if producers do not participate or abandon their commitment prior to consolidating the transition, then gains will be limited or impermanent.</p> <p>If private companies do not commit to responsible purchasing, then there will be no demand-side incentives for producers and improved practices will remain highly dependent on Government incentives and policies.</p>
	Number of products with deforestation-free certification and traceability.	At least 4 products will have deforestation-free certification.	Reports to the GCF	Annually	M&E Specialist	Reports to the GCF	
	Existence of a national service for contracts (SERCOP) resolution that includes and prioritizes the procurement of deforestation-free products.	Existence of a SERCOP resolution: "purchase volumes will be measured to know the impact of this measure".	Reports to the GCF	Annually	M&E Specialist	Reports to the GCF	
	Number of beneficiaries transiting successfully to sustainable production systems in	75,000 direct beneficiaries have transitioned to sustainable production	Reports to the GCF	Annually	M&E Specialist	Reports to the GCF	

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
	deforested areas						
Outcome 3: Financial and non-financial mechanisms for restoration, conservation and connectivity	<ul style="list-style-type: none"> • # of additional hectares receiving support from SBP for conservation, sustainable forest management and restoration • # of additional hectares of Southern Dry Forests and Valleys under SBP • # of hectares and % of total areas of watersheds managed by the 3 water funds, where REDD+ actions are implemented 	<ul style="list-style-type: none"> • At least 14,500 ha, 93,000 ha and 75,000 ha. • 2,750 ha • 285,823 ha, representing 76 % of total areas of intervention. 	Reports to the GCF	Annually	M&E Specialist	Reports to the GCF	<p>The SBP maintains its previous commitments despite the reduction of government's budget.</p> <p>Forest owners remain interested in seeking SBP support for conservation, sustainable forest management and restoration programs.</p> <p>Local actors are interested in conservation, restoration and sustainable management activities in the area of intervention</p>
Outcome 4: Implementation of enabling instruments to reduce the drivers of deforestation and its associated emissions.	<ul style="list-style-type: none"> • Number of enabling systems and instruments available 	<ul style="list-style-type: none"> • Management system for REDD+ measures and actions is operational • SNMF is institutionalized and a third BUR with REDD annex is submitted to the UNFCCC in 2020. • SIS is operational and a third summary of 	Minutes of Fund meetings and published account balance of the Fund	Annually	M&E Specialist	Reports to the GCF	<p>Success factors (or risks)</p> <ul style="list-style-type: none"> • Fund availability for REDD+ RBPs in compliance with the Warsaw Framework for REDD+. <p>Hypotheses:</p> <p>If RBPs for REDD+ do not materialize, the implementation of the Warsaw Framework requirements will no longer have a purpose.</p>

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
		<p>information is submitted to the UNFCCC in 2020.</p> <ul style="list-style-type: none"> Improved FREL submitted to the UNFCCC in 2020 and assessed. The environmental National Fund is operational and manages REDD+ funds. 					
1.1 PDOTs and Life Plans updated and implementation with CC criteria and actions.	<ul style="list-style-type: none"> Number of strengthened PDOTs and Life Plans that have included climate change mitigation criteria, policies and actions. 	<ul style="list-style-type: none"> Provincial PDOTs: 6 Cantonal PDOTs: 12 Life Plans: 5 	Reports to the GCF	Annually	M&E Specialist	Reports to the GCF	<p>Entities and stakeholders involved in PDOT are convinced that PDOT can become useful tool of planning, are monitoring them, and are taking corrective actions when needed.</p> <p>Monitoring of PDOT becomes compulsory and attribution of funds by SEMPLADES to provinces, cantons and parishes becomes contingent to the compliance with agreed upon PDOT</p>
1.2. Local capacity building for supervision of land-use planning and zoning.	<ul style="list-style-type: none"> # of public officials and indigenous community leaders trained on monitoring land use plans and land use zoning, disaggregated by gender. 	<ul style="list-style-type: none"> 300 public officials and 350 indigenous community leaders, including 60% and 40% of women respectively 	Reports to the GCF	Annually	M&E Specialist	Reports to the GCF	<p>Entities and stakeholders involved in PDOT endorse the online tool to be developed under output 1.4, which will ensure consistency between the different PDOT, link them to the NFMS and potentially to the SNI of SEMPLADES.</p> <p>Local actors are empowered for</p>
1.3 Strengthening forest control	<ul style="list-style-type: none"> Existence of a certification of origin Existence of a forest traceability system 	<ul style="list-style-type: none"> Yes Yes 106 persons, including 42 	Reports to the GCF	Annually	M&E Specialist	Reports to the GCF	

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
	<ul style="list-style-type: none"> # persons trained in forestry control, by gender 	women					monitoring the implementation of PDOT and for contributing to forest control
1.4 Formal Inter-Institutional Coordination Structures within the framework of land-use plans, life plans and land-use zoning.	<ul style="list-style-type: none"> Existence of a web-based tool for land use planning and monitoring, linking all PDOTs, life plans and IFM plans together, and connected to the NFMS of MAE and the SNI of SENPLADES Number of regional and intersectorial coordination platforms established and operational 	<ul style="list-style-type: none"> Yes 3 regional and 2 intersectorial 	Reports to the GCF	Annually	M&E Specialist	Reports to the GCF	
2.1 Provision of incentives for the sustainable production transition period.	<ul style="list-style-type: none"> Area (ha) supported by ATPA and area (ha) implementing REDD+ compatible measures # of additional beneficiaries supported by ATPA thanks to GCF. # and % of IMF plans integrating provisions for reducing deforestation Level of financial 	<ul style="list-style-type: none"> 45,000 ha, and 45,000 ha. 250,000 beneficiaries, including 50% of women 450, 90% IRR = 12% 	Reports to the GCF	Annually	M&E Specialist	Reports to the GCF	ATPA receives sufficient funds from the GoE and MAGAP to maintain its operation, despite the reduction of government budget due to the fall of crude price.

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
	sustainability of ATPA (IRR , where the current and future farm expenses and revenues are determined, and economic indicators such as NPV and IRR are improved))						
2.2 Promote the coordination and implementation of existing tax incentives that will allow for the transition to sustainable production systems.	<ul style="list-style-type: none"> a) Number, b) annual and c) cumulative amounts of tax incentives that will allow for the transition to sustainable production systems, compared to BAU 	<ul style="list-style-type: none"> 5/5 XX usd / XX usd XX usd / XX usd 	Reports to the GCF	Annually	M&E Specialist	Reports to the GCF	RSI endorses the principle that tax incentives must be adjusted to include provisions related to reduction of deforestation and other environmental and social considerations.
2.3 Support the redesign of existing public credit lines with favorable financial conditions for sustainable production.	<ul style="list-style-type: none"> # and b) annual amounts of credit lines for sustainable agriculture production incorporating provision for reducing deforestation, compared to # and annual amounts of credit lines without provisions for reducing deforestation c) # of beneficiaries 	<ul style="list-style-type: none"> 6/6 XX usd / XX usd XX, including 50% women 	Reports to the GCF	Annually	M&E Specialist	Reports to the GCF	BanEcuador endorses the idea of adjusting public credit lines to include favorable financial conditions for sustainable production, despite the fact that this might reduce temporarily the number and volume of credits provided by Banecuator

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
	of these credit lines with provision for reducing deforestation, disaggregated by gender						
2.4 Responsible public and private procurement for deforestation-free production	<ul style="list-style-type: none"> number of public and private buyers in Ecuador committed to the sustainable sourcing of meat, milk, cacao, coffee and palm oil. number of int'l buyers of commodities who are fulfilling their commitments to rid their supply chain of deforestation in Ecuador by 2020. Volume (in tons and % of production) of purchased meat, milk, cacao, coffee and palm oil production which are certified deforestation free 	<ul style="list-style-type: none"> XX public and XX private buyers XX of int'l buyers by 2020. XX tons and XX% 	Reports to the GCF	Annually	M&E Specialist	Reports to the GCF	<p>Many companies or public institution will be keen on participating and are adhering to national definition and standards.</p> <p>Data can be standardized and analyzed on a regular basis.</p> <p>All relevant institutions are involved and contributing to data collection.</p> <p>The price differentiation in favor of deforestation free commodities is sufficient to incentivize local producers to comply with requirements of deforestation free production.</p>
2.5 Certification and traceability of deforestation-free products.	<ul style="list-style-type: none"> National Standards in place for the production of deforestation-free cacao, palm oil, 	<ul style="list-style-type: none"> 1, 1, 1, 1 1, 1 3: Marca país, Punto Verde, BPA 	Reports to the GCF	Annually	M&E Specialist	Reports to the GCF	Traceability systems are not duplicating, can be integrated into the NFMS and linked to the PDOTs and IFM Plans

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
	coffee and cattle <ul style="list-style-type: none"> • Traceability systems for cacao (national) and palm oil (Amazon wide) are operational and enables national and international buyers to identify the producers of deforestation-free goods • # of certification schemes integrating provisions for deforestation free production • # of producers with deforestation free certificates for cacao and Palm oil. 	<ul style="list-style-type: none"> • d) X, X 					International recognition of this traceability systems (in particular by Trade Partners such as European Union).
3.1 Strengthen conservation, restoration and forest management processes driven through the Socio Bosque Programme.	<ul style="list-style-type: none"> • # of additional hectares under a) conservation, b) forest sustainable management, c) restoration programmes, and • d) financial sustainability of SBP (clarify how it is defined!) 	<ul style="list-style-type: none"> • at least 14,500 ha • 93,000 ha • 75,000 ha • 65% 	Reports to the GCF	Annually	M&E Specialist	Reports to the GCF	The SBP maintains its previous commitments despite the reduction of government's budget. Forest owners remain interested in seeking SBP support for conservation, sustainable forest management and restoration programs.

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
3.2 Support financial mechanisms for integrated water resource management in the basins located within prioritized areas.	<ul style="list-style-type: none"> • # of ha in FONAG, FONAPA and FORAGUA respectively where REDD+ compatible measures are implemented, compared to total surfaces intersecting with the REDD+ prioritized areas 	<ul style="list-style-type: none"> • 28,500 ha/ 109,776 ha • 207.323,69 ha/ 207.323,69 ha • 50,000 ha/ 197,425 ha 	Reports to the GCF	Annually	M&E Specialist	Reports to the GCF	Local actors are interested in conservation, restoration and sustainable management activities in the area of intervention
4.1 Support to the implementation of the Warsaw Framework for REDD+ and other operational processes.	<ul style="list-style-type: none"> • SIS operational and providing transparent information on how safeguards are addressed and respected, with summary of information • NFMS institutionalized and linked to BUR, PDOTs and IFM plans, with certification systems, and connected to the system of information of MAGAP • # of annual meetings of the national REDD+ platform 	<ul style="list-style-type: none"> • Yes • Yes • 4 in 2019 and 4 in 2020 	Reports to the GCF	Annually	M&E Specialist	Reports to the GCF	The payments provided by the GCF for verified Emission Reduction (tCO ₂ eq) for REDD+ are predictable and sufficiently attractive to incentivize Ecuador in pursuing the endeavor of reducing emission from deforestation at the national level and maintaining these systems which are requested by the UNFCCC
4.2 Operationalization	<ul style="list-style-type: none"> • System of management of 	<ul style="list-style-type: none"> • Yes • Yes 	Minutes of Fund meetings and	Annually	M&E Specialist	Reports to the GCF	

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
n of the financial architecture of the REDD+ AP.	REDD+ actions and measure institutionalized and provides annual financial and technical reports for the GCF and other co-financings of the REDD+ action plan ● New Environmental Fund is operational		published account balance of the Fund				
Environmental and Social risks and management plans, as relevant.	N/A	N/A	Updated SESP and management plans	Annually	Project Manager UNDP CO	Updated SESP	
Gender action plan as relevant							
Stakeholder engagement plan as relevant							

9. Evaluation Plan

Evaluation Title	Planned start date Month/year	Planned end date Month/year	Included in the Country Office Evaluation Plan	Budget for consultants ³⁹	Other budget (i.e. travel, site visits etc...)	Budget for translation
Mid Term evaluation	First semester of the third year of implementation	3 months after beginning of evaluation process	Yes	USD 30,000	USD 7,000	USD 2,000
Terminal Evaluation	4 months before operation closure	To be submitted to GCF within four months of operational closure	Yes/	USD 30,000 – 60,000	USD 7,000	USD 2,000
Total evaluation budget				USD 78,000		

10. Timetable of project implementation

	2017				2018				2019				2020				2021				2022			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Output 1.1 PDOTs and Life Plans update and implementation with climate change criteria and actions.																								
Activity 1.1.1																								
Output 1.2: Local capacity building for supervision of land-use planning and zoning																								
Activity 1.2.1																								
Activity 1.2.2																								
Output 1.3: Strengthening forest control																								
Activity 1.3.1																								
Activity 1.3.2																								
Activity 1.3.3																								
Output 1.4. Formal Inter-Institutional Coordination Structures within the framework of land-use plans, life plans and land-use zoning																								

³⁹ The budget will vary depending on the number of consultants required (for full size projects should be two consultants); the number of project sites to be visited; and other travel related costs. Average # total working days per consultant not including travel is between 22-25 working days.

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.

Main duties and responsibilities:

- Provide direction and guidance to project team(s)/ responsible party (ies)
- Liaise with the Project Board to assure the overall direction and integrity of the project
- Identify and obtain any support and advice required for the management, planning and control of the project
- Responsible for project administration, with the support of the Project Administrative-Financial Assistant
- Plan the activities of the project and monitor progress against the project results framework and the approved annual work plan
- Mobilize personnel, goods and services, training and micro-capital grants to initiative activities, including drafting terms of reference and work specifications, and overseeing all contractors' work
- Monitor events as determined in the project monitoring schedule plan/timetable, and update the plan as required
- Manage requests for the provision of financial resources by UNDP, through advance of funds, direct payments or reimbursement using the fund authorization and certificate of expenditures
- Monitor financial resources and accounting to ensure the accuracy and reliability of financial reports
- Be responsible for preparing and submitting financial reports to UNDP on a quarterly basis
- Manage and monitor the project risks initially identified and submit new risks to the project board for consideration and decision on possible actions if required; update the status of these risks by maintaining the project risks log
- Capture lessons learned during project implementation
- Prepare the annual work plan for the following year; and update the Atlas Project Management module if external access is made available
- Prepare the Annual Project Report and submit the final report to the Project Board
- Based on the Annual Project Report and the Project Board review, prepare the AWP for the following year.
- Ensure the mid-term review process is undertaken as per the UNDP guidance, and submit the final MTR report to the Project Board
- Identify follow-on actions and submit them for consideration to the Project Board
- Ensure the terminal evaluation process is undertaken as per the UNDP guidance, and submit the final TE report to the Project Board

Profile: At least 5 years of experience in project management and implementation, as well as significant direct experience related to the scope of the project; experience regarding to REDD+ approach and knowledge of REDD+ Action Plan is a must. Capacity building skills 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 and under minimum supervision is required.

Terms of Reference: Project Management Advisor

The Project Management Advisor will work in close coordination with the Project Manager in the management and administration of the project. He/She will provide authoritative advice and technical guidance on the direction and strategies throughout the different stages of programming from planning to delivery of

results. She/He will work under the supervision of the Project Manager and will coordinate with the Accredited Entity and the Implementing Partner to ensure adequate project management.

Main duties and responsibilities:

- To enable the project to maintain strategic direction during implementation
- To sharpen the project's focus on quality outputs
- To provide long term support for adaptive management, best practice assessment and implementation support for the project
- To emphasize a learning and adaptive approach to project management and implementation
- To review progress against the overall project work plan since inception, and to assess constraints to project implementation.
- To assist to the Project Manager in strategic decisions
- To ensure coordination with all project partners and stakeholders
- To support inception of the work on technical components of the project including assistance for the formulation of the terms of references
- To support and advise on project monitoring and reporting as well as tracking of implementation of management responses to evaluations
- To advise the Project Manager and UNDP on any other technical and strategic matters
- Conduct capacity development trainings for project staff on project management.
- Develop performance indicators and guidelines for effective compliance with the Strategic Plan
- Facilitate discussions, workshops or other events with multiple stakeholder and NGO participation, studies, surveys and pilot projects
- Provide substantive inputs into all technical reports to be prepared and carry out various activities arising during the project implementation

Profile: At least 3 years of experience in project management and implementation, as well as significant direct experience related to the scope of the project; experience regarding to REDD+ approach and knowledge of REDD+ Action Plan is a must. Capacity building skills 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 and under minimum supervision is required.

Terms of Reference: Project Administrative-Financial Assistant

The administrative/finance assistant will provide support to the Project Manager 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 Manager and will coordinate with the Accredited Entity and the Implementing Partner 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 and under the Project Manager approval

- 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 Manager in administrative/operational aspects for a satisfactory implementation of programmed activities based on the Results Framework and annual work plan, and UNDP-GCF 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
- 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: Safeguards advisor

The Safeguards Advisor will provide support to the Project Manager and to the Project Unit to ensure a fully comply of the Warsaw Framework for REDD+ in regards of the Cancun safeguards. She/He will be responsible on elaborate the summary of information on how safeguards are being addressed and respected. She/He will work under the supervision of the Project Manager and will coordinate with the Accredited Entity and the Implementing Partner to ensure adequate project management.

Main duties and responsibilities:

- Support the implementation and operationalization of the Safeguards Information System (SIS) for REDD+ in Ecuador

- Promote links and report information through SIS about the commodity sustainability schemes strengthened by the project
- Define a strategy to minimize risks associated with the implementation of REDD+ and, at the same time, to promote social and environmental benefits resulting from implementation within the framework of national priorities
- Ensure transparency, consistency, comprehensiveness and effectiveness when informing on how all safeguards are addressed and respected
- Support and encourage the involvement of civil society stakeholders to follow up on the implementation of social and environmental safeguards
- Support the establishment of an integrated information system for the implementation of REDD+, including the NFMS, the GHG inventory system and the Safeguards Information System (SIS)
- Capacity building for stakeholders from MAGAP, water funds, GAD/local governments and other entities involved in the implementation of the GCF project on Cancun safeguards and SIS related topics
- Elaboration and submission of new summaries of information on safeguards, prior to requesting REDD+ RBP
- Support the development of policy briefs and other communicational products on safeguards
- Capture lessons learned during project implementation

Profile: At least 3 years of experience in social and/or environmental projects in Ecuador; proved knowledge and experience in the Warsaw Framework for REDD+ procedures and the Cancun safeguards is a must; 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: Legal advisor

The Legal Advisor will provide support to the Project Manager and to the Project Unit in regards of legal issues related to national and international policies. She/He will be responsible on provide advice on a wide range of multi-discipline and conflicting legal matters that may arise. She/He will work under the supervision of the Project Manager and will coordinate with the Accredited Entity and the Implementing Partner to ensure adequate project management.

Main duties and responsibilities:

- Provide legal opinions based on the clear analysis of the Constitution and national laws
- Assist in the development and drafting of legal documents, regulations, Memorandums of Understanding, and others
- Conduct policy proposals and/or regulations when necessary
- Support on the coordination mechanisms between institutions and existing funds related to the implementation of the REDD+ Action Plan
- Support on the update of PDOTs with CC criteria, REDD+ actions and REDD+ performance indicators
- Conduct legal research including international comparative analysis
- Develop, as requested, technical briefing papers and presentations on key legal issues
- Provide legal analysis of key issues as requested
- Produce and deliver oral and written presentations on legal issues as requested
- Draft and produce regular progress reports and event based reports as requested
- Support the implementation and operationalization of the REDD+ Action Plan in Ecuador

Profile: At least 3 years of legal matters in Ecuador, strong proved knowledge and experience on environmental laws; Experience regarding to REDD+ approach and knowledge of REDD+ Action Plan is a must; Extensive experience in providing legal analysis; Ability to handle effectively multiple legal tasks without compromising quality, team spirit and positive working relationships; Strong interpersonal and communication skills; 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: Monitoring and Evaluation officer

The Monitoring and evaluation (M&E) officer will provide support to the Project Manager and to the Project Unit, She/He will be responsible for the monitoring and ensuring high quality and timely inputs, and for ensuring that the project maintains its strategic vision and its activities result in the achievement of its intended outputs in a cost effective and timely manner.

Main duties and responsibilities:

- Designing and implementing the M&E activities of the Project
- Assisting the Project Manager in preparing Quarterly/Annual reports on project progress and will monitor the project activities on a regular basis
- Developing and maintaining the monitoring information system of the Project
- Collection & analysis of different data in relation to the project activities
- Engagement with Government officials, private sector, non-government and civil society organizations
- Recommend further improvement of the logical frame work
 - Develop monitoring and impact indicator for the project success
 - Monitor and evaluate overall progress on achievement of results
 - Monitor the sustainability of the project's results
 - Provide feedback to the Project Manager on project strategies and activities
- Suggest strategies to the Project Management for improving the efficiency and effectiveness of the project by identifying bottlenecks in completing project activities and developing plans to minimize or eliminate such bottlenecks
- Participate in annual project reviews and planning workshops and assist the Project Manager in preparing relevant reports

Profile: At least 3 years of experience in social and/or environmental projects; proved knowledge and experience in REDD+ in Ecuador is a must; experience in designing and implementing large scale projects. Computer skills; initiative and responsibility; teamwork ability, high flexibility and capacity to work under pressure and under minimum supervision; and social sensitivity especially a gender approach. Written and spoken fluency in English is required

13. UNDP Project Quality Assurance Report (to be completed by UNDP Country Office)

The UNDP Project Quality Assurance Report can be downloaded here:

<https://intranet.undp.org/sites/ECU/project/00100778/SitePages/ProposalQAHomeV2.aspx?year=2016&ipp=1&dfs=APPROVED&cfs>

14. UNDP Risk Log

OFFLINE UNDP RISK LOG

To be entered into Atlas by UNDP Country Office

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
1	The project will be developed in an area where there is a high proportion of indigenous populations with important cultural heritage and also poor rural farmers and communities. It aims to bring together these stakeholders with differing levels of resources and power through a multi-level governance framework for land use planning and management and also the development of financial mechanisms. The project could lead to adverse impacts on enjoyment of the human rights of the affected population and particularly of marginalized groups because duty-bearers might not have the capacity to meet their obligations in the project or because rights-holders might not have the capacity to claim their rights.	Sept 2016 (submission of FP to GCF)	Social and environmental	Medium (5.1-20% of project value) P = 2 I = 4	Significant progress has been observed in Ecuador in terms of respect and promotion of human and indigenous rights, as illustrated by the recent release of a Ministerial Decree 128 ⁴⁰ on Free, Prior and Informed Consultation (FPIC). Yet it is still unclear if all the rights holders have a full understanding of their rights, and if the Government has the full capacity and experience to comply with its obligations. However, the GCF project represents an excellent opportunity to promote human rights principles in Ecuador and contribute to their implementation at the local and national levels. The probability of this risk is low as the project will implement priority actions that have been identified and agreed upon by multiple stakeholders through a participatory process that defined the REDD+ AP and in which rights and obligations of duty bearers were specifically discussed. Nonetheless, specific actions have been included to improve the capacities of duty bearers and rights holders. Amongst others, this includes implementing Ministerial Decree 128 guidelines for FPIC during the proposed land planning processes and, with specific reference to indigenous people, project activities in their lands will be implemented on a voluntary basis. Where needed, specific training of local and national representatives of the Government as well as rights holders on their rights and redress mechanisms will be provided to ensure their implementation. Other measures are detailed in Annex VI, as well as Sections E.2.2 and E.5.3, and include: (i) supporting the continuity of the REDD +Work Group; (ii) setting up a system of information on how safeguards are addressed and promoted in the context of REDD in the country; (iii) setting appropriate grievance procedures/mechanisms to provide channels for concerned stakeholders and applying the UNDP Stakeholder Response Mechanism (SRM), in case no other mechanism exists at the local, regional or national level. A comprehensive Environmental and Social Impact Assessment will be undertaken before potential impacts occur, to assess the	UNDP CO	UNDP CO	Feb 2017	No change

⁴⁰ <http://www.pnc-onureddecuador.org/biblioteca-virtual-onuredd/politicas-e-instrumentos-para-la-implementacion-de-redd/99-acuerdo-ministerial-128.html>

					potential impacts further and develop more detailed mitigation measures and plans.				
2	The project will develop land-use plans to reduce the pressure on forest areas and increase protection of key forest fragments in the production landscape. Some of these land-use plans may place restrictions on existing and future land uses. Although the project does not envisage physical displacement, land-use restrictions may increase the possibility of economic displacement, especially for poorer and marginalized individuals who may not have resources to change current production practices.	Sept 2016 (submission of FP to GCF)	Social and environmental	Medium (5.1-20% of project value) P = 2 I = 4	The project includes specific actions to address this risk. First, land-use planning will only take place through participatory processes and support will be given for the inclusion of representatives of marginalized groups. Second, financial mechanisms will be set up through the project to support the transition to new land uses to compensate opportunity costs during the conversion stage, thereby reducing any adverse economic displacement. This includes supporting incentive payments in the short-term and strengthening supply chains of deforestation-free produce to increase income in the medium-term. These mechanisms target different groups of stakeholders, including small-scale farmers and communities. In addition, SBP will be strengthened by the project. This is an existing incentive that provides resources to communities and indigenous people, many of whom are amongst the poorest and most vulnerable in society. A comprehensive Environmental and Social Impact Assessment will be undertaken before potential impacts occur, to assess the potential impacts further and develop more detailed mitigation measures and plans.	UNDP CO	UNDP CO	Feb 2017	No change
3	The 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, sustainable harvesting of forest and reforestation, as well as planning, regulation and enforcement in other areas where, to a large extent, economic activity such as farming, harvesting and grazing has expanded with little control. Unless this takes into account sustainable practices and harvesting limits as well as climate-resilient interventions, this may adversely affect conservation values of these areas and/or increase vulnerability to CC of production sectors and local communities.	Sept 2016 (submission of FP to GCF)	Social and environmental	Medium (5.1-20% of project value) P = 2 I = 3	The focus of the project is precisely on maintaining areas of high conservation value forest and project components are designed specifically to address causes and drivers of deforestation and forest degradation to avoid adverse impacts on conservation values and mitigate climate change impacts. The project will generate changes in the forms of production in non-forest areas adjacent to Protected Areas and indigenous lands to ensure they are free from deforestation. The different production models and critical areas were identified in the REDD+ Action Plan based on a large number of detailed feasibility studies, available as part of Annex II, and include geographically-explicit identification of required actions to reduce deforestation across the landscape in each province and a detailed analysis of the costs and benefits of implementing these actions. Maps based on these feasibility studies are provided in Annex IX. A safeguards and MRV system for REDD+ will be implemented to guide land use in these selected landscapes to those activities and practices that do not harm forests and their ecosystem goods and services. This includes the definition of sustainable harvesting and management, drawing from the best practices outlined in Section E.6.2. A second measure will be to ensure that access to credit and availability of a range of fiscal and economic incentives for	UNDP CO	UNDP CO	Feb 2017	No change

					sustainable climate-resilient production follow the recommendations of the REDD+ AP and are monitored by the safeguards. A third measure will be to develop market mechanisms focused on the demand-side for deforestation-free products to contribute to this paradigm shift towards sustainable deforestation-free production. A comprehensive Environmental and Social Impact Assessment will be undertaken before potential impacts occur, to assess the potential impacts further and develop more detailed mitigation measures and plans.				
4	The project depends on actions of multiple stakeholders, ranging from different national line ministries, local governments and agricultural producers and communities. Sub-optimal coordination, duplication and overlap of responsibilities between and within the different levels may undermine implementation.	Sept 2016 (submission of FP to GCF)	Technical and operational	Medium (5.1-20% of project value) P = 3 I = 3	The project has been designed to address this risk. Component 1 includes the strengthening of inter-institutional coordination mechanisms. Land-use planning will be undertaken through participatory processes and will specifically address overlapping responsibilities and roles. Furthermore, to ensure delivery of project resources the project will include a focus on the scale-up of existing finance instruments – for example, SBP and MAGAP – with operational and clear responsibilities support to farmers. Also, inter-institutional agreements for coordination between participating institutions will be established, as outlined in Section C.3, as well as setting-up dialogue and decision-making mechanisms, and engaging key stakeholders at all levels (see Section E.5.3 for more details).	UNDP CO	UNDP CO	Feb 2017	No change
	This is not a direct risk for the project; however, uncertainties with regard to future REDD+ results-based payments is a potential risk for the full implementation of the National REDD+ AP	Sept 2016 (submission of FP to GCF)	Financial	Low (0-5% of project value) P = 1 I = 3	The GCF and co-finance investments in financial instruments, together with the provision of know-how to producers for sustainable production and the enforcement of land-use zoning, will trigger changes in land uses. The financial risk associated with this is low. However, the sustainability of the REDD+ National Action Plan in the future rests on triggering the RBPs envisaged under the UNFCCC REDD+ process. If RBPs fail to materialize, the financial sustainability of the Action Plan will be at risk. Nonetheless, the project will minimize these risks through the market transformation and the introduction of REDD+ concepts into national financial incentives and measures, thus providing financial sustainability to at least some of the PAMs enacted. Furthermore, as indicated in Section E.2.1, the GCF project will contribute to building confidence in the UNFCCC REDD+ process, not only further reducing this risk but also assisting the GCF to meet the expected results as per its Initial Logic Model and PMF for REDD and RBPs. Nonetheless, UNDP will closely monitor the progress relating to RBPs in the international context and incorporate relevant measures into the project strategy and implementation as needed.	UNDP CO	UNDP CO	Feb 2017	No change

	Potential risks associated with land tenure in the project area.	Sept 2016 (submission of FP to GCF)			Ecuador has a new land law that ensures the rights of farmers and indigenous population. Ecuador has one of the highest rates of indigenous land titling in the region. However, some of the UPAs still need titling updates since part of, or the entire, property are overlapping with other land uses or other properties. To some extent, the Government has provided technical capacities to overcome this barrier, but financial resources are still needed to complete the land allocation and regulation at the national level. In the case of the targeted communities, ATPA has developed a component named "Proyecto Plan Tierra" which is executed by the Under-Secretariat of Land Regulation but this is still in its very early stages and support is expected from the GCF project to move it forward.	UNDP CO	UNDP CO	Feb 2017	No change
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15. Results of the capacity assessment of the project implementing partner and HACT micro assessment (to be completed by UNDP Country Office)

Results of the capacity assessment of the project implementing partner and HACT micro assessment can be downloaded here:

- [HACT Microevaluacion Ministerio Ambiente Defiitivo.pdf](http://gefpiims.undp.org/documents/1/g5768/g2_20813/HACT%20Microevaluacion_Ministerio_Ambiente_Defiitivo.pdf)⁴¹
- [HACT Informe Microevaluacion MAGAP Final.pdf](http://gefpiims.undp.org/documents/1/g5768/g2_20813/HACT%20Informe_Microevaluacion_MAGAP_Final.pdf)⁴²
- [HACT Informe Microevaluación FORAGUA - Feb 2017 - Final.pdf](http://gefpiims.undp.org/documents/1/g5768/g2_20813/HACT%20Informe_Microevaluacion_FORAGUA_-_Feb_2017_-_Final.pdf)⁴³
- [HACT Informe Microevaluación FONAPA - Feb 2017- FINAL.pdf](http://gefpiims.undp.org/documents/1/g5768/g2_20813/HACT%20Informe_Microevaluacion_FONAPA_-_Feb_2017_-_FINAL.pdf)⁴⁴
- [HACT Informe Microevaluación FONAG - Feb 2017 - Final.pdf](http://gefpiims.undp.org/documents/1/g5768/g2_20813/HACT%20Informe_Microevaluacion_FONAG_-_Feb_2017_-_Final.pdf)⁴⁵

16. Any additional agreements, such as cost sharing agreements, project cooperation agreements signed with NGOs (where the NGO is designated as the “executing entity”)

N/A

17. Conditions and recommendations made by the GCF Board ⁴⁶, and responses provided

Responses provided on April 24th 2017:

GCF conditions	UNDP responses
A revision of CO ₂ emission reduction estimates, and a baseline information system to support monitoring arrangements of the REDD-plus scheme	FAA-UNDP-050417-5768 - 01 Revised CO2 emission reduction estimates (text).pdf ⁴⁷ FAA-UNDP-050417-5768 - 01 Revised CO2 emissions reduction estimate (excel data).xlsx ⁴⁸ FAA-UNDP-050417-5768 - 01 Info management system of REDD+ actions and measures.pdf ⁴⁹
The development of a comprehensive sustainability strategy for all the components of the project with special emphasis on component 2, including alternative financial options to just giving grants	FAA-UNDP-050417-5768 - 02 Sustainability strategy with emphasis on component 2.pdf ⁵⁰
A grant operational manual with a detailed explanation of the farm (family) selection process for the ATPA project, selection criteria, terms and conditions of the grants, approval process and role of the Ministry of Environment, the Ministry of Agriculture, the ATPA project and the acting unit of the GCF proposed project	FAA-UNDP-050417-5768 - 03 Operational manual ATPA (SPN and ENG).pdf ⁵¹

⁴¹http://gefpiims.undp.org/documents/1/g5768/g2_20813/HACT%20Microevaluacion_Ministerio_Ambiente%20Defiitivo.pdf

⁴²http://gefpiims.undp.org/documents/1/g5768/g2_20813/HACT%20Informe%20Microevaluacion%20MAGAP%20Final.pdf

⁴³http://gefpiims.undp.org/documents/1/g5768/g2_20813/HACT%20Informe%20Microevaluaci%C3%B3n%20FORAGUA%20-%20Feb%202017%20-%20Final.pdf

⁴⁴http://gefpiims.undp.org/documents/1/g5768/g2_20813/HACT%20Informe%20Microevaluaci%C3%B3n%20FONAPA%20-%20Feb%202017%20-%20FINAL.pdf

⁴⁵http://gefpiims.undp.org/documents/1/g5768/g2_20813/HACT%20Informe%20Microevaluaci%C3%B3n%20FONAG%20-%20Feb%202017%20-%20Final.pdf

⁴⁶https://www.greenclimate.fund/documents/20182/409835/GCF_B.14_18_-_Report_of_the_fourteenth_meeting_of_the_Board__12-14_October_2016.pdf/76e4ddee-24e3-40b8-89fa-79c86295bb7c

⁴⁷http://gefpiims.undp.org/documents/1/g5768/g2_20813/FAA-UNDP-050417-5768%20-%2001%20Revised%20CO2%20emission%20reduction%20estimates%20%28text%29.pdf

⁴⁸http://gefpiims.undp.org/documents/1/g5768/g2_20813/FAA-UNDP-050417-5768%20-%2001%20Revised%20CO2%20emission%20reduction%20estimates%20%28text%29.pdf

⁴⁹http://gefpiims.undp.org/documents/1/g5768/g2_20813/FAA-UNDP-050417-5768%20-%2001%20Info%20management%20system%20of%20REDD%2B%20actions%20and%20measures.pdf

⁵⁰http://gefpiims.undp.org/documents/1/g5768/g2_20813/FAA-UNDP-050417-5768%20-%2002%20Sustainability%20strategy%20with%20emphasis%20on%20component%202.pdf

⁵¹http://gefpiims.undp.org/documents/1/g5768/g2_20813/FAA-UNDP-050417-5768%20-%2003%20Operational%20manual%20ATPA%20%28SPN%20and%20ENG%29.pdf

Proof of further consultations with indigenous and peasant communities to agree on the proposed interventions and their willingness to participate in the project	FAA-UNDP-050417-5768 - 04 Consultations with indigenous and peasant communities.pdf ⁵²
A more comprehensive knowledge-sharing strategy, with special emphasis on institutional coordination	FAA-UNDP-050417-5768 - 05 KM sharing and capacity building strategy.pdf ⁵³

Additional responses provided on May 10th 2017:

- [Additional responses to the follow-up questions raised by the GCF Secretariat](#), as well as on condition #1 based on discussions.
- Evidence of the additional consultations which took place since the approval of the FP by the Board:
 - [2016-12-09 Ayuda Memoria Cuarta reunión Mesa de Trabajo REDD+](#)
 - [2016-11-17 Ayuda Memoria Tercera reunión Mesa de Trabajo REDD+](#)

⁵²http://gefpi.ms.undp.org/documents/1/g5768/g2_20813/FAA-UNDP-050417-5768%20-%2004%20Consultations%20with%20indigenous%20and%20peasant%20communities.pdf

⁵³http://gefpi.ms.undp.org/documents/1/g5768/g2_20813/FAA-UNDP-050417-5768%20-%2005%20KM%20sharing%20and%20capacity%20building%20strategy.pdf

19. Water Funds Implementation Plans

Link to: [Implementation Plan FONAPA](#)

Link to: [Implementation Plan FORAGUA](#)

Link to: [Implementation Plan FONAG](#)