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## United Nations Development Programme

<b>Project title:</b> Adaptive Management and Learning for the Commodities IAP		
<b>Country:</b> Global	<b>Implementing Partner:</b> UNDP <sup>1</sup>	<b>Management Arrangements :</b> Direct Implementation Modality (DIM)
<b>UNDAF/Country Programme Outcome:</b> N/A		
<b>UNDP Strategic Plan Output:</b> 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.		
<b>UNDP Social and Environmental Screening Category:</b> Low risk	<b>UNDP Gender Marker:</b> GEN2 (a "gender mainstreamed initiative")	
<b>Atlas Project ID/Award ID number:</b> 00097946	<b>Atlas Output ID/Project ID number:</b> 00101490	
<b>UNDP-GEF PIMS ID number:</b> 5665	<b>GEF ID number:</b> 9179	
<b>Planned start date:</b> January 2017	<b>Planned end date:</b> December 2020	
<b>LPAC date:</b> TBD		

<sup>1</sup> The project Components 1 and 3 are part of the the GEF financed Adaptive Management & Learning for the Commodities IAP project under the Commodities IAP, which is co-implemented by the United Nations Development Program (UNDP) and World Wildlife Fund (WWF). This Project Document governs Component 1 and 3 of the A&L project while Component 2 will be managed and implemented by WWF

**Brief project description:** The Adaptive Management and Learning (A&L) child project will be responsible for overall Program coordination among the different child projects. A virtual Program Secretariat will be established and will be charged with Program execution. A Program Steering Committee will be set up and held accountable for Program delivery and national focal points will be designated in each of the four IAP target countries. The A&L project will be instrumental in ensuring that the IAP is viewed as a cohesive whole and that it has a clear identity. This will entail a number of different vital elements including development of an IAP brand identity; Program-level monitoring and evaluation; knowledge management; and implementation of a partnership strategy with global-level cross cutting partners. As part of the KM activities, a Global Community of Practice will be established to convene practitioners from the IAP target countries to share best practices and promote learning. The A&L project will also contribute to developing a robust and policy-relevant evidence base on the effectiveness of different voluntary sustainability standards being used to implement deforestation-free and sustainable production and sourcing initiatives. This will include support to filling key gaps in the evidence base, making existing evidence more accessible to key user groups and synthesizing and communicating evidence in decision-relevant terms.

**FINANCING PLAN**

GEF Trust Fund <i>or LDCF or SCCF or other vertical fund</i>	USD 2,749,124
<b>UNDP</b>	<b>USD1,146,887</b>
<b>(1) Total Budget administered by UNDP</b>	<b>USD 3,896,011</b>

**PARALLEL CO-FINANCING** (*all other co-financing that is not cash co-financing administered by UNDP*)

Government - DFID	USD1,500,000
Government - SECO	USD800,000
Ford Foundation	USD700,000
NGO – ISEAL Alliance	USD120,000
NGO – Rainforest Alliance	USD1,000,000
NGO – WWF	USD1,229,317
<b>(2) Total co-financing</b>	<b>USD 5,349,317</b>
<b>(3) Grand-Total Project Financing (1)+(2)</b>	<b>USD9,245,328</b>

**SIGNATURES**

<b>Signature:</b> print name below	<b>Agreed by</b> <b>UNDP</b>	<b>Date/Month/Year:</b>
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## I. DEVELOPMENT CHALLENGE

Development Challenge: How to reduce the global environmental impacts of agricultural commodity production by meeting the growing demand for palm oil, soy and beef through supply that is associated with sharply reduced tropical deforestation, lower GHG emissions and reduced impacts on biodiversity.

1. Agricultural expansion and the production of key commodities have been identified as the primary driver of an estimated 65-73% of tropical deforestation worldwide<sup>2</sup>. A variety of negative impacts are being experienced as a result of this deforestation such as substantial greenhouse gas emissions, loss of habitat for biodiversity, loss of ecosystem services and negative impacts on livelihoods. The four target countries in this IAP are witnessing many of these significant environmental consequences. For example, in Indonesia, oil palm expansion was the single largest driver of deforestation from 2009-2011<sup>3</sup>. Record number of forest fires in 2015 was in part linked to clearing forested peatlands for palm oil production, leading to high carbon and methane emissions and the production of toxic smog. Palm oil production also leads to habitat loss, dramatic reductions in biodiversity, land degradation, soil erosion, and water contamination. In Brazil, beef production is the leading driver of deforestation, accounting for 75% of deforestation<sup>4</sup>, including in the Amazon, which is causing substantial greenhouse gas emissions. Soy production in Brazil is also associated with significant detrimental environmental impacts and deforestation and has grown significantly over the past years, such as in Matto Grosso state. Similarly, in Paraguay the beef and soy sectors have contributed to the country having one of the highest deforestation rates in the world, which is primarily affecting the Atlantic forest in the east and the Chaco tropical dry forest, savannas and wetlands in the west. In Liberia, the expanding oil palm sector threatens critically important forest areas.

2. However, demand for food is expected to continue to rise with the world population set to increase to nine billion by 2050, and rising incomes expected. The global middle class – important for their increasing disposable income and consumption – is set to almost triple by 2030.<sup>5</sup> Projected increases are consequently on the rise for food and fiber commodities to meet the needs of a world population that is more urban, more prosperous and more consumptive in nature. Within this context, global demand for soybeans for animal-feed and food consumption, oil palm as a key ingredient for food, soaps and biofuels, and beef for domestic and international markets, are at historical highs and will continue to grow as incomes and consumption increase globally. Agricultural commodities are also a key element of economic development and prosperity in developing countries and emerging economies, and often accounts for upwards of 10% of developing countries' gross domestic product (GDP).<sup>6</sup> Such growth in production has implications for the environment that need to be managed in order to maintain the natural capital upon which this desired growth would depend.

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<sup>2</sup> Hosonuma, Noriko, Martin Herold, Veronique De Sy, Ruth S. DeFries, Maria Brockhaus, Louis Verchot, Arild Angelsen, and Erika Romijn. 2012. "An Assessment of Deforestation and Forest Degradation Drivers in Developing Countries." *Environmental Research Letters* 7 (4).

<sup>3</sup> Greenpeace 2013.

<sup>4</sup> Bustamante MMC, et al. (2012) Estimating greenhouse gas emissions from cattle raising in Brazil. *Climate Change* 115, 559-577.

<sup>5</sup> Forest Trends 2014; World Bank online databank <http://data.worldbank.org>

<sup>6</sup> World Bank online databank <http://data.worldbank.org>

3. Although agricultural commodities are grown in many places across the world, soy, beef and palm oil are of particular importance for the GEF partnership due to the magnitude and significance of their impact resulting from the location and rate of expansion of the areas dedicated to their production. Most of the expansion of these commodities is concentrated in the tropical rain forests of Latin America, West Africa, and South East Asia. These forests are prime areas targeted for production expansion and hence are under pressure to be opened, fragmented and converted into agricultural lands. As this expansion of commodities coincides with high levels of biodiversity and carbon stocks and diverse, rich ecosystems, production methods must be reconciled with other societal objectives such as forest conservation, maintenance of ecosystem services, and climate regulation.

4. The expansion of commodity production and the associated deforestation is a result of complex national and international supply chains spanning from farmer to final consumer. These chains often involve many actors with a diverse range of motivations and incentives including both large and small-scale growers, traders, manufacturers, retailers, and financiers, as well as governments at national and local levels. These complex chains help to explain the phenomenon of commodity-driven deforestation, its pace and extent and its future potential, if left unbridled, to have significant and lasting global impacts. However, these same chains also offer the opportunity to harness the power of the market to move commodity production away from its current unsustainable pathway and remove deforestation from commodity supply chains.

**Barriers related to integrated approaches, knowledge management, learning, partnerships and research on impacts of voluntary sustainability standards:**

5. There are a number of barriers undermining the ability to reduce deforestation from agricultural commodity production. As it relates to the Adaptive Management and Learning child project (A&L project), initiatives to promote sustainable commodity production are rarely coordinated or integrated to tackle all links of the supply chain. As such, some projects or programs focus on the demand side, others on transactions, and still others on the demand side of the equation. Furthermore, interventions have often focused on single commodities, individual supply chains, or individual countries. There has been insufficient piloting of integrated approaches to link work on the key elements of agricultural commodity production supply chains and to achieve technical synergies. This is needed to ensure that sustainable production in the right places is matched with financing support and increased demand. A coordinated whole supply chain approach is therefore critical to be able to bring about transformational change. Without such an approach, interventions are not likely to be effective. As an example of the problems associated with failing to tackle the entire supply chain, at the moment, demand for sustainable palm oil has not caught up with production and as a result 50% of RSPO palm oil is not purchased, leading to insufficient incentives for farmers to take on the burden of sustainable production. Insufficient supply chain transparency further complicates efforts to incorporate sustainability considerations in complex supply chains.

6. Many different organizations and platforms are gaining experience in reducing deforestation from commodity supply chains or more generally on sustainability issues associated with agricultural production. However, in many cases, lessons and best practices to remove deforestation from commodity supply chains are not effectively captured and/or are not effectively shared and disseminated. The fact that this knowledge is not always accessible translates into opportunities lost for learning and undermines replication and upscaling, thus reducing impact. There is a need for greater understanding on which interventions or suites of interventions work and which are less effective at reducing deforestation from

agricultural supply chains, so that models can be developed and shared among practitioners and countries. There is a significant opportunity to strengthen the learning agenda across the different initiatives and platforms that have been emerging, such as with TFA 2020, IDH and large bilateral donors. In addition, strategies and tools that could play a role in addressing tropical deforestation associated with the commodity supply chains, such as different transparency tools, are not always sufficiently disseminated and known.

7. With the multitude of stakeholders working in the commodity deforestation arena, a prevailing issue is that interventions at national, regional or global levels are not always coordinated. Partnerships among key players require further consolidation to maximize synergies, reduce overlap, and to ensure sustainable, transformational impact in this field.

8. Private companies, governments and civil society have been implementing different initiatives to reduce the deforestation footprint associated with commodity production. This includes through the application of voluntary sustainability standards and certification (VSS) as well as other VSS-like mechanisms (e.g., company policies with associated indicators, monitoring, and verification processes) to promote sustainable practices on the ground and in supply chains. However, evidence-based research on the impacts of VSS is limited and practically non-existent for other mechanisms. The research that has been carried out is not sufficiently shared, resulting in a situation where research agendas are not necessarily aligned. Furthermore, it is difficult to accurately assess the contributions of these tools to forest conservation, greenhouse gas emissions reduction, and sustainability targets or to inform corporate sourcing, government policy, and procurement decisions. The lack of robust and policy-relevant evidence therefore undermines the ability to improve VSS and similar mechanisms. The specific barriers related to the research component include:

- Key gaps in the evidence base: Information on the impacts of VSS and similar mechanisms is unevenly distributed by commodity and region. While more evidence is needed in all areas, impacts for some sectors (e.g., coffee and forestry) are comparatively well studied while those in other sectors (e.g., palm oil and cattle) are poorly documented. Additionally, greater coordination between researchers and users of evidence is needed to support more strategic targeting and design of evaluation and impacts research to optimize relevance for decision-making by businesses, policy makers, and VSS schemes.
- Existing evidence not sufficiently accessible to key user groups: While the body of evidence is growing each year, practitioners, policy-makers, and companies have had no easy way to access this information or search it by themes, regions, or commodities of interest.
- Evidence has not been synthesized and communicated in decision-relevant terms: To inform decision making about policies, strategies, and mechanisms for achieving sustainable, low-deforestation supply chains, detailed data and results from individual impact studies must be synthesized into more generalized messages about what works, under what conditions, and why. This requires conducting meta-analyses, developing credible messages or claims from impacts research, and communicating these messages effectively into the global discourse on deforestation, commodity value chains, and private sector sustainability actions.

9. Details of the consistency of the production, demand, transactions and Brazil child projects with national strategies, policies, and national reports under relevant Conventions in Brazil, Paraguay, Indonesia, and Liberia can be found in the respective CEO Endorsements. The IAP Program as a whole is

consistent with GEF's strategic goals, as well as with global commitments made under different environmental Conventions and key agreements. This program will help address the common goal of reducing and avoiding the loss of forest resources, and will support the achievements of various international goals, including the Aichi Biodiversity Targets, REDD+ activities, UNFF Global Objective on Forests, the objectives set forth in the 2015 New York Declaration on Forests, and the commitments made at the 21st UNFCCC Conference of the Parties in Paris in 2015. The IAP will indirectly support the achievement of the several of the Sustainable Development Goals (SDGs), namely: SDG2: End hunger, achieve food security and improved nutrition, and promote sustainable agriculture; SDG4: Ensure inclusive and quality education for all and promote lifelong learning; SDG 5: Achieve gender equality and empower all women and girls; SDG8: Promote sustained, inclusive and sustainable economic growth, full and productive employment, and decent work for all; and directly support: SDG12: Ensure sustainable consumption and production patterns; SDG13: Take urgent action to combat climate change and its impacts; SDG15: Sustainably manage forests, combat desertification, halt and reverse land degradation, halt biodiversity loss. Details are provided in the CEO Endorsement.

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## **II. STRATEGY**

10. Please note that this section will begin with a summary of the Theory of Change for the Commodities Integrated Approach Pilot as a whole and then provide a TOC for the A&L child project.

*Integrated Approach Pilot Theory of Change:*

11. The Theory of Change for this Integrated Approach Pilot (IAP) program builds on the premise that the increased adoption of agricultural commodity production practices that are less destructive of forests is contingent on several factors. Firstly, enabling conditions including policies and land use/spatial plans must be in place to make the right lands available for production (agricultural lands and degraded lands) and to make high biodiversity value and high carbon stock forests less accessible. Secondly, producers need enhanced capacity to adopt good agricultural practices and improve yields. Thirdly, increased financial flows and economic incentives are necessary to support these good production practices in the right locations and less incentives must be provided in inappropriate locations. Fourthly, market awareness and demand for reduced deforestation supply are critical to promote more sustainable production. If these factors are addressed, agricultural production can be increased and growth achieved with sharp reductions in deforestation compared to business-as-usual scenarios. This assumption is based on a comprehensive analysis of the barriers that are currently undermining reduced deforestation commodity production and of the root causes of deforestation from agricultural commodities.

12. Because of the need to tackle all these elements simultaneously, this IAP program will work on promoting sustainable production, strengthening demand and ensuring that supportive financing and economic incentives are available. The approach addresses the entire commodity supply chain in an integrated and coordinated fashion in order to foster sustainability and achieve transformational impact. The supply chain approach will reinforce the need for all actors to embrace best practices and sustainability principles and for clear linkages to be established among the production, demand and transaction actors. This Program will work to strengthen the enabling environment for sustainable production, increase supporting financial transactions, and increase demand in order to foster improved production and management on the ground and ultimately, obtain global environmental benefits that



include reduced greenhouse gas emissions, reduced biodiversity loss, and sustainable forest management. This is an innovative approach as most interventions to date have focused on only one aspect of the supply chain and these have been less effective at driving change due to the fragmentation of efforts and lack of a coordinated framework for the entire supply chain of these commodities. For greater impact and upscaling, the Program includes a strong learning and knowledge management component to identify the suite of interventions that are most effective at addressing deforestation in commodity supply chains. Effective partnership building and maintenance will foster synergies and minimize overlap. Ultimately, the Program will strive to make the drive for sustainable products associated with significantly reduced deforestation become standard industry practice.

13. The focus is on the three commodities that are the most significant drivers of tropical deforestation, namely beef, soy and palm oil. In addition, it will engage as major partners, four countries that are major producers of these commodities: Indonesia and Liberia for oil palm; Brazil for soy; and Paraguay for beef. The Program will engage in multiple layers of interventions- from working on land use planning and government policies to bank and investor policies to corporate commitments and consumer awareness campaigns. This sets the IAP program apart in terms of the multifaceted and broad set of actions and approaches it will implement.

14. The IAP program will also work at several interrelated scales, including the global, national, subnational and landscape scales. At the global and national levels, the IAP program will strengthen policy frameworks, work with banks and investors to implement policies and procedures for reduced deforestation, promote increased commitments from buyers, traders and consumers for sustainable sourcing, as well as carry out extensive knowledge management and partnership building to maximize impact, upscaling and replication. Global- and national-level workplans will be developed to ensure that the key project interventions are coordinated and synchronized. At the more local landscape levels, the IAP program will develop specific tools and build capacity to implement good agricultural practices that are more sustainable, strengthen the local policy and capacity framework, work with local banks on financing policies for responsible production, and strengthen landscape planning and selection, among other interventions. Coordination will be achieved in terms of landscape level and national interventions through the designation of national focal points for the IAP, through regular meetings and communication, and through the development of national workplans that will map out key deliverables.

15. The IAP program cannot take on all the diverse sustainability challenges facing supply chains for beef, soy and oil palm. It will therefore focus on using demonstrations and testing on certain aspects of the supply chains to identify a menu of interventions and practices related to sustainable beef, soy, and oil palm, and provide models for subsequent replication and upscaling. Moreover, the IAP program will engage with and leverage the capacities of different partners with relevant expertise, from the public, private, bilateral, multilateral agencies and CSO communities. Other entities such as ministries of producer countries, the Consumer Goods Forum companies, and governments of donor countries are important players in the Theory of Change, as they will support other interventions that are aligned with the IAP program's objective of taking deforestation out of commodity supply chains. The IAP program will coordinate closely with such partners to establish strong connections and to maximize synergies. For example, the government of Norway is planning continued funding for a program entitled "Green Growth: Achieving forest conservation in commercially productive landscapes in Indonesia, Liberia and Brazil" with the support of IDH<sup>7</sup>, a Dutch organization. The latter aims to secure production-protection agreements in these countries for high conservation value and high carbon stock forests, intensify

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<sup>7</sup> IDH stands for Initiatief Duurzame Handel, which is Dutch for the "Sustainable Trade Initiative."

smallholder production in specific landscapes, and improve the livelihoods of smallholders and communities. The IAP Program will identify opportunities for collaboration, given the fact that both programs are geographically aligned and focus on the same crops (palm oil, soy and beef). Similarly, coordination with Norwegian country support for REDD+ and forest related work will also be sought, with a focus on countries with which Norway is engaging in order to increase impact. There are also opportunities for collaboration with UK Department for International Development (DFID), which is funding the Investments in Forests and Sustainable Land-Use (IFSLU) forestry program to translate corporate commitments related to supply chain sustainability into action in West Africa and Southeast Asia. Finally, engagement at the program and country levels is being pursued with the United States Agency for International Development (USAID), which is already supporting work in the Paraguay Chaco to reduce deforestation, promote sustainable production, and work with supply chain actors. Another key global-level partner with which the IAP will coordinate is the Tropical Forest Alliance, which is a global public-private partnership in which partners take voluntary actions, individually and in combination, to reduce the tropical deforestation associated with the sourcing of commodities. All partners will be invited to participate in the Supply Chain “Community of Practice” to be established during Program implementation.

#### *Adaptive Management and Learning TOC:*

16. For overall transformational impact of the IAP Program, the TOC is built on the idea that if a culture of learning is created, there will be increased understanding on the suites of interventions and approaches that work best and those that are less successful, as well as increased knowledge on cross-cutting themes such as gender and resilience. This will be facilitated by extensive exchange of information and knowledge management with Program partners as well as with a variety of external partners working in this production-protection space, including through the establishment of a Community of Practice, partnership work, and dissemination of information through various means, such as print publications, digital assets, content coverage in the Guardian Sustainable Business hub and speaking events, among others. It is assumed that the extensive partnership building process during program design and through the UNDP Green Commodities Programme will facilitate continued positive engagements with key donors and other partners in order to maximize synergies. Ongoing knowledge management and learning throughout IAP implementation will play an important role in upscaling and replication.

17. The Adaptive Management and Learning Component will also contribute to developing a robust and policy-relevant evidence base on the effectiveness of different tools (voluntary sustainability standards and others) that are being used to promote deforestation-free and sustainable production and sourcing. This easily-accessible evidence base will enable improved decision-making related to commodity production (for growers and land managers), sourcing and trading (for intermediaries), procurement (for retail and consumer goods companies), policy-making (for governments), and investment (for financiers and donors). At the same time, it will support those who are developing implementation mechanisms for responsible supply chains, including voluntary standards systems and other VSS-like programs, to better understand and continuously improve the effectiveness of these mechanisms. This will include support to filling key gaps in the evidence base, making existing evidence more accessible to key user groups, and synthesizing and communicating evidence in decision-relevant terms.

18. If interventions at different chains in the supply chain are well coordinated, there will be greater and transformational impact on reducing deforestation than if different interventions are carried out without a coordinated and synergistic approach. This Component will therefore ensure that the overall IAP Program is coordinated among the different agencies and countries and that there is clear Program cohesion and branding. It will support the technical sequencing of key technical deliverables and will be instrumental in aggregating the project-level monitoring results to a Program level, enabling Program impact to be assessed. The IAP has taken into account external factors and unpredictable changes that could occur and that could affect the results chain and the Theory of Change and has built resilience into its design.

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### III. RESULTS AND PARTNERSHIPS

i. Expected Results:

#### **Summary of IAP Program and Global Environmental Benefits**

19. This project, Adaptive Management and Learning for the Commodities IAP, is a child project under the UNDP-GEF 6 Integrated Approach Pilot (IAP) program, *Taking Deforestation out of Commodity Supply Chains*. The IAP program is advancing an integrated “supply chain” approach to tackling the underlying root causes of deforestation from agriculture commodities, specifically beef, oil palm, and soy that together account for nearly 70% of deforestation globally. To vastly reduce or take deforestation out of these commodity supply chains, production has to come from areas that do not contribute to further clearance of natural forests.

20. The Theory of Change for the program builds on the premise that the increased adoption of agricultural commodity production practices that are less destructive of forests is contingent on several factors. Firstly, enabling conditions including policies and land use/spatial plans must be in place to make the right lands available for production and to make high biodiversity value and high carbon stock forests less accessible. Secondly, producers need enhanced capacity to adopt good agricultural practices and improve yields. Thirdly, increased financial flows and economic incentives are necessary to support these good production practices in the right locations and less incentives must be provided in inappropriate locations. Fourthly, market awareness and demand for reduced deforestation supply are critical to promote more sustainable production. If these factors are addressed, agricultural production can be increased and growth achieved with sharp reductions in deforestation compared to business-as-usual scenarios.

21. The IAP program has been developed through a multi-agency consortium that builds on the strong baseline of work by UNDP, WWF, IFC, UNEP, and CI. The overall IAP program is designed through the supply chain lens for each of the three commodities, and in close consultation with four countries associated with their production: Brazil and Paraguay for soil palm and beef; and Indonesia and Liberia for oil palm. By applying the supply chain lens to the overall design, the IAP program engages all major actors to harness best practices and sustainability principles for production, generating responsible demand and enabling financial transactions. The Program will be carried out in an integrated, coordinated and synergistic fashion in order to foster sustainability and achieve transformational impact. The ultimate goal of the program is to make the drive for sustainable products associated with significantly reduced deforestation become standard industry practice.

22. The entire Program is organized into four major components that will be delivered through separate child projects as follows (see figure below):

- a. Support to Production (led by UNDP): The focus is on promoting good practices and sustainability principles at the production end of the commodity supply chain. This component will enable supply and production in the right areas and location while conserving the forest and reducing deforestation in the targeted landscapes. Key geographies have been targeted for demonstration of best practices for sustainable production of oil palm (largest driver of deforestation in Indonesia and in Southeast Asia in general), and soy and beef (largest drivers in Latin America).
- b. Generating responsible demand (led by WWF): This component seeks to strengthen the enabling environment for increased demand of reduced-deforestation commodities in priority markets. The focus is on targeted engagement with key buyers and key markets that have represented the majority of recent demand, domestic demand for these commodities within the production countries, and emerging economies where demand is increasing.
- c. Enabling Transactions (led by World Bank/IFC): This component seeks to improve the resilience and competitiveness of financial institutions, enabling them to develop in a sustainable manner with improved risk management practices and innovative products to accelerate the production and supply of forest friendly commodities. The aim is to support the development of investment transactions either via banks, investors or companies that reduce deforestation in key commodity supply chains on a commercial or blended finance basis.
- d. Adaptive Management and Learning (led by UNDP): In addition to overall coordination of the Program to ensure coherence and consistency, as well as communications and partnership building, this component will foster substantial knowledge management at the global level to advance the supply chain approach for beef, soy, and oil palm. This will include a Global Community of Practice to share best practices and promote learning, and a Global Research Impacts platform to develop robust and policy-relevant evidence base on the effectiveness of different voluntary sustainability standards for deforestation-free commodities.

23. Following Council approval of the PFD, the government of Brazil requested an explicit focus on the soy supply chain, bringing together substantive aspects on Enabling Transactions, Responsible Demand and Support to Production into a single child project for Brazil, with UNDP as the implementing agency and Conservation International as executing partner. The government of Brazil proposed that the child project be formulated on a baseline targeted on the MATOPIBA region (abbreviation for the States of Maranhão, Tocantins, Piauí and Bahia), for which a proposal had been developed with the Brazilian government and approved by the Grupo Técnico de Avaliação de Projetos (GTAP).

24. The IAP Program is expected to generate substantial global environmental benefits through reduced deforestation from agricultural commodity production, protection of high conservation value (HCV) and high carbon stock (HCS) forests and sustainable forest management. These benefits are summarized in **Table 1** below and described in further detail in the accompanying technical Annex (see Annex Q).

25. As shown in the table, a set of **direct benefits** will be delivered within the IAP's target landscapes. These will include:

- **Improved landscape management:** The IAP will deliver improved management of 13.95 million ha (7.95 million ha in the three production project countries and 6 million in the Brazil project landscapes), which represents the total combined area of the target landscapes.
- **Sustainable land management:** The IAP will help to deliver good agricultural practices and SLM to 700,000 ha (200,000 ha in the production project and 500,000 in the Brazil project, which represents the total area of farms whose owners are expected to adopt such practices following IAP training and advisory support.
- **Carbon mitigation:** The IAP will directly mitigate an estimated 80.2 million tons of CO<sub>2</sub>e (65.6 million tons in the production project and 14.6 million tons in the Brazil project), which represents the total lifetime (10-year lifespan) CO<sub>2</sub>e mitigated through avoided deforestation in the target landscapes. These benefits are associated with reduced deforestation due to: (i) impacts of enhanced set aside practices and enforcement measures, and (ii) impacts of other district-or landscape-level improvements in policy, planning, farmer practices and enforcement systems. In the case of the Production project, this is based on the assumption that, out of the 7.95 million total landscape area covered by the project, one million ha will be subject to new or improved set-aside rules and that such rules will contribute to a 35% reduction in the baseline rate of deforestation (currently 1.65% p.a.) over a 10-year period. We further assume that, across the remaining 6.95 million ha, reductions in commodity-driven deforestation due to policy changes, enforcement and spatial planning will lead to a 15% reduction in deforestation in those areas. Additional details of target landscape-level calculations, emissions factors and deforestation reduction targets are provided in Annex Q, as well as in the respective projects' CEO Endorsement documents, and notably in their tracking tools.

26. The above direct impacts will be complemented by a set of **indirect** benefits (see **Table 1** for amounts) resulting from a national and international learning and replication effects as well as, importantly, from the synergistic benefits of the IAP's innovative supply chain approach. With respect to the latter in particular, the IAP program will play an important role in supporting partners implementing other large initiatives to reduce deforestation from commodity production in order to facilitate achievement of their goals. This includes:

- The Consumer Goods Forum, which is to support the target made by 57 companies for zero net deforestation from soy, beef, palm oil and paper by 2020. The New York Declaration of Forests saw world leaders, some of the largest companies, and various influential civil society and indigenous organizations endorse a global timeline to cut natural forest loss in half by 2020.
- UN REDD+ and the FCPF are funding REDD+ readiness activities and will pilot projects providing financial incentives for emissions reductions. Norway will provide substantial funds for a 5-year project entitled "Green Growth: Achieving forest conservation in commercially productive landscapes in Indonesia, Liberia and Brazil", which will secure production-protection agreements in these countries for high conservation value and high carbon stock forests, intensify smallholder production in specific landscapes, and improve the livelihoods of smallholders and communities.
- DFID funding for implementation of the Indonesia Forestry Land-use and Governance (FLAG) programme, which aims to reduce the deforestation rate and reduce peat land degradation, as well as a forestry programme entitled "Investments in Forests and Sustainable Land-Use (IFSLU)", which will work to translate corporate commitments related to supply chain sustainability into action in West Africa and Southeast Asia.

- USAID engagement in Paraguay in the Chaco region, where they will support sustainable production to reduce deforestation and carbon emissions and Sida is funding a project on “Making Markets Work for People and Nature” which is focused on sustainable palm oil, timber, pulp and paper (and other commodities), to name a few donors working in this space.
- Tropical Forest Alliance, a global public-private partnership to reduce tropical deforestation associated with the sourcing of commodities.

27. The IAP program will support and strengthen the work of key partners through engagement in these initiatives, by sharing best practices, tools, and methodologies through global partnership management, the Community of Practice, the Asia Exchange, and other means. The IAP program will provide the necessary platform for collective engagement in this larger universe of players in order to further refine and work toward collective targets, share lessons learned, maximize synergies and collaboration and ultimately, ensure impact. This coordinated approach will promote achievement of significant shifts toward a more sustainable agenda in the commodity sector and will ensure that individual efforts are not pursued in isolation. In addition, the A&L project will ensure coordination within the IAP among the different child projects for greater coherence, alignment and impact. For example, A&L will connect Asia demand workshops with INPOP and the LAC soy trader platform with Paraguay and Brazil in order to help channel global markets to the sustainable production being promoted in the IAP target countries. The A&L project will work to promote linkages between the actions being carried out on production, demand and finance and will commission a study to study how effective this integrated approach has been at increasing the sustainability of supply chains.

**Table 1: Global environmental benefits of IAP (direct and indirect)**

<b>GEF Replenishment Targets</b>	<b>IAP Indicative Targets</b>	<b>IAP Program Indicators for Monitoring</b>	<b>Source of Data/Methodology</b>
Improved management of landscapes and seascapes covering 300 million hectares	23 million ha	<u>Indicator 1:</u> Area of commodity producing landscapes under integrated management to maintain globally significant biodiversity and forest ecosystem goods and services	Estimated total area that the IAP Program will influence to promote BD conservation through: <i>Direct landscape level work</i> , measured based on total area of target landscapes. Target: 13.95 million ha; and <i>Indirect work</i> , including government-driven replication / learning, as well as learning by partners to strengthen the management of the landscapes through spatial planning, improved enforcement, and design of HCV and HCS areas, among others. These impacts will be measured through a survey to assess the extent of replication at multiple geographic levels. Survey will be carried out with major CoP partners and national commodity platforms. Target: 9.05 million ha
120 million hectares under sustainable land management	1,000,000 ha	<u>Indicator 1:</u> Area under Good Agricultural Practices and SLM for sustainable production of oil palm, soy, and beef.	Estimate of farms implementing good agricultural practices through: <i>Direct IAP support</i> to production, responsible demand, and enabling financial transaction. Target: 700,000 ha, as measured by survey of

GEF Replenishment Targets	IAP Indicative Targets	IAP Program Indicators for Monitoring	Source of Data/Methodology
			farmers; and IAP influence through the supply chain approach, through implementation of partnership strategy and through replication, as measured by a survey of key partners. Target: 300,000 ha.
750 million tons of CO <sub>2</sub> e mitigated (include both direct and indirect)	117.5 million tons	Indicator 1: Total lifetime direct CO <sub>2</sub> e mitigated through avoided deforestation and uptake of sustainable agriculture practices	Carbon mitigation will arise from avoided deforestation due to enhanced set-asides as well as from district-level policy changes. Target: 80.2 million tons CO <sub>2</sub> e. <sup>8</sup>
		Indicator 2: Total lifetime indirect CO <sub>2</sub> e mitigated through avoided deforestation and uptake of sustainable agriculture practices	Estimates from achievements in promoting sustainability through the supply chain approach, through implementation of partnership strategy and through replication, based on survey of IAP Partners. Target: 37.3 million tonnes CO <sub>2</sub> e.

28. The Program-level IAP tracking tool includes these targets, which the IAP Program will work to achieve in cooperation with key partners. These will be measured at the start, mid-term and end of the Program, using the methodologies described in the table above.

**Adaptive Management and Learning Child Project**

29. The Adaptive Management and Learning (A&L) child project will be responsible for overall Program coordination among the different child projects. The Adaptive Management and Learning (A&L) child project will be responsible for overall Program coordination to ensure coherence and promote integration of the different child projects. The A&L project will shift the baseline from the fragmented initiatives described above toward a more effectively coordinated partnership for the IAP Program. The Program will tackle multiple levers to take deforestation out of commodity supply chains at all stages of the supply chain, and across multiple countries and landscapes through a multi-agency consortium. The achievement of these impacts through the GEF alternative will be facilitated by a strong focus on regular coordination within the Program as well as extensive partnership building with external partners outside of the Program (see Incremental reasoning section for more details). As described in detail under Component 1, a virtual Program Secretariat will be established and will be charged with Program execution and a Steering Committee will be set up and held accountable for Program delivery. In addition, national focal points will be designated in each of the four IAP focus countries to support logical technical sequencing of activities at the national level and to report on inter-agency coordination.

30. The A&L project will be instrumental in ensuring that the IAP is viewed as a cohesive whole and that it has a clear identity. This will entail a number of different vital elements, which are further detailed in the description of the project's Outcomes, including the following:

<sup>8</sup> Details of the calculations used are provided in Annex Q, as well as in the Production and Brazil project documents (global environmental benefits sections) and the respective project tracking tools.

- Development of an IAP brand identity, including a Program logo, a Program-level website and other communications assets, such as multimedia Program materials;
- Program-level monitoring and evaluation. This will entail organization of an inception workshop, annual reporting on the indicators in the Program-level results framework; and preparation of a final report on lessons learned from adopting this integrated pilot approach, among others.
- Knowledge management within the Program and with external initiatives. This will include the establishment of a Global Community of Practice to facilitate learning on effective interventions to address deforestation in supply chains and to provide a learning framework to explore cross-cutting themes such as gender and resilience. Knowledge management will include extensive learning from within the IAP, as well as learning from external partners through participation in relevant events and fora. IAP publications will be produced, information disseminated through speaking events, and articles produced and disseminated on the Guardian Sustainable Business website. Coordinated study tours between the production and demand projects will also feed into global-level knowledge management.
- Development of a robust and policy-relevant evidence base on the effectiveness of Voluntary Sustainability Standards and similar mechanisms being used to implement deforestation-free and sustainable production and sourcing initiatives. This will include support to filling key gaps in the evidence base, making existing evidence more accessible to key user groups and synthesizing and communicating evidence in decision-relevant terms.
- Implementation of a partnership strategy with global-level cross cutting partners.

### **Component 1:**

#### **Outcome 1: Coordinated management of the Commodities IAP program leading to logical technical sequencing of activities, Program-level monitoring and evaluation and overall resilience**

*Output 1.1: Logical technical sequencing of key deliverables is achieved across individual child projects to facilitate an effective supply chain approach*

31. A virtual project Secretariat will be established and will be responsible for the coordination of this CIAP. This will consist of a Global Coordination Structure (including an **IAP Manager**, to be based in Panama, as well as an IAP Coordinator, a Global Knowledge Management and M&E Lead, a Global Communications Lead and a Community of Practice coordinator), as well as the global child project agency leads for the production, demand, transactions, and Brazil child projects, who will be based in different locations. The Secretariat will report to a Steering Committee and may consult with External Advisors (*please see Institutional Arrangements and Annex D sections for details on the composition, functions and ToRs of these different bodies*).

32. The IAP Coordinator will work closely with the global child project leads (child project managers) and national focal points to support the logical technical sequencing of key deliverables<sup>9</sup>

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<sup>9</sup> Examples of technical deliverables requiring logical sequencing including but are not limited to the following: the Indonesia consumer campaign would not be carried out until there are advances in the work with oil palm producers; the study tours in Indonesia would be carried out once there are demonstrable results; the Asia Exchange would take place once there are successes to share with Asian buyers; and in Paraguay, presentation at the Global



across the individual child projects and four IAP target countries. On a monthly basis, the Global Coordinator and child project leads will have virtual Global Coordination meetings to promote technical coordination of activities and to facilitate adaptive management when necessary in terms of the planning and implementation of activities. At the national level, designated national focal points in each of the four countries will gather information on the main planned deliverables each year from the Implementing Agencies working in the countries in order to prepare national workplans that are well sequenced and coordinated and that will be agreed upon by the Implementing Agencies (IAs).

*Output 1.2: Program-level monitoring and evaluation takes place*

33. The Program-level Results Framework, which includes Program-level cross cutting indicators, will serve as a tool to monitor Program impact. As such, the IAP KM and M&E Lead will be responsible for Program -level reporting (see Annex H)The higher-level monitoring of Program-level indicators that will be carried out through the A&L project will enable the effectiveness of the integrated approach to be assessed and will add significant value to the M&E work that will be carried out at the level of each child project. The Program-level Results Framework will be presented by the A&L child project annually through the Project Implementation Reports (PIRs).

34. The assessment of Program-level Global Environmental Benefits will take into account both the direct impacts of the IAP Program and the indirect benefits arising from the strong focus on coordination, alignment and achievement of synergies with key partners working to reduce deforestation from agricultural commodity production.

35. It should also be noted that a survey will be carried out after each off the two face-to-face Community of Practice events in order to identify the impacts of the IAP Program’s work to share knowledge and promote replication with key practitioners on the sustainability of supply chains. This will yield valuable qualitative information about the indirect benefits of the IAP Program and the extent to which IAP learning is influencing partners’ programs, actions and policies. In addition, the A&L project will provide the platform for discussions among key partners, such as DFID, IDH, and UN REDD+ to identify collective environmental impact targets.

36. In addition to providing child project data to support the completion of the Program-Level Results Framework, the different IAs leading each child project will be responsible for fulfilling the standard M&E requirements of their respective projects. This includes elements such as monitoring indicators in their results frameworks, preparing annual Project Implementation Reviews (PIRs) as per GEF requirements, monitoring environmental and social risks and addressing environmental and social grievances if applicable, commissioning mid-term and final project evaluations, and conducting supervision missions and audits, among others. As per GEF corporate requirements for reporting on focal areas, all five child projects will also complete the agreed upon IAP Program tracking tool for their projects for the indicators that are relevant to their work, and submit the tracking tool three times during project implementation: at the outset, at the mid-term and at project end.

37. For the detailed and budgeted M&E activities that will be carried out for this A&L child project, please see section C.

*Output 1.3: Program-level feedback loops enable tracking of progress on key deliverables and among agencies and implementing partners, leading to adaptive management and supporting Program resilience*

38. The regular discussions and planning to ensure logical technical sequencing of key interventions, coupled with the aggregation of the M&E results to determine overall Program-level impacts, will enable the IAP Coordinator to regularly track progress across components and to monitor project results. In addition, the IAP Coordinator will review the results of the mid-term evaluations for each of the child projects to glean Program-level lessons and provide recommendations for proposed changes. These will then be shared and discussed with the Steering Committee.

39. This review of Program-level monitoring and evaluation results will include reflecting on successes and failures, and proposing adaptive measures when necessary to ensure Program resilience (please also see section A5 with more information on the resilience approach to be applied, presented after the Risk table). This will involve an assessment of changes in the external/ macro environment that might warrant adaptive action. The A&L project will also monitor the actions being taken at the level of each child project to promote resilience. The IAP Coordinator will prepare reports on resilience to the Steering Committee at least once a year with key recommendations in the event that adaptive management measures or substantive adjustments are required either in terms of technical issues or issues related to the coordination among agencies (or in the event that any major project design changes are required). In advance of these Steering Committee meetings, Global Coordination meetings of the child project leads will take place to agree on key recommendations. In this way, the IAP Program will have enough structure to ensure that information is shared and reviewed periodically with regard to resilience based on the agreed Program objectives, combined with sufficient flexibility to facilitate decision-making processes to implement any necessary changes.

## **Component 2**

**Outcome 2:** Increased understanding of the impacts of voluntary sustainability standards (VSS) and VSS-like mechanisms to increase the effectiveness of these mechanisms for taking deforestation out of commodity supply chains

40. **Note that WWF will implement Component 2/ Outcome 2, with execution by ISEAL Alliance. The workplan and budget are included in Annexes A and F, respectively.**

41. While new corporate and government commitments related to halting deforestation in commodity supply chains hold great promise to transform business-as-usual into a new paradigm of sustainable land-use, their effects remain to be seen. With so much at stake, there is keen interest in understanding the positive and negative, intended and unintended effects of the implementation of these commitments, both in specific contexts and more broadly across landscapes, regions, and supply chains.

42. Information on outcomes and impacts of VSS and VSS-like mechanisms is essential for assessing contributions of these tools (and, by extension, the contribution of low-deforestation production and sourcing initiatives) to forest conservation, greenhouse gas emissions reduction, and sustainability targets; for informing corporate sourcing, government policy, and procurement decisions; and for continuously improving the effectiveness of VSS and similar mechanisms. Evidence is also critical for enumerating the business case for sustainable, low-deforestation production and sourcing—without which this new

paradigm is unlikely to reach broad scale uptake. For instance, in a recent survey of 160 business leaders across 40 countries, GlobeScan and ISEAL Alliance found that the business community seeks more information about the impacts of and business case for VSS and VSS-like mechanisms. Business leaders particularly seek credible syntheses of the evidence base, and note that this information is relevant not only in the context of corporate social responsibility and sustainability reporting but also for their companies' procurement and marketing functions. A similar finding emerged from the final report issued in 2012 from a Steering Committee composed of international business, NGO leaders and academic experts in their project on the State-of-Knowledge Assessment of Standards and Certification that aimed to show what was known and what was most needed to learn about VSS mechanisms at that time. That report, called *Toward Sustainability: The Roles and Limitations of Certification*, concluded with the statement that, "Business decisions rely on best-available knowledge. The movement that coalesced behind voluntary standards and certification has much to gain by working together to fill gaps in that knowledge, especially about how to improve the effectiveness of standards and certification as one tool to achieve desired sustainability outcomes." Another key report on the Role of VSS in Scaling up Sustainability in Smallholder-Dominated Agriculture Sectors came out in 2015, funded by SECO, IFC, DGIS and IDH. The report points out the number of key roles VSS mechanisms can play in sector transformation, but also highlights the major continued challenge to provide proof of impact and credibility.

43. This Global Impacts Platform Component seeks to fill the gaps in the evidence base and promote its use for decision-making by developing and operating an online Global Impacts Platform<sup>10</sup> for Sustainable and Low-Deforestation Commodity Production and Sourcing Initiatives. In doing so, it will support a robust adaptive management approach not only for the GEF IAP on Taking Deforestation out of Commodity Supply Chains but also for the wider universe of company- and donor-supported actions to accelerate a transition to low-deforestation and sustainable commodity production. The proposed interventions are aligned with the agenda for advancing this work that has been framed by the VSS community and other interested stakeholders and researchers<sup>11</sup>.

44. Specifically, the Global Impacts Platform will provide a definitive global compilation of the evidence base on VSS and related mechanisms oriented to meet the needs of business leaders, policy makers, and researchers. This resource will serve as a trusted "one stop shop" to help these and other stakeholders to understand and communicate the effectiveness of VSS and VSS-like mechanisms in different contexts, and to use this information to improve the design and implementation of such mechanisms over time.

45. The Global Impacts Platform Component will contribute toward three high-level objectives, which largely mirror the critical gaps that have been identified.

- (1) First, it will help improve the quantity, quality, and relevance of research evaluating outcomes and impacts of VSS and similar mechanisms. It will do so by clearly identifying research gaps and priorities for researchers and science funders, minimizing duplication and

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<sup>10</sup> This will be built into an existing website, either ISEAL's or ITC's. It's a new initiative/tool, with an advisor group, but is not a new entity per se.

<sup>11</sup> These convenings included a 2013 focus group at the International Congress for Conservation Biology, which led to a 2015 multi-author paper defining "An agenda for assessing and improving conservation impacts of sustainability standards in tropical agriculture" (*Conservation Biology* 29:309-320); a session at the Global Sustainability Standards Conference in May 2014 on facilitating and synthesizing priority evaluation research to provide robust evidence on impacts of VSS; and a CBD initiative launched at the CBD conference of the parties in October 2014 to define national-level indicators and a monitoring framework for sustainable agriculture initiatives such as those implemented through VSS.

- misalignment of research efforts, and encouraging researchers to follow best practices and standard methodologies to increase the comparability and interpretive value of data.
- (2) Second, existing evidence will be made readily accessible and useable to decision-makers and others, for instance through a range of searching, filtering, and mapping tools.
  - (3) Third, the work will support credible synthesis and communication of the evidence base into decision-relevant messages – and will actively disseminate findings to ensure broad understanding of the effectiveness of different approaches to achieving reduced deforestation supply chains. Taken together, fulfillment of these three objectives will help companies and others identify and implement effective mechanisms for sustainable production and sourcing, and will help improve the effectiveness of all such mechanisms over time.

46. The centerpiece of the Global Impacts Platform component is to develop, curate, and promote the use of a global online database and knowledge platform on the impacts of VSS and VSS-like mechanisms to implement commitments to low-deforestation, sustainable commodity production and sourcing. The platform will hold information on all planned, ongoing, or completed evaluation and impact studies, whether conducted at the scale of individual production units (farms / mills / forest management units), landscapes/jurisdictions, supply chains, or other units of analysis – including regional to global scale studies that consider issues such as leakage and interaction with other kinds of policy instruments. This information will be accessible through both a searchable database and an interactive map format to visualize the availability of evidence (and critical evidence gaps) for different regions and commodities. Database filters will allow users to scan for studies on a given topic or outcome area.

47. The database will be thematically broad to capture evaluation and impacts research on social, economic/productivity, and environmental outcomes, all of which are necessary to understand the factors that can drive or mitigate commodity-linked deforestation. This breadth will also maximize the utility and use of this resource for and by private businesses, governments, and civil society. Key stakeholders including researchers, companies, VSS schemes, and major initiatives on low-deforestation commodities (e.g., TFA2020) will be engaged pro-actively in decisions about the platform’s scope and design to ensure that it meets user needs.<sup>12</sup>

48. The Global Impacts Platform and its associated research products and engagements will provide the user or decision-maker with information on the effectiveness of VSS and VSS-like mechanisms on reducing deforestation (and achieving other key sustainability impacts) in commodity supply chains. This easily-accessible evidence base will enable improved decision-making related to commodity production (for growers and land managers), sourcing and trading (for intermediaries), procurement (for retail and consumer goods companies), policy-making (for governments), and investment (for financiers and donors). At the same time, it will support those who are developing implementation mechanisms for responsible supply chains, including voluntary standards systems and other VSS-like programs, to better understand and continuously improve the effectiveness of these mechanisms. The platform will enable users to access the information they need by utilizing filters and keyword search functions based on important topics and regions of global environmental importance to the GEF, including biodiversity conservation, GHG emissions, and sustainable forest management, which are key topics addressed in the

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<sup>12</sup> The proposed executing agency and partners for this project are ideally suited to fulfill this function, as they collectively hold broad credibility and interact with wide networks of organizations involved in sustainable production and sourcing. For instance, the ISEAL Alliance supports an active community of practice of more than 200 researchers, more than 80 VSS schemes, and more than 500 medium to large companies that are actively engaged with an ISEAL member or with the ISEAL Alliance.

Principles and Criteria of many VSS and related mechanisms. Using the map filters or database search feature, users will be able to quickly locate studies and summaries on key countries, commodities, or environmental impacts. Thus, users seeking information on the contribution of VSS and VSS-like mechanisms to a specific environmental topic, in order to influence decisions that will affect that environmental issue, will have a definitive, global resource to access credible evidence – whether in the form of original research reports or key findings and messages that have been synthesized and distilled for practitioners.

49. The Global Impacts Platform will include the following outputs and major activities:

*Output 2.1: Global online database and knowledge platform on the impacts of VSS and VSS-like mechanisms on low deforestation commodity production;*

50. This output links directly to the second Global Impacts Platform component objective. First and foremost, it makes information accessible and usable to decision-makers through searching, filtering, and mapping tools.

51. In a longer term sense, it will also contribute to the first objective—helping to improve the quantity, quality, and relevance of research evaluating outcomes and impacts of VSS and similar mechanisms—by clearly identifying research gaps and priorities for researchers and science funders, minimizing duplication and misalignment of research efforts, and encouraging researchers to follow best practices and standard methodologies to increase the comparability and interpretive value of data.

52. This output will be achieved through the following activities:

(1) Scoping the Global Impacts Platform: Stakeholders will be engaged to determine the greatest needs (both in terms of information synthesis and platform functionality) of the research and practitioner communities, and to identify key platform features and offerings for optimal usability and usefulness. Scoping will also involve identifying additional project partners and clarifying the complementarity with existing initiatives (see below).

(2) Developing the Global Impacts Platform: A partner with strong technical capacity will construct and host the platform and provide technical support for ongoing use. Discussions are underway with the International Trade Centre (ITC) to confirm that they would play this role, including by leveraging their existing sustainability platforms to provide the needed functionality at an affordable cost. In the event that ITC does not play this role, an alternative approach is to invest in strengthening the existing pilot version of the Sustainability Impacts Learning Platform developed by the ISEAL Alliance, Sustainable Food Lab, and WWF.

(3) Operating the Global Impacts Platform: During the initial build, existing evaluation and impacts research will be uploaded to the database and characterized (e.g., with tags and spatial location coordinates) to permit the various searching and visualization capabilities. Once the platform is operational, new inputs will be collected from researchers and others through an online user interface. A light degree of content curation will be provided to vet new entries based on clear sets of criteria, deciding which will appear on customized maps and resource lists, and developing standardized summary information about the entries.

*Output 2.2: Documents synthesizing research results disseminated to key decision makers;*

53. This output links directly to the third objective on credible synthesis and communication of the evidence base into decision-relevant messages. It will be achieved through the following activity:

(4) Leveraging results synthesis and communication: The project will collaborate with researchers and other experts to develop syntheses of the evidence in different thematic areas (e.g., different commodities, geographies, or outcome areas) and to contribute brief synopses of individual studies and groups of studies that help translate published science into decision-ready insights. This work will follow best practices for synthesizing scientific evidence. The resulting information will be communicated on the Impacts Platform and through the channels described under activity 5.

*Output 2.3: In-person engagement with stakeholders and decision-makers at knowledge-sharing events, fostering learning and adaptive management toward increasing the effectiveness of VSS and VSS-like mechanisms.*

54. This output also links directly to the third objective on credible synthesis and communication of the evidence base into decision-relevant messages. It will be achieved through the following activity:

(5) Engaging stakeholders and fostering learning and adaptive management toward increasing the effectiveness of VSS and VSS-like mechanisms: The project will include an outreach and learning function to ensure that evidence on impacts is effectively communicated to key user groups and stakeholders, particularly decision-makers in private companies and governments. This will be achieved in two ways: first, by preparing concise syntheses and communications (activity 4) of impacts results and their implications and disseminating these through targeted channels, and, second, by sharing the information through participation in selected in-person events that attract decision-makers and researchers working on sustainable commodity supply chains. In addition to increasing the uptake of research findings by decision-makers, participating in relevant events will also help us to connect to researchers and let them know how to use the platform to more collaboratively identify and investigate priority topics, and to better leverage external resources to support this work.<sup>13</sup>

### **Component 3:**

#### **Outcome 3: Knowledge management, partnership development and communications activities implemented to maximize learning, foster synergies and promote replication and upscaling of actions to address deforestation in commodity supply chains**

55. In order to achieve impacts at the scale necessary for transformational change as envisioned by the Implementing Agencies and by GEF, knowledge management will be a key component of this IAP, both at the Program-level and within the production, demand, transactions and Brazil child projects. This will lead to enhanced understanding of effective strategies and tools to significantly reduce deforestation associated with commodity production, and will facilitate replication and upscaling within and beyond the IAP Program network.

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<sup>13</sup> For instance, it is envisioned that scientific funders will be invited to participate in the community of practice and its events for the purpose of communicating research priorities. Additionally, the online platform will serve as a valuable data resource to help pursue research synthesis grants from entities such as the US National Science Foundation and the National Center for Ecological Analysis and Synthesis.

*Output 3.1: Knowledge generated by the Program is shared at the national and global levels and relevant learnings from other parties and from other IAP programs are shared, captured and leveraged;*

56. The first element of the Program's overall knowledge management strategy involves generating and sharing knowledge within the IAP Program, at the global and national levels. A dedicated Global Knowledge Lead will foster a culture of knowledge creation and management and uptake of learnings among the team and to regularly exchange information with, and brief the child project KM leads as well as the Program Steering Committee. Global-level KM can be distinguished from the KM at the level of the child projects in several ways. At the global level, KM will: 1) be focused on the creation and sharing of knowledge on the effectiveness of the integrated supply chain approach itself; 2) foster extensive knowledge sharing and dissemination within the Program among the different child agencies and implementing partners; 3) promote sharing of lessons learned and best practices with key external partners working on a supply chain approach and on sustainability issues, including by fostering the creation of a Global Community of Practice and producing Program-level publications, among others. KM at the level of individual child projects will center around creating and sharing knowledge on the learnings associated with the particular interventions of each child project with implementing agencies and child project partners. The Global Program KM and M&E lead will facilitate learning by reporting to the Steering Committee in order to provide insights into how the Program is being experienced nationally and globally. He or she will track cross-cutting issues and hot topics and disseminate relevant information to all child projects. Through the Program-level KM strategy, an open approach to data, information and project documentation will be pursued, partnerships with think-tanks, science organizations and academia will be formed, and the valuable inputs of the Scientific and Technical Advisory Panel (STAP) will be sought.

57. Periodic publications will be produced to support knowledge management on global cross-cutting themes such as resilience and gender. We are planning to commission a specific study to examine the effects of increased demand and financing on sustainable production and vice versa, with Forest Trends to be the responsible party for this work. In addition, individuals working on the IAP Program and senior leadership from the multi-agency consortium and from GEF will participate in speaking events and interviews. As such, CIAP will be represented at major policy events during the year such to share knowledge on the integrated supply chain approach being piloted with this Program. These include the United Nations Convention on Biological Diversity (UNCBD) Conferences of the Parties (COPs) and the United Nations Framework Convention on Climate Change (UNFCCC) COPs. Other possible events include **sustainable supply chain events** such as Sustainable Brands, ISEAL Global Sustainability Standards Conference, Ethical Corporation Supply Chain Summit, industry roundtable events (e.g., RSPO, RTRS or GRSB), TEDx Change, and Business for Social Responsibility Conference, among others.

58. Beyond the IAP Program itself, knowledge management will involve the capture and exchange of learning with other relevant stakeholders and other IAP programs. The IAP Manager, IAP Coordinator, KM Lead, as well as other members of the Secretariat and active Program partners, will engage with relevant platforms and fora, such as TFA 2020, IDH, and CGF, which are also tackling the drivers of deforestation within commodity supply chains in order to share knowledge. For example, TFA hosts periodic 'Innovation Labs' on key themes and topics, which will be attended by the IAP Manager and/or KM Lead and reported upon to the Steering Committee. There will also be regular exchange of information and learning with other partners, such as key donors making significant investments related to reducing deforestation from commodity supply change (see paragraph 33 for more details on the partnership strategy). A strong understanding of what different stakeholders are doing and the level of

effectiveness of different actions, coupled with effective coordination of these different interventions, are critical to achieving transformational impact. The focus of this knowledge management with partners that are external to the IAP will be on fostering learning about the specifics of implementation in terms of which interventions are working and which are not as successful in a particular country or setting. This will support the identification of models and packages of interventions that can be shared with different countries. This careful attention to knowledge creation and management will enable the IAP to have an impact far beyond the four target countries in which national and landscape-level actions will take place. For example, lessons learned from this IAP can be shared with other countries in which GEF is supporting work on commodities and with the many countries with which key donors such as the government of Norway have bilateral partnerships or regional initiatives tackling similar issues.

59. Knowledge management will also include learning and information sharing about the experience of implementing an integrated approach pilot itself. As such, effective knowledge sharing and synthesis will be carried out on the Commodities IAP Program experiences with the other two GEF 6 IAPs, Sustainable Cities and Food Security in Sub-Saharan Africa. This will include engagement with key personnel of the other two IAPs, including the knowledge management leads. The effectiveness of the integrated approach will be assessed as part of the Mid-Term Review and Terminal Evaluation for the A&L child project, and will be a topic of discussion at least once a year at Steering Committee meetings. In addition, this child project will fund the production of a report by project end to specifically comment on successes and lessons learned in the process of adopting this integrated pilot approach.

*Output 3.2: Broad Global Community of Practice convenes to share best practices and lessons learned across countries and to promote replication;*

60. A Global Community of Practice (CoP) will be created and will convene practitioners actively working on these issues to share successes and failures and support identification of the most appropriate set of interventions to reduce deforestation from agricultural commodity production (see Annex J for more details). The CoP will be a flagship activity to position the IAP globally for promoting sustainability in the beef, oil palm and soy supply chains. It will also fill a unique niche in terms of assembling actual practitioners and producers from the South who are working in this field, focusing on the four target countries of the IAP. The CoP will provide an opportunity to test models and ideas with practitioners and producers, facilitate networking and to cement partnerships, advance learning on key IAP themes, and maximize synergies and impacts of different interventions

61. The CIAP CoP will bring together practitioners from the oil palm (Indonesia and Liberia), and soy and beef (Brazil and Paraguay) supply chains, which could include governments, local NGOs and producer groups. Program partners, such as bilateral agencies, would also be invited to bring in their practitioners. In addition, we will invite stakeholders from other commodity sectors to share practice and learnings through the Global Community of Practice, such as from the cocoa sector, which is also grappling with the issue of deforestation. Other possible participants could include stakeholders who are working on cross-cutting issues related to reduced deforestation commodity production and who could serve as resource people and contribute to the capacity building of participants. As such, the CoP will enable the sharing of knowledge and experience not only among direct Program partners, but with the wider commodity community. This will support the integration of the Program's aims into national and corporate policies and the increased adoption of this approach as a commercial norm in the agricultural commodities sector.



62. A total of two Communities of Practice events will be organized during implementation of the IAP program. These may be separate events or timed alongside other global events (to be determined as part of the CoP preparations). The specific objectives of these meetings will be to:

- Share lessons learned and promote replication of IAP best practices across countries and practitioners;
- Provide a platform where other organizations and fora can share their experiences and lessons learned from initiatives that complement the IAP's work;
- Explore learnings on key themes of this IAP (see examples below);
- Facilitate south-south cooperation and technology transfer among the participating IAP countries, allowing lessons learned to be replicated efficiently and fostering ownership;
- Cement partnerships and collaboration both within the IAP itself as well as within the wider community that is tackling deforestation.

63. Various themes or learning areas related to the integrated supply chain approach being piloted with this Program could be discussed at the CoPs, such as:

- How increased demand for reduced deforestation production can influence production on the ground and vice versa (i.e., how increased sustainable production can affect demand by making it 'safer' to make commitments to source sustainably);
- To what extent changes in farmer finance and public private partnerships for farmer support affect reduced deforestation production, the relationship of changes in finance to changes in demand and vice versa;
- Findings from the Global Impacts Platform Component of this project (Component 2) on the evidence base/ impacts of Voluntary Sustainability Standards and other similar mechanisms;
- Assessment of information management and transparency and the most effective way of scaling up existing tools;
- Constructively engage different levels of government to promote sustainable production, bring about appropriate policy reform and carry out land use planning to balance sustainability and conservation with economic growth aspirations;
- Linking smallholders with markets;
- Engaging with the private sector to help them make and meet commitments, including large buyers and traders;
- Integrating gender mainstreaming in interventions;
- Ensuring resilience in Program implementation;
- Making a multi-agency consortium work so that it is coordinated effectively and brings on board relevant partners;
- New thinking on issues such as landscape approaches or the role of technology in reducing deforestation.

64. In addition to the two Community of Practice events, the A&L project would also fund regular discussions through social media, the Program website, webinars, etc. to support ongoing dialogue among practitioners to advance learning and cooperation on these issues. This will allow learning on a variety of issues, as the two face-to-face events would not provide sufficient time to cover the different proposed themes. The Global Community of Practice will collaborate with the broad existing global platform, namely, the Tropical Forest Alliance 2020, and has already engaged with TFA to discuss synchronization of efforts. TFA has agreed to invite their members to the IAP Program Community of Practice and other

IAP meetings. Furthermore, TFA will be included when planning thematic priorities for the Community of Practice. As a result of the unique niche of the proposed CoP, no overlap is expected with the TFA.

65. Given some of the key objectives of the GEF in pursuing an integrated programming approach, the A&L project will ensure that there are ongoing learning opportunities on cross-cutting themes such as gender and resilience, including through the above-mentioned CoP, and more generally through knowledge management activities with CIAP partners and external stakeholders.

66. Learning exchanges/ study tours will be carried out both by the production child project and the demand project (through the Learning and Exchange Program in Southeast Asia). The A&L project will help ensure coordination between the two child projects for these study tours wherever possible and will also glean learnings from the study tours to contribute to the overall KM agenda of this IAP. The main themes for the production study tours will likely focus on topics such as farmer support systems, spatial planning, and policy and enforcement strategies, among others and will target policy makers, extension agents, and others. The demand project will organize learning tours for companies to production areas to demonstrate the impacts of deforestation, best practices and challenges in verification. These study tours will enable Program partners to learn from the experiences and lessons learned in the four IAP target countries. A minimum of two study tours will be organized, one every two years of Program implementation.

*Output 3.3: Strong partnerships are established to support knowledge management and increase synergies in order to maximize progress toward reducing deforestation from global commodity production;*

67. To support knowledge management and contribute to the overall goals of the IAP, the Program will place significant emphasis on the implementation of a strong Partnership Strategy. There are a number of reasons why engaging a diverse set of partners will be beneficial for the IAP, including: strengthening the platform on which a broad set of stakeholders can come together; supporting innovative ways of doing business, driving sector wide transformation; testing emerging models or concepts, as part of breakthrough thinking with the aim of creating a “beacon effect” that can spur broader adoption; incorporating scientific findings, appropriate technology and traditional knowledge into project design; scaling up existing good work; creating synergies leading to greater, sustained impacts; driving progress on commitments; gathering strategic or technical critique and feedback to improve quality of the work; raising the profile of the GEF, unlocking match funding or other donations; and delivering substantive impacts, cost effectively. The reasons why potential partners may wish to get involved with this GEF Program are similar. The project preparation (PPG) stage was characterized by extensive outreach to partners engaged in the field of reducing deforestation from commodity supply chains, and it is foreseen that these relationships will continue to be built upon and expanded during program implementation. Partners are expected to play one of five key roles:

- Provide expert guidance or critique by globally recognized experts, through participation on the CIAP Advisory Committee and other possible means;
- Provide innovative tools (such as transparency tools), thinking or expertise, or ensure certain perspectives are integrated (such as gender and resilience);
- Help influence the enabling environment for responsible sourcing of commodities, and increasing synergies, maximizing synergies to benefit from the work of others in the field and vice versa;
- Deliver implementation services, through delivery partners who could implement specific components, such as establishment of a program website;

- Provide co-financing to co-fund components of the IAP that are line with donors' strategic goals, and thereby increase the IAP's impact.

68. The A&L child project will engage with partners who play a role at the global Program level or across multiple child projects. The CIAP Partnership Framework presented in Annex K (Figure 2) provides a preliminary list of some of these Global-level partners as well as their proposed role in the CIAP, such as TFA, CGF, CLUA, IDH, ISEAL, Global Canopy Programme, Climate Advisors, Mondelez, Santander Bank, Marks and Spencer, KLD, USAID, DFID, and others (see also section A1. on Baseline Scenario and Baseline projects for more detail on KLD and DFID). Global-level partners could also include organizations that are working on agricultural or sustainability issues through a gender lens, such as WOCAN, WEDO and GGCA.

69. The majority of Program-level partners will provide 1) expert guidance or critique; 2) innovative tools; 3) support to influence or enhance the enabling environment. The project will seek to involve such Program-level partners from the outset to learn from them, connect on areas of overlap or joint interest to maximize synergies and impact. The IAP Manager will take on the role of coordinating the relationship with these global-level partners to ensure programmatic consistency and optimum coordination. The IAP Manager can also act as a conduit for activities to facilitate learning by new partners about the IAP and point them to the child projects of relevance. In addition, engagement with partners at an IAP level will maintain IAP brand awareness. Note that some of these same partners may also play a role in the individual child projects. Where there are global partners with multiple points of engagement, the IAP Manager will coordinate this so that everyone is kept informed. Each child project will manage multiple partnerships that are relevant to advancing the aims of their work. These partners may operate at the national, regional or even global level depending on the specific role and remit within those child projects and the added value they bring. The partnerships at the child project level will primarily provide innovative tools or thinking, and implementation services to support project delivery across each of the child project components.

70. The A&L will also carry out awareness raising workshops with China (a country that is not formally part of the IAP) about the IAP Program, in order to strengthen political capital and the potential for China to become involved in a subsequent phase of this supply chain work.

*Output 3.4: Implementation of a Program-level Communications strategy raises awareness of the impacts of the CIAP and facilitates dissemination of knowledge.*

71. A Communications Strategy will be implemented to support knowledge management by disseminating content and learnings to internal and external stakeholders and providing information about advances linked to the different child projects. This Strategy will also raise awareness of the role of the IAP and of the GEF in driving sector progress toward reduced deforestation from commodity production (see Annex L for Communications Strategy). A dedicated Global IAP Communications Lead will develop the IAP brand identity and guidelines for use, create Program-level assets such as an IAP flyer, IAP newsletters, briefing notes and multimedia materials, manage the IAP's digital presence, and organize its presence at key global events and conferences, among other responsibilities.

72. The Global Communications Lead will create a brand identity for the IAP Program to underscore the distinctive integrated approach of the IAP. This will involve the development of a logo, brand guidelines, and artwork files. A Program website will be established to house key information about the

Program, such as key deliverables, impacts of different interventions, upcoming events, and publications, among others, and will be periodically updated and linked to other relevant websites. In addition to the website, coverage on the IAP will be sought through other media channels.

73. The Program's impact is also expected to garner attention through the referencing of the IAP by the media and in publications, and through information sharing networks and fora. Finally, a content partnership will be established with the Guardian Sustainable Business, which is a recognized leader in sustainability discourse. As such, an independent hub will be set up on their website for a period of four months to host Program articles and think pieces, among others. This will facilitate the dissemination of knowledge from the IAP and foster debate and dialogue about relevant issues among key stakeholders in this field.

74. Each child project will carry out communications activities as needed to disseminate the results of their specific work, be it on sustainable production, demand or transactions, through briefings, publications, speaking engagements, or other means. The Global Communications lead will liaise with the child projects to ensure consistency among child projects in publications and communications documents in terms of the main messaging and use of the IAP logo and art files, in order to maintain IAP cohesion. Please note that the child projects will also provide content for Program-level communications assets, including for the IAP website and the Guardian Sustainable Business content hub.

ii. Partnerships:

75. A Partnership Strategy for the IAP as a whole was developed during the PPG phase, which identifies the role and relationship expected with stakeholders. Stakeholders were categorized as either engaged stakeholders, who may be consulted or kept informed of the progress or who will benefit from IAP implementation, and partners (active stakeholders), which comprise a subset of the above and who will actively participate in Program implementation. The potential role(s) that partners can play during implementation were: providing expert guidance or critique, providing innovative tool(s), thinking or experience, increasing the scale of impact of the IAP/ influencing the enabling environment, providing implementation services, and/or providing co-financing. Child project partners will play a role within a specific child project or across two child projects while Program level partners are considered to play a role at the Global Program level or across multiple child projects. A partnership database was developed and populated with information supplied at the global level and by each of the child project agencies in terms of the stakeholders they propose to engage during implementation and the expected nature of this engagement. The extensive work to build and consolidate relationships and to develop a Partnership Strategy that was carried out during the PPG phase will be built upon during Program implementation and will increase the level of ownership and impact of the IAP. Further details on the Program-level Partnerships Framework can be found under Outcome 3 of the project strategy as well as in Annex K.

iii. Stakeholder engagement:

76. The main stakeholders and their role in this IAP include:

<b>Stakeholder</b>	<b>Stakeholder involvement in IAP</b>
Developing country governments at the national, state, province and district levels	Governments influence the enabling conditions for sustainable practices, including, for example, through policies that favour a production-protection agenda. The IAP will work closely particularly with the IAP target countries of Brazil, Paraguay, Indonesia and Liberia on issues related to policies, incentive mechanisms, and platforms, among others.
Donor governments and foundations	The IAP will work with donor governments and foundations that are actively funding efforts to promote the production/protection agenda and to take deforestation out of commodity supply chains, such as the governments of UK, Norway, Switzerland, Netherlands, Germany, and others. By supporting other initiatives that are aligned with the objectives of this IAP, these donors strengthen the enabling environment for positive change. Possible co-financing will also be explored.
Multilateral development agencies and programs	The IAP will maintain communication with key multilateral development agencies working in this space as well as with programs, such as UN REDD+. The latter is a key partner that it is making substantial investments to provide financial incentives for the conservation of forests.
Financial institutions	These provide financial transactions and services to commodity supply chain actors at national, regional and global levels. The IAP transactions work will focus on derisking and increasing available financing for sustainable commodity practices.
Companies, i.e., buyers, traders, processors, consumer goods manufacturers and retailers, such as Mondelez and Marks and Spencer	The IAP will work with the private sector to foster increased demand for sustainably sourced commodities and to strengthen transparency in line with increased commitments from various companies to remove deforestation from their supply chains.
Producers, at a range of scales from smallholders (including women and indigenous groups), local communities, SMEs to multinational companies	The IAP production child project will strengthen the extension services available to producers to implement good agricultural practices and low carbon agriculture, and will support intensification where coupled with the setting aside of HCV and HCS lands for protection. The IAP will also stimulate greater demand for sustainably produced commodities. More details on how women and indigenous groups will be integrated into the project can be found in section A4 on gender, the Gender Mainstreaming Strategy and Action Plan and the individual child project proposals.
CSOs/ NGOs, such as CI, WWF, Carbon Disclosure Project, Climate Advisors, Proforest, Forest Trends, Rainforest Alliance, and ISEAL Alliance	WWF is an Implementing Agency for this Program as a whole and for this project in particular. The IAP will also collaborate with other NGOs to make use of their expertise and contacts, and in some cases, for implementation services (e.g., Proforest) and in others for provision of co-financing.
Platforms and collaboration forums, such as Tropical Forest Alliance 2020, Consumer Goods Forum, Climate & Land Use Alliance, IDH	Partnerships with such platforms and fora will enable the IAP to leverage and add momentum to its work, in order to catalyze widespread change, and also to gain insights to feed into the learning agenda of the IAP.
Academia, such as University of Michigan and University of Wisconsin	Academic institutions may provide specific tools or may develop papers to assess or validate approaches or to support knowledge management.
Organizations that take a gender lens to work on development or	Through its gender mainstreaming strategy, the IAP will ensure that women and men's issues are addressed in Program implementation (see section A.4

<p>environmental issues, such as the Global Gender and Climate Alliance, WOCAN (Women Organizing for Change in Agriculture and Natural Resource Management) and WEDO (Women's Environment and Development Organization)</p>	<p>for more details as well as the Gender Mainstreaming Strategy and Action Plan). Liaising with these organizations will strengthen this integration of gender aspects in the program and in the policy work to be undertaken.</p>
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77. The main processes for engagement of these key stakeholders will include national platforms at the national level, bilateral consultations with key stakeholders, and the Community of Practice to be established through the A&L project for a broader group of stakeholders. Each child will manage its own partnerships based on its needs and existing networks, and the A&L project will ensure coordination between these partnerships.

78. With regard to the Impacts Research component of this project, in the platform scoping phase, a variety of potential user groups (researchers, standards organizations, companies, governments, NGOs) will be engaged to help determine the most useful functionalities to include in the platform. As a starting point, the platform will build off a pilot Sustainability Impacts Learning Platform co-developed by ISEAL, Sustainable Food Lab, and WWF, and a related concept developed by CAREY Research & Consulting for the Donor's Network on Sustainability Standards, and these stakeholders will all be engaged in the scoping of the GEF Global Impacts Platform. During implementation, a project component-level Steering Committee will guide high-level decision-making related to the platform. Outreach to researchers will continue throughout implementation to ensure that the latest studies are included on the platform, to encourage researchers to focus new studies on evidence gaps identified through the synthesis of evidence on the Impacts Platform, and to identify opportunities for the research community to conduct credible, independent syntheses on specific topics, commodities, or regions. These engagements with the research community should help the Platform leverage considerable additional resources from science and research funders directed toward new, high priority impact studies or syntheses on effects of VSS and VSS-like mechanisms. Engagement with companies, governments, standards, NGOs, and other decision-makers will take place in person at annual forums such as the ISEAL Global Sustainability Standards Conference to ensure that findings are disseminated and taken up by relevant stakeholders. Additional ongoing stakeholder engagement will include regular marketing of the platform to the aforementioned user groups, discussions of findings with thematically focused groups, and feedback mechanisms to ensure the platform can be adapted to maintain its relevance.

*iv.* Mainstreaming gender:

79. A gender analysis for this IAP was carried out, which included background research, discussions with key stakeholders in the field and thematic working group discussions with child project agency leads on how gender mainstreaming will be achieved throughout this IAP. A Gender Mainstreaming Strategy and Action Plan for the IAP as a whole was developed (see Annex I), based on the actions that will be taken at the level of each child project to incorporate gender considerations and tailored IAP interventions to ensure that both women and men benefit from them.

80. All work to promote gender mainstreaming in the A&L project will adhere to the GEF Policy on gender and to the UNDP Gender Equality Strategy 2014-2017. The A&L project will incorporate gender considerations in all the proposed Outputs and Outcomes, as described in the following paragraphs.

81. With regard to the Program coordination and Program governance structure, efforts will be made to ensure representation of both men and women on governing bodies such as the Steering Committee and External Advisors, as well as in terms of Program staff within the Secretariat (including its global coordination structure and child project agency-level work). Regular feedback loops for adaptive management that will be managed by the IAP Coordinator will provide the opportunity for the effectiveness of gender mainstreaming to be assessed and reported upon to the Steering Committee, and for corrective actions to be taken if and when necessary. Monitoring and Evaluation includes gender disaggregated indicators in the Program Results Framework, as well as within the Results Framework of the A&L child project, which includes an indicator related to knowledge management, with a target of at least one information briefing that addresses the topic of gender. These indicators will enable regular tracking of the IAP impact as it relates to gender.

82. Knowledge management activities will explicitly include the capture of learnings from organizations analyzing or focused on gender issues as they relate to agricultural commodity production, climate change and forest issues. For example, the IAP will learn from organizations such as WOCAN (Women Organizing for Change in Agriculture and Natural Resource Management) as to how to better integrate consideration of women's issues in agricultural interventions and to measure the benefits being experienced by women. Organizations such as WEDO (Women Environment and Development Organization) and GGCA (Global Gender and Climate Alliance) could impart learnings to the CIAP as to how to address climate change through gender-responsive strategies and programs, and could also share some of their practical tools, information, and methodologies to help integrate gender into programs and policy. Knowledge management activities with the other two GEF-funded IAPs will include sharing of experiences and lesson learning concerning the implementation of gender mainstreaming strategies and the integration of gender in program M&E.

83. The Community of Practice to be established for this project will seek the participation of organizations that have incorporated a gender lens in their work on deforestation and commodity production or more generally agricultural production, climate change and forests. The COP may also specifically include thematic discussions on gender. Furthermore, it should be noted that the implementation of the IAP Partnership Strategy at a global level will reach out to organizations incorporating a gender perspective in order to benefit from expert guidance on this issue and innovative thinking. The Program-level Communications work will ensure that the information that is disseminated through the Program website, articles, publications, and speaking events includes specific pieces that address the issue of gender mainstreaming in this IAP. The Global Impacts platform will include gender as one of the social impact research topics.

84. A number of VSS address gender equality and women's empowerment in a variety of ways within their VSS systems, including as explicit requirements in the Principles & Criteria, as indirect benefits of other Principles & Criteria, in monitoring and reporting requirements (through gender-disaggregated indicators), and through inclusion of women in leadership roles in the standard organization. WWF and ISEAL have conducted baseline assessments of the various ways VSS address gender-related issues, and both encourage additional research on the social and gender impacts of VSS, which will be disseminated through the Impacts Platform. ISEAL has developed and published a gender research agenda that documents key questions in commodity agriculture and forestry that should be further investigated with regards to gender empowerment and equality. This research agenda will be used by ISEAL to drive research that will support learning and improvement of VSS and VSS-like tools on the topic of gender. Gender will be one of the keywords or filters by which studies on the platform can be easily searched, and a meta-analysis on the topic of gender will reveal cross-cutting findings from various

VSS and implementation contexts, which can be used to improve VSS and related mechanisms based on lessons learned.

85. As per UNDP requirements, a gender marker has been assigned to the A&L child project, which corresponds to GEN2 (a "gender mainstreamed initiative"), meaning that "gender equality is not the main objective of the expected output, but the output promotes gender equality in a significant and consistent way". This implies that a gender analysis has been carried out, that there will be changes related to women's equality, and that indicators have been included to measure this change. The environmental and social screening tool also describes how gender issues will be addressed during project implementation.

86. The Knowledge Management Lead will promote the integration of gender mainstreaming in the IAP Program as a whole and in the child projects. In addition, the issue of gender mainstreaming will be discussed in the Program Steering Committee to assess the extent to which this is occurring.

v. South-South and Triangular Cooperation (SSTrC):

87. This child project has a strong emphasis on South-South cooperation. The Global Community of Practice (CoP) that will be established with this project will support South-South learning, cooperation, and networking among a broad array of practitioners with regard to the most effective set of interventions to reduce deforestation in global commodity supply chains and to promote replication. It will bring together practitioners and producers from the South, with a focus on Brazil, Paraguay, Indonesia and Liberia and will thus serve as a strong platform to facilitate South-South cooperation and technology transfer. As explained in detail under Outcome 3, there will be two CoP events during the course of the IAP as well as regular communication and sharing of information with the CoP through webinars, the IAP website and other means.

88. In addition, the IAP Coordination staff will engage regularly with external partners, will participate at key events and will disseminate information through media coverage, publications and presentations, all of which will facilitate South-South learning. An IAP Coordination Committee will be established to promote communication among key donors with interventions in the target countries in order to promote learning on experiences, maximize synergies and minimize overlap. Study tours that will be coordinated between the production and demand child projects will enable practitioners from different countries in the South to exchange experiences, which will further facilitate learning.

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## **IV. FEASIBILITY**

i. Cost efficiency and effectiveness:

89. The A&L project has been designed with a strong focus on cost-effectiveness. The project will promote inter-agency coordination in order to avoid duplication and maximize impact with the least possible resources. The alternative scenario without the A&L project would mean that actions taken by different agencies would not be synchronized, which could lead to failure to capitalize on opportunities for synergies and coordination. In addition, cost-sharing of various positions with the production project will contribute to cost-effectiveness, as will the fact that the Secretariat will be virtual. The project's coordinated partnership development strategy to reach out to key partners at the A&L level will also generate significant savings in terms of time and trips needed, as compared to a situation where each



agency separately manages all global-level partner relationships. Finally, the organization by the A&L project of two large Community of Practice events will also support cost-effectiveness by bringing together key practitioners and partners and thus promote information sharing, replication and maximizing impact on the sustainability of supply chains.

90. The Program as a whole is also highly cost effective due to its integrated nature and due to its focus on systemic level interventions that can have large impacts. The Program builds on the competitive advantage and previous experience of five GEF Implementing Agencies (UNDP, WWF, IFC, UNEP, CI). This will enable the Program to use resources in a targeted manner based on identified gaps in interventions.

91. A synergistic integrated approach will lead to greater effectiveness and impact than disjointed approaches focusing on only one element of the supply chain. In addition, this integrated approach will lead to cost savings compared to a number of different smaller projects that would not have the same level of coordination.

92. Cost efficiency will also be achieved through the establishment of strategic partnerships, which will enable the project to influence many supply chain stakeholders with limited funds. For example, with the demand child project, the expected alignment with the Consumer Goods Forum will facilitate the use of an integrated platform to shift corporate demand towards sustainable sourcing, and promote follow up on requirements of this sourcing. In addition, the pilots and regional approaches to be adopted in the demand project will enable a combination of approaches to be used in accordance with how advanced the commodity supply chain is in that area. Such approaches can be scaled up and coordinated as required, enabling activities to be tested and disseminated globally through a system that incorporates adaptive management.

ii. Risk Management:

Risk	Type	Impact and Probability	Mitigation measure	Owner (who is appointed to keep an eye on this risk)
<p>Procurement processes, bureaucratic procedures and multitude of agencies working under the IAP lead to delays in national and global-level activities that undermine the technical sequencing of activities across the program</p>	<p>Political/operational</p>	<p>Probability: 3  Impact: 2</p>	<p>Adaptive management will be employed throughout IAP implementation to deal with issues that may arise, such as delays related to national elections. The IAP Coordinator will regularly assess changes in the context that could affect project execution and discuss these with child project leads. The Coordinator will report back to the Steering Committee with proposals on how to address such issues. Furthermore, the Program governance structure explicitly takes into account the need for a single national-level entry or focal point in each country who would be aware of all activities taking place in that country under the IAP. Thus there will be designated national focal points in Brazil, Paraguay, Liberia, and Indonesia. These will serve as points of contact and will gather information from the different agencies working in the country to compile annual national workplans that would outline the major milestones or deliverables. In this way the different proposed national-level activities will be planned and carried out in a sequenced and coordinated fashion. In the event of shifts in the timing of these deliverables, these workplans will be reviewed and adjusted as necessary. This will be facilitated by close communication among the agencies working in each country.</p> <p>An IAP coordinator will be hired to promote logical technical sequencing at the global level through ongoing communication and coordination among agencies. This will be ensured by carrying out regular Steering Committee meetings, monthly Secretariat calls, as well as national-level meetings. In the event of delays, agencies may decide to prioritize elements that are moving in tandem and hold back on actions where this is not the case.</p>	<p>Global Program Coordinator, with support of Steering Committee</p>

<p>Overlap of this IAP knowledge management component with existing knowledge management platforms, leading to insufficient interest, participation and uptake of IAP learnings from key stakeholders</p>	<p>Other</p>	<p>Probability: 1  Impact:2</p>	<p>The A&amp;L child project includes extensive knowledge management activities such as organization of biannual Global Communities of Practice, participation in relevant fora, establishment of an IAP website, and publication of Program learnings on the widely read Guardian Sustainable Business site. These will provide the opportunity to distinguish the IAP knowledge management activities from those of other stakeholders. A Knowledge Management Lead will be specifically tasked with managing these activities and ensuring that the IAP carves out a unique niche for itself.</p> <p>In addition, this child project will be involved in knowledge management around the topic of the impacts of voluntary standards (VSS) and similar mechanisms on deforestation rates and other sustainability outcomes. Given the many such platforms that exist, this research component will establish a global online platform as a “one-stop shop” for stakeholders to find information on impacts. Curation and synthesis will be carried out to ensure that the platform includes relevant succinct information, and communication activities will be carried out to raise stakeholders' awareness of the platform.</p>	<p>Global Knowledge Management and M&amp;E Lead reporting to Global Program Coordinator</p> <p>Child project knowledge management leads</p> <p>IFC/WWF for research component</p>
<p>With so many stakeholders working in the target countries and on the issue of taking deforestation out of the commodity supply chains, the IAP may not be able to effectively coordinate with existing initiatives and partners while demonstrating added</p>	<p>Operational</p>	<p>Probability: 1  Impact: 1</p>	<p>The design of this IAP has involved an extensive exercise of reaching out to other stakeholders working in this same space to map out what different partners are doing in country and globally and to raise awareness of the IAP and its particular focus. A Partnership Strategy was developed to identify the role and expected level of engagement of different stakeholders in the IAP. During implementation, the Adaptive Management and Learning child project will work to ensure that the IAP communicates with and coordinates with global-level partners. Similarly, the child projects will ensure coordination with stakeholders working in their particular area, be it production, demand or transactions, or working in particular countries. The IAP will also implement a Communications Strategy to raise awareness of the added value and the achievements of the IAP.</p>	<p>Global Program Coordinator and IAP Secretariat</p>

value				
Climate change and associated extreme events significantly affect agricultural production, leading to pressure to expand production and reducing support for setting aside high conservation value forests and for sustainably sourced commodities, undermining the ability of the IAP to achieve expected impacts	Environmental	Probability: 2  Impact: 3	The IAP Program as a whole and the individual child projects under it have built in consideration of resilience into all aspects of its design and also ensured that proposed interventions are climate-proofed. The IAP is built on the premise that agricultural production is expected to significantly increase and the Program will work to ensure that the areas for expansion are carefully selected so that high carbon forests and biological corridors are not used. In Brazil, for example, the child project will develop a zoning proposal for soy expansion but also propose priority corridors for biodiversity and restoration of native vegetation through the establishment of private reserves, which would also enhance resilience in the face of climate change. Spatial planning to be carried out through the production project both in terms of proposed areas for expansion and for set-asides will take into consideration climate scenarios.  It should also be noted that the Program will promote low-carbon agriculture, thus also contributing to climate change mitigation.	Project leads for production, demand, transactions and Brazil child projects
The platform could be seen as duplicating existing efforts or tools or may not be used by target users.	Strategic/operational	Probability: 1  Impact: 2	The scoping phase will ensure that the platform is developed to fill gaps based on where users feel a need for new or different access to information. Ongoing feedback mechanisms will ensure that it remains fit for purpose. Ongoing marketing and stakeholder engagement efforts will demonstrate the platform's value to users. Feedback mechanisms will ensure that the platform is adapted to meet user needs as appropriate.	ISEAL Alliance
Research funding for standards may dry up.	Financial/strategic	Probability: 1  Impact: 1	The platform will be flexible enough to include innovations and evolutions of current VSS and VSS-like mechanisms. Executing agencies will continue their current efforts to drive research on standards, promoting the importance of this research to funding institutions and exploring new funding models if current funding opportunities begin to shift.	ISEAL Alliance

## *Resilience*

93. As highlighted in the recent guidance from GEF on RAPTA (Resilience, Adaptation Pathways, Transformation Assessment Framework), resilience assessment involves the identification of risks and points-of-no-return, opportunities for adaptation and/or transformation, and the costs and benefits of these options. The design of the IAP program involved an analysis of risks at the level of each child project and for the Program as a whole. For the A&L child project, anticipated project risks and adaptation measures are presented in the table above, and risk management and implementation of adaptation measures will be carried out continuously throughout project implementation. However, achieving resilience also requires ongoing analysis of unexpected and hard to predict shocks and stresses, and making decisions accordingly through adaptive management during Program implementation. The extent to which the project and the IAP Program as a whole have been able to achieve resilience and maintain the original objectives will be assessed annually through project and Program M&E. In addition, resilience will be discussed annually at Program Steering Committee meetings (see Output 1.3 for more details on these feedback loops). As such, these meetings will provide a forum for the key IAP agencies to proactively discuss how they have been applying a resilience lens to ensure robustness in project implementation and to review lessons learned emerging from implementation. If the need for additional adaptation measures or even transformation of project or Program activities or objectives is needed, the costs and benefits of options will be discussed on an annual basis at these Program Steering Committee meetings and as a result of M&E activities. In this way, an iterative and participatory approach will be followed to refine project and Program planning as needed. It should also be noted that the issue of resilience will be discussed in the two Global Community of Practice events to be organized by the A&L project.

94. The Program as a whole has developed a Theory of Change on how transformational impact can be achieved to take deforestation out of global commodity supply chains through this IAP based on the interlinkages of supply chain actors among sustainable production, responsible demand and enabling transactions. If the hypotheses that underpin this TOC are correct, the adoption of this integrated approach pilot will strengthen the resilience of sustainable commodity production systems to external shocks while contributing to reduced deforestation. The Program will test this Theory of Change through a key study that will be commissioned at the mid-point and at the end of the IAP Program to assess how demand has been affecting production and vice versa and how financing has been affecting production and vice versa. A briefing on resilience in the IAP Program will also be produced through the A&L project, which will enable Program learning on resilience to be captured for future project/program design, including learning on how monitorable, measurable actions that can be taken in the short (3-5) year term can give us an indication of long-term resilience benefits.

### iii. Social and environmental safeguards:

95. A social and environmental screening was carried out for this project. As detailed in the SESP, the project mainstreams the human-rights based approach, is likely to improve gender equality and women's empowerment, and mainstreams environmental sustainability. No environmental or social risks were identified for this child project and the project risk categorization was therefore low risk.

96. Any future environmental and social grievances will be reported to the GEF in the annual PIR.

### iv. Sustainability and Scaling Up:

97. This A&L project includes various elements that are critical to overall IAP Program-level sustainability and longer-term impact. An ongoing focus on partnership consolidation and creation of synergies will ensure that the foundations for continued action on these topics are established. The experience that will be gained by different international agencies, NGOs, and governments in working in an integrated and coordinated fashion on issues related to the entire supply chain will also enhance sustainability by increasing the likelihood of further joint action and synergies. In addition, elements such as Global Communities of Practice and the provision of content for the Guardian Sustainable Business hub will lead to dissemination of knowledge and greater dialogue about these issues among all key stakeholders, which will help to build the momentum to ensure sustainability beyond 2020.

98. ISEAL, Rainforest Alliance, WWF, and other entities have had VSS impacts research agendas and programs for several years now. The Global Impacts Platform will leverage these efforts to make information more centrally available to users, while also ensuring that these project partners continue to generate, synthesize, and communicate research findings and participate in impacts communities of practice long after the conclusion of these activities. Other collaborative research programs on these same topics led by university researchers have also emerged in several countries, and this project will help broaden awareness of these initiatives. The partnership with ITC will allow the online platform to be built into existing and ongoing ITC programs relating to VSS, sustainability, and transparency, and will live on past the project period, embedded in these existing programs.

99. In addition, the other child projects have embedded in their designs different actions to ensure sustainable impact. For example, the production and Brazil projects will strengthen the capacity of producers through strengthening farmer support services that promote best practices and standards. They will strengthen institutional enforcement capacity and support the development/strengthening of commodity platforms and of actions plans involving key stakeholders at national or regional levels. They will also promote policy development and incentives mechanisms to support sustainable agricultural intensification coupled with protection of forests. The transactions project will design risk management and assessment tools that can be integrated in the operational practices of financial institutions and thus have a long-term impact in determining what they fund by integrating greater consideration of environmental risks and impacts on deforestation. The demand project will engage demand country governments to adopt policies and incentives to increase imports of reduced deforestation commodities and set up a publically available commodity portal to create transparency along the supply chain, among various elements to increase sustainability.

100. The A&L project will play a crucial role in supporting the upscaling of the different elements of the IAP Program, by supporting regular communication and coordination, promoting extensive knowledge management, establishing a Global Community of Practice and carrying out IAP communications activities. As such, knowledge on best practices and lessons learned from the adoption of this agricultural commodity supply chain approach to support upscaling and replication will be made available to IAP agencies and all key Program partners.

101. Upscaling will be promoted at the level of the individual child projects through various means. For example, legislation and regulations will be developed/revised, relating to land use plans and zoning, forest set-asides in concessions, and access to degraded land, which can have broad application across national contexts or across commodities. In addition, financial instruments and incentive mechanisms will be developed, for example, to facilitate access to financing, to develop environmental and social risk assessment tools for banks, and to improve access and use of degraded land, that can also be applied at scale. Capacity building of key stakeholders such as extension service providers, ministries of

agriculture, buyers, traders, banks and investor coupled with partnership building will facilitate broader impact beyond the specific target landscapes and countries. At the landscape level, the IAP will fund demonstrations of innovative tools and technical support to test these and to create opportunities and momentum for upscaling and replication. Commodity platforms will also play a key role in capturing and facilitating the dissemination of lessons learned from the district to provincial and up to the national level with a view to upscaling. Finally, extensive knowledge management activities at the level of each child project and at the global level will serve to promote learning on the suite of interventions that are most effective at reducing deforestation from commodity production, thereby supporting replication and upscaling of these interventions.

102. Companies that engage in responsible and sustainable sourcing initiatives increasingly expect evidence on the actual on-the-ground outcomes or impacts of these programs or investments – and are increasingly using such data to inform business decisions and report to their stakeholders. Accordingly, improved evidence on the effectiveness of various sustainability tools is instrumental to the ongoing use, upscaling, and improved effectiveness of such mechanisms. The work to consolidate and synthesize evidence on impacts of VSS and VSS-like mechanisms is therefore entirely about upscaling. The more effectively this information is brought together, synthesized, understood, and used for adaptive management and decision-making, the greater the likelihood that responsible production and sourcing initiatives will achieve lasting positive impacts, and the greater the likelihood that companies will continue or expand such initiatives. Conversely, the lack of credible evidence on impacts can undermine the business case for responsible business decisions and create widespread opportunities for greenwashing.

103. In addition, the ISEAL work on an innovation agenda for VSS (funded by SECO) will bring to bear an additional impacts-innovation loop that is also about upscaling. In the ISEAL innovations programme VSS will receive funding and participate in working groups and events where they can test and pilot new innovations. Funding will be awarded based on the potential for the innovation to lead to increased scaling up of

## V. PROJECT RESULTS FRAMEWORK

<b>This project will contribute to the following Sustainable Development Goal (s):</b> <i>SDG2, SDG4, SDG5, SDG8, SDG12, SDG13, SDG15</i>					
<b>This project will contribute to the following country outcome included in the UNDAF/Country Programme Document:</b> <i>n/a because global Program</i>					
<b>This project will be linked to the following output of the UNDP Strategic Plan:</b> Output 1.3: Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste.					
	<b>Objective and Outcome Indicators</b>	<b>Baseline<sup>14</sup></b>	<b>Mid-term Target<sup>15</sup></b>	<b>End of Project Target</b>	<b>Assumptions<sup>16</sup></b>
<b>Project Objective:</b> Effectively leverage demand, transactions and support to production to ensure successful implementation of the Commodities IAP program	UNDP IRRF Indicator 1.3.1: Number of new partnership mechanisms with funding for sustainable management solutions of natural resources, ecosystem services, chemical and waste at national and/or subnational level.	While there are two national commodity platforms (in Indonesia and Paraguay), there are no subnational platforms. In Liberia, there is a palm oil	Will have established a Chaco beef platform that is integrated into a national soy and beef platform and provincial platforms in Indonesia. In Liberia will evolve the taskforce into a national palm oil platform. In Brazil	National Action Plans catalyzing finance for sustainable management  At least 60 private sector, civil society, and donor organizations newly connected and engaged in	Platforms and action plans fully incorporate the objective of, and provide effective support for, reduced deforestation commodity production

<sup>14</sup> Baseline, mid-term and end of project target levels must be expressed in the same neutral unit of analysis as the corresponding indicator. Baseline is the current/original status or condition and need to be quantified. The baseline must be established before the project document is submitted to the GEF for final approval. The baseline values will be used to measure the success of the project through implementation monitoring and evaluation.

<sup>15</sup> Target is the change in the baseline value that will be achieved by the mid-term review and then again by the terminal evaluation.

<sup>16</sup> Risks must be outlined in the Feasibility section of this project document.



		taskforce.	will set up the Matopiba multistakeholder forum.	broad-based dialogue under ational and sub-national platforms	
	Indicator 1.3.2: Number of additional people benefitting from strengthened livelihoods through solutions for management of natural resources, ecosystem services, chemicals and waste (among groups including smallholder farmers and forest-dependent communities (disaggregated by gender).	Baseline to be confirmed at inception phase	Targets to be confirmed at inception phase	Targets to be confirmed at inception phase, based on the # of producers in the target landscapes of the 4 countries	
	Level of dialogue catalyzed by IAP Platforms between buyers and producer country oil palm, soy and beef commodity sectors (in particular governments) in the 4 IAP target countries (Indonesia, Liberia, Paraguay and Brazil) related to sustainable production	Limited dialogue between buyers and producer country oil palm, soy and beef commodity sectors (in particular the governments) in the 4 IAP target	Increased connectivity among key supply chain actors (i.e. Asia workshops will feed Asian companies into INPOP, soy trader platform brings traders into the Matopiba forum in	Increased connectivity among key supply chain actors (i.e. Asia workshops will feed Asian companies into INPOP, soy trader platform brings traders into the Matopiba forum in	

		countries	Brazil, links between the Chaco beef platform and Global Sustainable Beef Roundtable are strengthened in Paraguay, and key stakeholders are brought into the Liberia platform).	Brazil, links between the Chaco beef platform and Global Sustainable Beef Roundtable are strengthened in Paraguay, and key stakeholders are brought into the Liberia platform).	
<b>Component/Outcome<sup>17</sup> 1</b>  Coordinated management of the Commodities Integrated Approach Pilot leading to logical technical sequencing of activities, Program-level monitoring and evaluation and overall resilience	Level of logical technical sequencing of key deliverables across individual child projects as measured by annual national level workplans to achieve expected Program goals and their effective implementation	Without the Adaptive Management & Learning project, the workplans would not have connectivity between each other.	8 national level inter-agency workplans (one per country per year for 4 countries, i.e., Paraguay, Brazil, Indonesia and Liberia), approved by the child project agency leads, showing support provided by global projects and evidence of cross fertilization among child projects	16 national level inter-agency workplans (one per country per year for 4 countries, i.e., Paraguay, Brazil, Indonesia and Liberia), approved by the child project agency leads showing support provided by global projects and evidence of cross fertilization among child projects	

<sup>17</sup>Outcomes are short to medium term results that the project makes a contribution towards, and that are designed to help achieve the longer term objective. Achievement of outcomes will be influenced both by project outputs and additional factors that may be outside the direct control of the project.

					External factors such as changes in government or extreme weather events occurring within the participating countries do not significantly affect the execution and logical technical sequencing of activities
	Effectiveness of adaptive management within the IAP as measured by the number of successful adaptive management practices that address bottlenecks in implementation or in attainment of Program goals.	N/A because IAP not yet under implementation	At least 2 adaptive management practices implemented per year	At least 2 adaptive management practices implemented per year	Steering Committee can come to agreement if required on how best to deal with issues requiring adaptive management with many adaptive management practices being managed within each child project

<p><b>Component/ Outcome 2</b></p> <p>Increased understanding of the impacts of voluntary sustainability standards (VSS) and VSS-like mechanisms on deforestation, biodiversity habitat, and other social and environmental outcomes across different geographies and contexts, to promote adaptive management and to increase the effectiveness of these mechanisms</p> <p>(WWF Managed Component)</p>	<p>Establishment and effective functioning of the Global Impact Platform</p>	<p>A Global Impacts platform does not exist</p>	<p>Technological infrastructure is in place and research documents are uploaded</p>	<p>Platform is a leading repository of research documents, which is widely used</p>	
	<p>Number of new syntheses and summaries of evidence uploaded to the Platform and associated audience-specific communications created and disseminated</p>	<p>0</p>	<p>4</p>	<p>12</p>	<p>Multiple studies are conducted on a given thematic or geographical area during the project period, allowing for aggregation, synthesis, and meta-analysis of results.</p>
<p><b>Component/ Outcome 3</b></p> <p>Knowledge management,</p>	<p>Number of knowledge products on IAP to share IAP insights and learnings</p>	<p>0</p>	<p>At least one information brief on a topic such as gender</p>	<p>At least 1 detailed publication to assess the impacts</p>	

partnership development and communications implemented to maximize learning, foster synergies and promote replication and upscaling of actions to address deforestation in commodity supply chains			and resilience.  Articles on IAP on Guardian Sustainable Business website for a period of 4 months in 2018, including 12 pieces of independent editorial and 4 pieces of co-created content	of demand and transactions on sustainable production (and vice versa), as well as 2 information briefs on issues including gender and resilience.	
	Number of active partners with which the IAP is engaged at a programmatic level (through two-way sharing of information, expertise or tools; collaboration to increase impacts; implementation of delivery services, or provision of co-financing)	0	Maintenance of active engagement with at least 3 key partners, such as bilateral donors, NGOs, platforms, fora, and other organizations	Maintenance of active engagement with at least 6 key partners, such as bilateral donors, NGOs, platforms, fora and other organizations	There is a rationale to having partnerships at a program level in addition to the child project level
	Percentage of participants of Community of Practice events that have changed their programs, practices and/or policies based on IAP learning (as measured by a survey of participants of each of the two face-to-face CoP global events).	0	50%	75%	

## Monitoring and Evaluation (M&E) Plan

104. The project results as outlined in the project results framework will be monitored annually and evaluated periodically during project implementation to ensure the project effectively achieves these results. The project monitoring and evaluation plan will also facilitate learning and ensure knowledge is shared and widely disseminated to support the scaling up and replication of project results.

105. 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 GEF-specific M&E requirements (as outlined below) will be undertaken in accordance with the GEF M&E policy and other relevant GEF policies<sup>18</sup>. WWF will carry out its own M&E activities in accordance with its internal systems. WWF will report all results from Component 2 to the IAP Manager using WWF M&E mechanisms for GEF project reporting.

106. In addition to these mandatory UNDP and GEF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Report. Adaptive management will continue to be carried out on on-going basis through project-level steering committee meetings and regular project progress reports.

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

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

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

109. Program Steering Committee: The Program Steering Committee will take corrective action as needed to ensure the project achieves the desired results. The Program Steering Committee 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 Program Steering Committee will hold an end-of-project

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<sup>18</sup> See [https://www.thegef.org/gef/policies\\_guidelines](https://www.thegef.org/gef/policies_guidelines)

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.

110. Project Implementing Partner(s): The Implementing Partner (s) are responsible for providing any and all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary and appropriate. The Implementing Partner will strive to ensure project-level M&E is undertaken by national institutes, and is aligned with national systems so that the data used by and generated by the project supports national systems.

111. UNDP Regional Service Centre: The UNDP Regional Centre will support the IAP 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 Program Steering Committee within one month of the mission. The UNDP Regional Service Centre will initiate and organize key GEF M&E activities including the annual GEF PIR, the independent mid-term review and the independent terminal evaluation. The UNDP Regional Service Centre will also ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality.

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

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

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

115. **Audit**: The project Components 1 and 3 will be audited according to UNDP Financial Regulations and Rules and applicable audit policies for projects.<sup>19</sup> WWF managed GEF funding for Component 2 will be audited independently on an annual basis.

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

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<sup>19</sup> See guidance here: <https://info.undp.org/global/popp/frm/pages/financial-management-and-execution-modalities.aspx>

116. Inception Workshop and Report: A Program-level inception workshop will be held once the Program team is in place and ideally 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; discuss the role of the GEF OFP in M&E;
- e) Update and review responsibilities for monitoring the various project plans and strategies, including the risk log; Environmental and Social Management Plan and other safeguard requirements; the gender strategy; the knowledge management strategy, and other relevant strategies;
- f) Review financial reporting procedures and mandatory requirements, and agree on the arrangements for the annual audit; and
- g) Plan and schedule Program Steering Committee meetings and finalize the first year annual work plan.

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

118. GEF Project Implementation Report (PIR): The IAP Coordinator, the UNDP Regional Service Centre, and the UNDP-GEF Regional Technical Adviser (the Biodiversity Economics Adviser) as well as WWF will provide objective input to the annual GEF PIR covering the reporting period July (previous year) to June (current year) for each year of project implementation. The IAP Coordinator and WWF Global Impacts Platform Manager will ensure that the indicators included in the project results framework are monitored annually in advance of the PIR submission deadline so that progress can be reported in the PIR. Any environmental and social risks and related management plans will be monitored regularly, and progress will be reported in the PIR.

119. The PIR submitted to the GEF will be shared with the Program Steering Committee. The UNDP Regional Service Centre will coordinate the input of the GEF Operational Focal Point and other stakeholders to the PIR as appropriate. The quality rating of the previous year's PIR will be used to inform the preparation of the subsequent PIR.

120. 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.



121. GEF Focal Area Tracking Tools: The following GEF Tracking Tool(s) will be used to monitor global environmental benefit results: CIAP Program-level tracking tool. The GEF Focal Area Tracking Tool(s) – submitted as Annex O to this project document – will be updated by the IAP Coordinator /Team (not the evaluation consultants hired to undertake the MTR or the TE) and shared with the mid-term review consultants and terminal evaluation consultants before the required review/evaluation missions take place. The updated GEF Tracking Tool(s) will be submitted to the GEF along with the completed Mid-term Review report and Terminal Evaluation report.

122. Independent Mid-term Review (MTR): An independent mid-term review process will begin after the second PIR has been submitted to the GEF, and the MTR report will be submitted to the GEF in the same year as the 3rd PIR. The MTR findings and responses outlined in the management response will be incorporated as recommendations for enhanced implementation during the final half of the project's duration. The terms of reference, the review process and the MTR report will follow the standard templates and guidance prepared by the UNDP IEO for GEF-financed projects available on the UNDP Evaluation Resource Center (ERC). As noted in this guidance, the evaluation will be 'independent, impartial and rigorous'. The consultants that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. The GEF Operational Focal Point and other stakeholders will be involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the UNDP-GEF Directorate. The final MTR report will be available in English and will be cleared by the UNDP Regional Service Centre and the UNDP-GEF Regional Technical Adviser, and approved by the A&L Project Steering Committee. WWF will review and provide objection/no-objection.

123. Terminal Evaluation (TE): An independent terminal evaluation (TE) will take place upon completion of all major project outputs and activities. The terminal evaluation process will begin three months before operational closure of the project allowing the evaluation mission to proceed while the project team is still in place, yet ensuring the project is close enough to completion for the evaluation team to reach conclusions on key aspects such as project sustainability. The IAP 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. The GEF Operational Focal Point and other stakeholders will be involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the UNDP-GEF Directorate. The final TE report will be cleared by the UNDP Regional Service Centre and the UNDP-GEF Regional Technical Adviser, and will be approved by the A&L Project Steering Committee. The TE report will be publically available in English on the UNDP ERC. WWF will review and provide objection/ no objection.

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

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

**Mandatory GEF M&E Requirements and M&E Budget:**

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget <sup>20</sup> (US\$)	Time frame
		GEF grant	
<b>Inception Workshop</b>	UNDP RSC	USD 50,000	Once Program team is in place
<b>Inception Report</b>	IAP Coordinator	None	Within two weeks of inception workshop
<b>Standard UNDP monitoring and reporting requirements as outlined in the UNDP POPP</b>	UNDP RSC	None	Quarterly, annually
<b>Monitoring of indicators in project results framework and Program Results Framework</b>	IAP Coordinator and KM and M&E lead  WWF	25,000	Annually
<b>GEF Project Implementation Report (PIR)</b>	IAP Coordinator and UNDP Regional Service Centre and UNDP-GEF team  WWF	None	Annually
<b>Audit as per UNDP audit policies</b>	UNDP Regional Service Centre	Per year: USD 3,000 for a total of 12,000	Annually, as per UNDP Audit policies
<b>Lessons learned and knowledge generation</b>	Global Knowledge Management Lead	150,000 for Program-level publications and 200,000 for two Global Community	Annually

<sup>20</sup> Excluding project team staff time and UNDP staff time and travel expenses.

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget <sup>20</sup> (US\$)	Time frame
		GEF grant	
		of Practice events	
<b>Monitoring of environmental and social risks, and corresponding management plans as relevant</b>	IAP Coordinator UNDP RSC WWF	None	On-going
<b>Addressing environmental and social grievances</b>	IAP Manager UNDP RSC BPPS as needed WWF as needed	<i>None for time of IAP Manager and UNDP RSC</i>	<i>Costs associated with missions, workshops, BPPS (Bureau for Policy and Program Support) expertise etc. can be charged to the project budget.</i>
<b>Program Steering Committee meetings</b>	UNDP RSC IAP Coordinator and IAP Manager	40,000 (excluding travel costs of participants)	At minimum one face-to-face meeting per year
<b>A&amp;L Project Joint Review Mechanism</b>	IAP Coordinator and IAP Manager WWF	None (will be virtual or combined with Program Steering Committee meetings)	At minimum one meeting per year
<b>Component 1 &amp; 3 Project Steering Committee meetings</b>	IAP Coordinator and IAP Manager	None (will be virtual or combined with Program Steering Committee meetings)	At minimum one meeting per year
<b>Supervision missions</b>	UNDP RSC WWF	None <sup>21</sup>	Annually
<b>Oversight missions</b>	UNDP-GEF team WWF	None	Troubleshooting as needed

<sup>21</sup> The costs of UNDP Country Office and UNDP-GEF Unit's participation and time are charged to the GEF Agency Fee.

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget <sup>20</sup> (US\$)	Time frame
		GEF grant	
GEF Secretariat learning missions/ site visits	UNDP RSC and IAP Coordinator/ IAP Manager and UNDP-GEF team  WWF	None	To be determined.
A&L project Mid-term GEF Tracking Tool to be updated	IAP Coordinator	USD 5,000	Before mid-term review mission takes place.
Independent Mid-term Review (MTR) and management response <sup>22</sup>	UNDP RSC and Project team and UNDP-GEF team	USD 35,000	Between 2 <sup>nd</sup> and 3 <sup>rd</sup> PIR.
A&L project Terminal GEF Tracking Tool	IAP Coordinator	USD 5,000	Before terminal evaluation mission takes place
Independent Terminal Evaluation (TE) included in UNDP evaluation plan, and management response	UNDP RSSC and Project team and UNDP-GEF team <sup>23</sup>	USD 55,000	At least three months before operational closure
<b>TOTAL indicative COST</b>		577,000	
Excluding project team staff time, and UNDP staff and travel expenses			

<sup>22</sup> WWF will provide objection/ no-objection.

<sup>23</sup> WWF will provide objection/ no-objection.

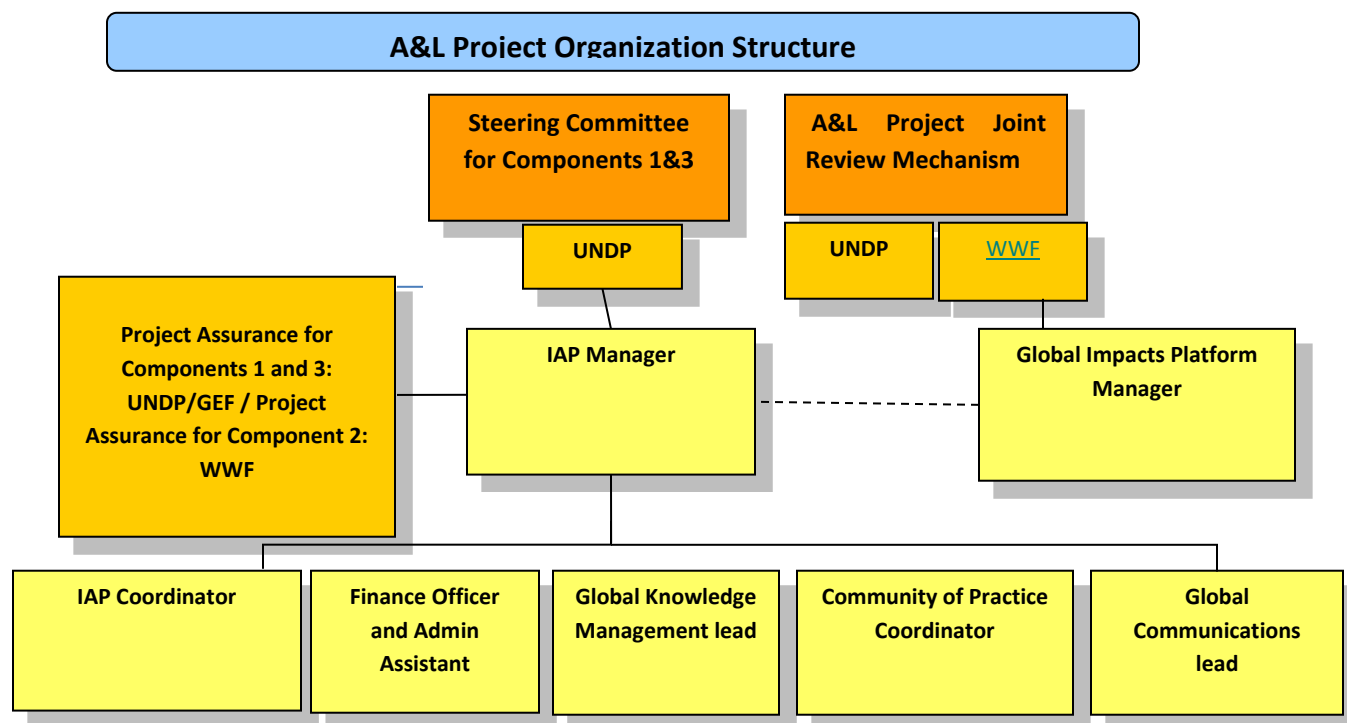
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## **VI. GOVERNANCE AND MANAGEMENT ARRANGEMENTS**

Roles and responsibilities of the project's governance mechanism: The project will be implemented following UNDP's direct implementation modality.

126. The project Components 1 and 3 are part of the the GEF financed Adaptive Management & Learning for the Commodities IAP project under the Commodities IAP, which is co-implemented by the United Nations Development Program (UNDP) and World Wildlife Fund (WWF). This Project Document governs Component 1 and 3 of the A&L project while Component 2 will be managed and implemented by WWF (see Annexes A and F, respectively for indicative workplan and budget). UNDP as the Implementing / GEF agency is responsible and accountable for managing Components 1 and 3, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of UNDP GEF resources. UNDP will provide operational support services and will also provide Direct Project Services, such as staff selection and recruitment, consultant recruitment, procurement involving CAP and not involving CAP, and payment processes, among others. Forest Trends will be a responsible party for this project for the study to be commissioned under Outcome 3.

127. The A&L project organization structure is as follows:



128. The Program Steering Committee is responsible for making by consensus, management decisions when guidance is required by the IAP Manager, including recommendation for UNDP/Implementing Partner approval of project plans and revisions. Program Steering Committee 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. Decision-making and conflict resolution processes will be finalized during the first Program Steering Committee meeting. The Terms of Reference for the Program Steering Committee are contained in Annex D. The Program Steering Committee is comprised of the following lead representatives from the following institutions:

- Steering Committee Chair: UNDP;
- Steering Committee Members: Program representatives from the following agencies: CI, IFC, UNEP, WWF;
- GEF Secretariat;
- STAP (Scientific and Technical Advisory Panel).

129. Program Steering Committee meetings will take place two times per year (or more frequently if needed and agreed upon), with at least one of these meetings being in person and the other one being virtual. The locations of the face-to-face meetings will be determined by consensus among the members but where possible the meetings will be scheduled to coincide with events such as the IAP Global

Community of Practice and other key country or global activities to facilitate participation. Child projects will fund their participation in these Program Steering Committee meetings.

130. In addition to the Program Steering Committee, there will be an A&L Project Joint Review Mechanism, which will ensure coordination between UNDP and WWF. This mechanism will provide strategic guidance to the project and will serve as a joint review mechanism to share progress on all components and to agree on areas of common interest between UNDP and WWF, such as the PIRs to be submitted to GEF and the project's KM activities (including the Global Impacts Platform). This Joint Review Mechanism will play an important role in ensuring coherence and synergies among all aspects of the three Components of the A&L project. This will not serve as a mechanism to provide oversight of each Implementing Agency's Components. There will also be a Steering Committee for Components 1 and 3 comprised of UNDP, which will carry out Component-related decision-making, including on the budget. Finally, there will also be a Research Impacts Platform advisory committee Component 2 of this child project.. This Steering Committee will attend scoping calls and workshops and will guide the decision-making around the functionality and reach of the Platform.

131. The IAP Manager will run the project on a day-to-day basis on behalf of the Implementing Partner within the constraints laid down by the A&L Project Steering Committee. The Program Coordination function will end when the final project terminal evaluation report and corresponding management response, and other documentation required by the GEF, UNDP and WWF, has been completed and submitted to UNDP (including operational closure of the project).

132. The project assurance role will be provided by the UNDP-GEF the Panama Regional Hub will provide direct project services including recruitment and procurement.

133. The following table lays out the Institutional Coordination Mechanism.

Mechanism	Coordination role	Institutions involved	Positions of those participating	Frequency	Modality of meeting
IAP steering committee	Coordinate IAP programme level	UNDP, IFC, WWF, CI, UNEP FI	IA leads	6 months	1 face to face meeting per year 1 telecon per year
Virtual secretariat	Coordinate management of the child projects	UNDP, IFC, WWF, CI, UNEP FI	Child project managers (production, demand, finance, A&L)	1 month formally, plus daily interactions as needed	Telecons plus face to face meetings as needed
A&L joint review mechanism	Coordinate the difference components within A&L child project	WWF, UNDP	WWF child project manager, UNDP IAP manager	6 months	Telecon

Governance role for project target groups:

134. The IAP may have a group of External Advisors to advise the Program Steering Committee on a periodic basis. This will consist of selective experts from the private sector, NGOs, and platforms, among others, who are recognized in their respective fields. The External Advisors would provide technical and strategic advice to strengthen Program implementation and impact; support the building of partnerships to increase Program impact and visibility, and provide feedback on changes in the Program context to support adaptive management and resilience. Please see Annex D for their draft Terms of Reference.

135. In addition, a Community of Practice Coordination Committee will be established, which will consist of key agencies and institutions that are funding projects and programs that complement the IAP Program (reducing deforestation from commodity production, production/protection, etc.). This will include key government donors such as the governments of Norway, UK, Germany, Netherlands and Switzerland, as well as foundations, such as the Rockefeller Foundation. This Committee will provide advice to support the successful establishment of the IAP Global Community of Practice, and provide a forum to ensure that necessary interlinkages are made among different interventions in this space. The draft ToRs can also be found in Annex D.

136. Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information: In order to accord proper acknowledgement to the GEF for providing grant funding, the GEF logo will appear together with the UNDP and WWF logo on all A&L project promotional materials, other written materials like publications developed by the project, and project hardware. Program-level material and deliverables will include the logos of all the participating agencies and of GEF. Any citation on publications regarding projects funded by the GEF will also accord proper acknowledgement to the GEF. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy<sup>24</sup> and the GEF policy on public involvement<sup>25</sup>.

Project management:

137. A virtual Secretariat will be established for the IAP Program, which will consist of the Global child project agency leads (child project managers), the IAP Manager, and the IAP Coordinator (please see Annex D for their draft Terms of Reference). There will also be a Knowledge Management Lead, a Community of Practice Coordinator, a Communications Lead, Finance Officer and Administrative Assistant supporting the A&L project. The Coordination Structure staffing represents the staffing for the UNDP financed Components of the A&L project. The IAP Manager, Finance Officer and Administrative Assistant will be based in Panama at the UNDP offices (since this is where the UNDP Green Commodities Program Core Team is based, which will service the IAP). The Secretariat will meet virtually once a month to ensure coordination and integration of the work across the different elements of the supply chain at global and national levels and ensure that a knowledge management and learning agenda is pursued throughout.

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<sup>24</sup> See [http://www.undp.org/content/undp/en/home/operations/transparency/information\\_disclosurepolicy/](http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/)

<sup>25</sup> See [https://www.thegef.org/gef/policies\\_guidelines](https://www.thegef.org/gef/policies_guidelines)



## VII. FINANCIAL PLANNING AND MANAGEMENT

138. The total cost of the project is 9,245,328. This is financed through a GEF grant to UNDP of USD 2,749,124, USD 1,146,887 in cash co-financing to be administered by UNDP and USD 5,349,317 in parallel co-financing (including the WWF amount of 1,229,317 from GEF). UNDP, as one of the two GEF Implementing Agencies for this child project, is responsible for the execution of the GEF resources and the cash co-financing transferred to UNDP bank account only. WWF will manage GEF resources and cash-co-financing transferred to WWF. The breakdown of GEF funds and agency fee for this project (Components 1 and 3) is provided in the following table.

GEF Agency	Trust Fund	Country Name/Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee <sup>a)</sup> (b) <sup>2</sup>	Total (c)=a+b
UNDP	GEF TF	Global: Adaptive Management and Learning	Multi-focal	IAP Commodities	2,749,124	247,421	2,996,545
<b>Total Resources for UNDP-managed Components</b>					2,749,124	247,421	2,996,545

139. **Cash co-financing administered by UNDP and parallel co-financing:** The actual realization of project co-financing will be monitored during the mid-term review and terminal evaluation process and will be reported to the GEF. The planned parallel co-financing will be used as follows:

Co-financing source	Co-financing type	Co-financing amount	Planned Activities/Outputs	Risks	Risk Mitigation Measures
UNDP	Donor government	1,146,887	Knowledge management	None	
WWF	NGO	1,229,317	Component 2 of the project (Global Impacts Platform)	None	
DFID	Donor government	1,500,000	Impacts evidence synthesis, researcher engagement, communications tools	Financing is in hand	/
SECO	Donor government	800,000	Impacts innovations information and tools related to VSS	Financing is in final stages with government, moving to contractual stage	Monies will be secured elsewhere, namely with two major private US

					foundations, if the Swiss government changes priorities
Ford Foundation	Foundation	700,000	Impacts evaluations and evidence gaps	Financing is in hand	/
ISEAL Alliance	NGO	120,000	Office space, infrastructure, finance and accounting	Financing is in hand	/
Rainforest Alliance	NGO	1,000,000	Commodities impacts information and coordination projects	Financing is in hand	/

140. **Budget Revision and Tolerance:** As per UNDP requirements outlined in the UNDP POPP, the A&L Project Steering Committee 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. Should the following deviations occur with regard to UNDP GEF funds, the Project Manager and UNDP Country Office will seek the approval of the UNDP-GEF team as these are considered major amendments by the GEF: a) Budget re-allocations among components in the project with amounts involving 10% of the total project grant or more; b) Introduction of new budget items/or components that exceed 5% of original GEF allocation.

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

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

143. **Project Closure:** Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP.<sup>26</sup> 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.

144. **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 an A&L Project Steering Committee decision will notify the UNDP Country Office when operational closure has been completed. At this time, the relevant parties will have already agreed and confirmed in writing on the arrangements for the disposal of any equipment that is still the property of UNDP.

<sup>26</sup> see <https://info.undp.org/global/popp/ppm/Pages/Closing-a-Project.aspx>

145. 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 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).

146. The project will be financially completed within 12 months of operational closure or after the date of cancellation. Between operational and financial closure, the implementing partner will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents for the UNDP-financed Components, 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.

**Budget for Components 1 and 3:**

**Note that Budget for Component 2 to be managed by WWF is in Annex F**

<b>Total Budget and Work Plan</b>											
Atlas Proposal or Award ID:		00097946			Atlas Primary Output Project ID:		00101490				
Atlas Proposal or Award Title:		Adaptive Management and Learning for the Commodities IAP									
Atlas Business Unit		UNDP1									
Atlas Primary Output Project Title		Adaptive Management and Learning for the Commodities IAP									
UNDP-GEF PIMS No.		5665									
Component	Responsible Party	Fund ID	Donor name	Atlas Budgetary Account Code	ATLAS Budget Description	Year 1 (USD)	Year 2 (USD)	Year 3 (USD)	Year 4 (USD)	Total (USD)	See Budget Note
1. Programme Coordination Monitoring and Evaluation and Adaptive Management	UNDP	62000	GEF	71200	International Consultants	7,000	6,000	6,000	6,000	25,000	1
				71400	Contractual Services - Individ	145,750	145,750	145,750	145,750	583,000	2
				75700	Workshops	60,000	10,000	10,000	10,000	90,000	3
				71600	Travel	36,000	36,000	36,000	36,000	144,000	4
				72500	Supplies	1,200	1,200	1,200	1,200	4,800	5
				72800	Information Technology Equipment	4,050	250	250	250	4,800	6
				<b>Sub-total Component 1 GEF</b>						<b>254,000</b>	<b>199,200</b>
3. Knowledge	UNDP	6200	GEF	71200	International Consultants	123,000	245,375	123,000	265,375	756,750	7

management, partnerships and communications				71400	Contractual Services - Individ	33,750	33,750	33,750	33,750	135,000	8
				72100	Contractual services - Companies		100,000			100,000	9
				75700	Workshops	49,831	149,831	49,831	149,831	399,324	10
				71600	Travel	35,000	49,000	35,000	49,000	168,000	11
				72400	Communic & Audio Equip	7,000	7,000	7,000	7,000	28,000	12
				72500	Supplies	500	500	500	500	2,000	13
				74200	Audio Visual&Print Prod Costs	2,250	2,250	2,250	2,250	9,000	14
				74100	Professional services	75,000	35,000			110,000	15
				<b>Sub-total Component 3 GEF</b>						<b>326,331</b>	<b>622,706</b>
Project Management	UNDP	6200	GEF	71400	Contractual Services - Individ	24,000	24,000	24,000	24,000	96,000	16
				73100	Rental and maintenance- premises	10,980	10,980	10,980	10,980	43,920	17
				74100	Professional services	3,000	3,000	3,000	3,000	12,000	18
				74598	Direct project costs (DPC)	9,383	9,383	9,383	9,383	37,530	19
				<b>Total Management</b>						<b>47,363</b>	<b>47,363</b>
<b>TOTAL</b>						<b>985,194</b>	<b>1,207,739</b>	<b>762,423</b>	<b>1,023,087</b>	<b>2,749,124</b>	

<sup>27</sup> The PMC budget corresponds to 5% of the A&L project subtotal for all three Components.

Budget Note #	Budget notes for Components 1 and 3
1	International consultant to carry out surveys to monitor relevant project and Program-level indicators (based on project results framework and Program Results Framework) (Output 1.2).
2	IAP Manager. P4 position at a total cost of \$900,000 (\$225,000 per year for 4 years). 30% of total cost of this position will be allocated to the AM&L project (the remainder to production child project), which comes to \$270,000. 50% of the cost for AM&L is allocated to Outcome 1, which comes to \$135,000. IAP Coordinator- Special Technical Advisor to be charged with IAP Coordination and reporting. \$100,000 per year for four years. Project assistant at \$40,000 per year for a total cost of \$160,000, of which 30% will be paid by the A&L project (and the remainder by the production project) to support technical and administrative aspects.
3	IAP Program inception workshop at UNDP Headquarters in New York (Output 1.2) for \$50,000. One face-to-face Steering Committee per year for 4 years (Output 1.3)- venue, catering, etc. at \$10,000 each for a total of \$40,000.
4	Travel of A&L Manager to provide technical and adaptive management support to the project and attend Steering Committee meetings (Output 1.1, Output 1.3) with an estimated 6 international missions per year at \$4000 each for a cost of \$24,000 per year for 4 years (50% of this cost is allocated to Outcome 3 and the rest to Outcome 1). Travel of IAP Coordinator to support inter-agency coordination, M&E etc. for this IAP (Outputs 1.1, 1.2 and 1.3) with an estimated 6 international missions per year at \$4000 each for a cost of \$24,000 per year for 4 years.
5	Office supplies to support Component 1 of the Program for four years at \$1200 per year.
6	2 computers at \$1500 each; 2 printers at \$250 each; IT maintenance at \$1000 for the four years; digital camera at \$300.
7	Global Communications Lead (Output 3.5) for 60 days per year at \$550 per day for a cost of \$36,000 per year for 4 years for a total of \$144,000. Global KM Lead (Output 3.1, 3.2 and 3.3): special technical advisor at \$90,000 per year for a total cost of \$360,000 of which 30% will be paid by the A&L project (amounting to \$27,000 per year for a total of \$108,000) and the remainder by the production child project. Community of Practice Coordinator (Output 3.3): junior consultant at \$5000 per month at a cost of \$60,000 per year for 4 years for a total cost of \$240,000. Consultants for Mid-Term Review and for Terminal Evaluation at \$35,000 for MTR and \$55,000 for Terminal Evaluation. Program publications to assess the impacts of demand on production and vice versa, as well as the impacts of transactions on production and vice versa (Output 3.1) at a cost of \$87,375 in year 2 and \$87,375 in year 4.
8	A&L Manager: P4 position at \$900,000 with 30% allocated to A&L child project (remainder to production child project). 50% of the A&L cost allocated to Outcome 3.
9	The Guardian Sustainable Business content sponsorship for a 4-month period in 2017 (Output 3.5).
10	Global Community of Practice (Output 3.3), with two large international events at \$100,000 each for cost of venue, catering, MC, translation, organization, etc. in years 2 and 4. Cost of renting pavilions at key international events at \$40,000 per year (Output 3.2). Awareness-raising workshops on IAP with China at a cost of \$7500 per year for a total cost of \$30,000. Community of Practice coordination committee workshops (Output 3.3) at a cost of \$2331 per year for a total of \$9324.
11	Travel of IAP Manager to attend Community of Practice events, key external events, and to meet with Program partners (Outputs 3.1, 3.2, 3.3, 3.4) with an estimated 6 international missions per year at \$4000 each for a cost of \$24,000 per year for 4 years (50% of this cost is allocated to Outcome 3, the rest to Outcome 1). Travel of Global Communications Lead to support development of IAP communications assets, such as IAP website (Output 3.5) with an estimated 2 missions per year at \$3000 each for a cost of \$6000 per year for 4 years for a total of \$24,000. Travel of Global KM Lead to disseminate results of Program KM, promote information sharing and to attend Community of Practice events (Outputs 3.1, 3.2, 3.3) with an estimated 4 missions per year at a cost of \$3000 each for a cost of \$12,000 per year for 4 years for a total cost of \$48,000. Travel of COP Coordinator at attend Community of Practice events as well as all associated meetings (including of the COP coordination committee) (Output 3.3) with an

	estimated 4 missions per year at a cost of \$3000 each for a cost of \$12,000 per year for 4 years for a total cost of \$48,000.
12	Website hosting and other communication costs.
13	Office supplies for knowledge management activities and communications (Outputs 3.1, 3.2, 3.3, 3.5)
14	Printing of IAP flyers, newsletters and other communication materials (Output 3.5).
15	Creation of IAP website (Output 3.5) at a cost of \$90,000. Brand development (IAP logo, artwork files, etc.) (Output 3.5) at a cost of \$20,000
16	Finance support services- National Officer position at \$80,000 per year for a total cost of \$320,000. 30% of this cost will be allocated to A&L project (and the remainder to the production child project).
17	Office rental costs for the IAP Manager will be shared with the production child project. The total cost is \$108,000 of which the A&L project will fund 30%. For the Finance support services, the total cost is \$11,520
18	Annual project audits at \$3000 per year
19	Services provided by Regional Hub for staff selection and recruitment processes, HR and benefits management, administration of payroll, consultant recruitment processes, procurement involving local CAP and procurement not involving local CAP, all payments and others.

**Summary of Funds<sup>28</sup>:**

Donor	Year 1	Year 2	Year 3	Year 4	TOTAL
GEF for UNDP	627,694	869,269	497,894	754,267	2,749,124
GEF for WWF	413,326	269,005	283,989	262,997	1,229,317
UNDP	286,722	286,722	286,722	286,722	1,146,887
DFID	375000	375000	375000	375000	1,500,000
SECO	200000	200000	200000	200000	800,000
Ford Foundation	175000	175000	175000	175000	700,000
ISEAL Alliance	30000	30000	30000	30000	120,000
Rainforest Alliance	250000	250000	250000	250000	1,000,000
<b>TOTAL</b>					<b>9,245,327</b>

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## IX. LEGAL CONTEXT

147. The project document shall be the instrument envisaged and defined in the Supplemental Provisions to the Project Document, attached hereto and forming an integral part hereof, as the “Project Document”.

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<sup>28</sup> Summary table should include all financing of all kinds: GEF financing, cofinancing, cash, in-kind, etc...

148. UNDP as the Implementing Agency shall comply with the policies, procedures and practices of the United Nations safety and security management system.

149. 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. 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. 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 this agreement.

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

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



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## ANNEX A: MULTI YEAR WORK PLANS

### A) Workplan for Components 1 and 3 to be managed by UNDP:

Legend:

ALM: IAP Manager

IC: IAP Coordinator

GKML: Global Knowledge Management Lead

GCL: Global Communications Lead

CC: Community of Practice Coordinator

RSC: UNDP Regional Service Centre

Task	Responsible Party	Year 1				Year 2				Year 3				Year 4			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Hiring of IAP Manager (ALM) and IAP Coordinator (IC), Global KM Lead, Global	UNDP RSC																

Task	Responsible Party	Year 1				Year 2				Year 3				Year 4			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Communications Lead and admin/financial assistant																	
Establishment of Program Steering Committee and A&L Steering Committee	UNDP RSC, ALM/IC																
Identification of External Advisors	UNDP RSC, ALM/IC																
Program Inception workshop	UNDP RSC, ALM/IC																
Monthly meetings of virtual Global Secretariat	IC																
Biannual meetings of Steering Committees	IC/ALM																
Meetings of External Advisors	IC/ALM																
At least quarterly national meetings of child project leads	National focal points																
Development of Program	GCL																

Task	Responsible Party	Year 1				Year 2				Year 3				Year 4			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
branding (logo, art files)																	
Establishment of Program website	GCL																
Maintenance and updating of Program website	GCL																
Creation of Program-level assets such as briefing notes and multimedia materials	GCL																
Organization of the IAP's presence at key global events and conferences	GCL																
Management of IAP media engagement and digital presence	GCL																
Preparation of annual national workplans	Child project leads, national focal points																
Content sponsorship on Guardian Business	GKML																
Preparation of Program-level Results Framework	GKML																

Task	Responsible Party	Year 1				Year 2				Year 3				Year 4			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Preparation of annual PIRs	GKML																
Preparation of project Tracking tool	GKML																
Mid-Term Review	UNDP RSC, external evaluators																
Ongoing information sharing within IAP Program	GKML																
Ongoing information sharing with other two IAPs	GKML																
Ongoing knowledge management with external partners (participation in fora and events, etc.)	ALM/IC, GKML																
Ongoing partnership building with external partners	ALM/IC																
Organization and convening of 1st Community of Practice	GKML, CC																

Task	Responsible Party	Year 1				Year 2				Year 3				Year 4			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
event																	
Organization and convening of 2nd COP	GKML, CC																
Preparation of Program publication on lessons learned from IAP after mid-way mark	GKML																
Publication of min. 2 other cross-cutting Program-level publications <sup>29</sup>	GKML																
Preparation of report on lessons learned from this Integrated Approach Pilot	GKML, IC/ALM																
Terminal Evaluation	UNDP RSC, external evaluators																

<sup>29</sup> (e.g., on gender, resilience or interlinkages between production, demand and transactions)

**B) Workplan for Component 2 to be managed by WWF:**

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Activity	Responsible	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Establishment of Component 2 Steering Committee	ISEAL																
Component 2 Inception workshop	ISEAL																
Scoping study / mock up Impacts Platform	ISEAL																
Scoping of info needs and interest of target audiences	ISEAL																
Finalize specifications, roles, contracts for Impacts Platform	ISEAL																
Construction and testing Impacts Platform technology	ISEAL																
Identification and collection of	ISEAL																

material to host on platform / obtain permissions																	
Uploading content	ISEAL																
Public launch of platform	ISEAL																
Identify partners for content curation / develop content curation plan	ISEAL																
Commission or produce initial synthesis / comms pieces for site launch	ISEAL																
Active ongoing content curation, including development and regular release of synthesis reports and comms	ISEAL																

pieces																		
Marketing of platform and dissemination of results – newsletters, participation in external events	ISEAL																	
Mid-term assessment meeting of partners – plans for adjustments where needed	ISEAL																	
Planning / partnerships for ongoing sustainability of platform function	ISEAL																	

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**ANNEX B: MONITORING PLAN FOR COMPONENTS 1 AND 3:**

**Monitoring Plan:** The IAP Coordinator will collect results data according to the following monitoring plan:

<b>Monitoring</b>	<b>Indicators</b>	<b>Description</b>	<b>Data source/Collection Methods</b>	<b>Frequency</b>	<b>Responsible for data collection</b>	<b>Means of verification</b>	<b>Assumptions and Risks</b>
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<p><b>Project objective from the results framework</b></p>	<p>Number of new partnership mechanisms with funding for sustainable management solutions of natural resources, ecosystem services, chemical and waste at national and/or subnational level.</p>	<p>Number of newly established platform mechanisms and Action Plans that catalyze financing.</p> <p>Number of private sector, civil society, and donor organizations newly connected and engaged in broad-based dialogue under national and sub-national platforms</p>	<p>Official reports of established Commodity Platforms that also confirm establishment of Action Plans</p>	<p>Annually</p>	<p>National Project Managers in each focal country; CI, WWF</p>	<p>Establishment of subnational platforms and membership of platforms</p> <p>Minutes of Platform meetings</p>	
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	Number of additional people benefitting from strengthened livelihoods through solutions for management of natural resources, ecosystem services, chemicals and waste (among groups including smallholder farmers and forest-dependent communities (disaggregated by gender).	As described in indicator	Number of producers in the target landscapes, figures collated by country focal points	Annually	National Project Managers in each focal country; CI, WWF	Number of producers in the target landscapes	
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	Level of dialogue between buyers and producer country commodity sectors (particularly governments) in the 4 IAP target countries (Indonesia, Liberia, Paraguay and Brazil)	As described in the indicator	Review of minutes of meetings through platforms, soy traders exchange and WWF Asia Exchange	Annually	UNDP and WWF	Minutes of meetings through platforms, soy traders exchange and WWF Asia Exchange	
<b>Project Outcome 1</b>	Level of logical technical sequencing of key deliverables across individual child projects as measured by annual national workplans that demonstrate logical sequencing to achieve expected Program goals	As expressed in indicator. National workplans show support of global projects and evidence of cross-fertilization among child projects.	National workplans for Brazil, Paraguay, Liberia and Indonesia with logical sequence of milestones	Annual	IAP Manager,  National focal points	National workplans for Brazil, Paraguay, Liberia and Indonesia	External factors such as changes in government or extreme weather events occurring within the participating countries do not significantly affect the execution and technical sequencing of activities
	Effectiveness of adaptive	As indicated in	Biannual reports detailing the	At least	IAP Manager	Annual reports	Steering Committee can

	management within the IAP as measured by the number of successful adaptive management practices that address bottlenecks in implementation or in attainment of Program goals.	indicator	adaptive management changes made	once a year		produced by IAP Manager Coordinator on adaptive management	come to agreement if required on how best to deal with issues requiring adaptive management, with many adaptive management practices being managed within each child project
<b>Project Outcome 2</b>	Establishment and effective functioning of the Global Impact Platform	Effective functioning defined by technological infrastructure being in place, research documents uploaded and wide usage of Global Impacts	Existence of Global Impacts Platform with uploaded research documents	At project mid-point and end of project mark	Manager of Global Impacts Platform Component	Existence of Global Impacts Platform with uploaded research documents	



		Platform					
	Number of new syntheses and summaries of evidence and associated audience-specific communications created and disseminated	Number of reports and other communications produced that synthesize the research findings on the impacts of VSS and VSS-like mechanisms	Review of published reports	At project mid-point and end of project mark	Manager of Global Impacts Platform Component	Existence of reports that are published	Multiple studies are conducted on a given thematic or geographical area during the project period, allowing for aggregation, synthesis, and meta-analysis of results
<b>Project Outcome 3</b>	# of knowledge products on IAP to share IAP insights and learnings	As expressed in indicator	IAP Program records	At mid-point and at project end	Global Communications Lead	Info briefs, publications and multimedia material on IAP	None
	# of active partners with which the IAP is engaged at a programmatic level (through two-way sharing of	As expressed in indicator	IAP Program records	Annually	IAP Manager with support of Global KM lead	Minutes of calls with partners as well as list of participants in meetings and	Partners consider that there are benefits to engaging with the IAP in

	information, expertise or tools; collaboration to increase impacts; implementation of delivery services, or provision of co-financing)					Community of Practice	terms of sharing learnings, achieving coordination and maximizing impacts/ synergies
	Percentage of participants of Community of Practice events that have changed their programs, practices and/or policies based on IAP learning	As expressed in indicator	Survey of participants of each of the two face-to-face CoP global events	Annually	CoP Lead	Results of survey of participants of each of the two face-to-face CoP global events	
<b>Mid-term GEF Tracking Tool</b>	N/A	N/A	IAP Program GEF Tracking Tool completed for A&L child project  Baseline GEF Tracking Tool	After 2 <sup>nd</sup> PIR submitted to GEF	External consultants to be identified (not project evaluators)	Completed GEF Tracking Tool	None

			included in Annex.				
<b>Terminal GEF Tracking Tool</b>	N/A	N/A	IAP Program GEF Tracking Tool completed for A&L child project  Baseline GEF Tracking Tool included in Annex.	After final PIR submitted to GEF	External consultants to be identified (not project evaluators)	Completed GEF Tracking Tool	None
<b>Mid-term Review</b>	N/A	N/A	To be outlined in MTR inception report, but will include review of all key project documentation and documents, as well as interviews with key stakeholders	Submitted to GEF same year as 3 <sup>rd</sup> PIR	Independent evaluator(s)	Completed MTR	None

<b>Environmental and Social risks screening</b>	N/A	N/A	Updated SESP	Annually	IAP Manager  UNDP Regional Service Centre	Updated SESP	None
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### ANNEX C: EVALUATION PLAN:

<b>Evaluation Title</b>	<b>Planned start date Month/year</b>	<b>Planned end date Month/year</b>	<b>Included in the Regional Service Centre Evaluation Plan</b>	<b>Budget for consultants<sup>30</sup></b>	<b>Other budget (i.e. travel, site visits etc...)</b>	<b>Budget for translation</b>
<b>Terminal Evaluation</b>	October 2020 3 months before operation closure	October 2020 To be submitted to GEF within three months of operational closure	Yes	USD 55,000	Included with cost of consultants	N/A
<b>Total evaluation budget</b>				USD 55,000		

<sup>30</sup> 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.

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## ANNEX D: TERMS OF REFERENCE

### 1) Draft Terms of Reference of IAP Program Steering Committee

#### *Accountability for Coordinated Program Delivery:*

The Steering Committee will provide an overall governance structure and decision-making mechanism for the Program implementation period. It will aim to resolve any disagreements among the Agencies or Projects that cannot be resolved bilaterally and to provide an overall, high-level coordination of the technical alignment and synergy among the Program's components.

#### **Main functions:**

#### *Oversight of Program Coordination and Technical Synergy:*

- Define key milestones, points for review, and topics for group agreement;
- Review National workplans and progress achieved;
- Review and agree on process forward, any changes to plans and main activities to ensure adaptive management and promote Program resilience;
- Review Program-level M&E (including Program-level Results Framework)

#### *Reporting to GEF:*

- Review and agree progress reports to the GEF Council on Program-level activities;
- Review PIRs and provide comments.

#### *Communications:*

- Review communication materials and agree on communication messages;
- Ensure general consistency in publications and communication documents;
- Agree on coordination principles for events related to the Program.

#### *Partnerships:*

- Define and coordinate fundraising and key partnerships

## 2) Draft Terms of Reference for the IAP Program External Advisors

### Objectives in engaging external advisors

- To obtain technical and strategic advice from the External Advisors to strengthen Program implementation and impact;
- To assist in building useful partnerships for the IAP and thereby to increase Program reach, impact and visibility;
- To incorporate feedback from External Advisors on the changing context in the commodity production sector and factors to take into consideration to ensure continued relevance and to put in place adaptive management measures as necessary.

### Who we wish to engage

The External Advisors will be established approximately six months into IAP implementation to enable the Program to be firmly established and begin to gain visibility and in this way be able to attract senior-level Advisors.

A cross section of leaders would be selected from relevant institutions who fit one or more of the following criteria:

- Have information or expertise that would be useful for Program implementation;
- Bring innovative ideas to the table;
- Have influence or act as gatekeepers;
- Are stakeholders who further legitimize the work or risk delegitimizing it;
- Have a vested interest in this IAP area i.e. commodities, supply chains, deforestation, transactions;
- Are investing in large Programs to address deforestation in commodity supply chains.

The External Advisors will include representatives of the main relevant actors of the Global Commodity Supply chain, including consumer goods manufacturers, buyers/ traders, the financial/ banking sector, NGOs, consultancies, think tanks and bilateral donors.

### How we wish to engage

- Involve advisors during the process of implementation, share thinking and approaches
- Incorporate advice and recommendations

### Time Commitment:

- At least 2 meetings a year, at least one of which would be face-to-face and would coincide with a Program Steering Committee meeting.
- Membership would be annual, with the possibility of renewal.

### 3) Draft Terms of Reference for Community of Practice Coordination Committee

#### **Who we wish to engage:**

This Committee will be comprised of the main agencies that are funding projects and programs that complement the IAP related to reducing deforestation from agricultural commodity production, such as the governments of Norway, Germany, Netherlands, Switzerland and the UK, and foundations such as the Rockefeller Foundation.

#### **Main roles:**

- Provide advice to support the Global Community of Practice that will be established with this IAP to ensure that it meets its strategic objectives;
- Provide a forum to discuss the different interventions to ensure interlinkages are made, duplication is avoided, knowledge is shared and replication/ upscaling are promoted;
- Bring in practitioners implementing donor-funded projects and programs to the two large Global Community of Practice events.



#### 4) Draft Terms of Reference for IAP Ambassadors

In addition to the IAP Advisory Committee, which will provide strategic advice for the Program, IAP will also seek high-profile IAP Ambassadors/ Champions. (2-3 only)

##### **Functions:**

- Represent IAP at major events alongside GEF CEO;
- Increase recognition and profile of the IAP among key stakeholders.
- May contribute OpEds or Blogs to convey perspectives on Commodity Supply Chains if possible.

## 5) Draft Terms of Reference for IAP Manager<sup>31</sup>:

Responsible for the management of the A&L project and its activities, global partnership building, knowledge management and learning

- Lead Manager for UNDP for the Commodities IAP Program.
- Report to the Chair of the Steering Committee (UNDP), specifically the Head of the UNDP Green Commodities Programme.
- Manages the Secretariat's professional staff (IAP Coordinator, Global Communications Lead, Global Knowledge Management lead and Community of Practice Coordinator) and administrative staff, defining priorities and ensuring implementation of A&L project activities.
- Supports resolution of conflicts within the IAP, as necessary.

### *Reporting oversight:*

- Reviews progress reports to the GEF Council on Program-level activities for Steering Committee sign off;
- **Accountable for presentation of Program-level cross-cutting indicators and aggregation** of child project indicators within the Program Results Framework to the Steering Committee;
- Maintains dialogue with STAP for expert input;
- Reviews reports on A&L child project, including Project Implementation Reviews, with support of the IAP Coordinator.

### *Communications oversight:*

- Oversees Program-level communications, managed through the Global Communications lead

### *Partnership building:*

- Manages Global Partnerships and maintains dialogue with key stakeholders such as platforms and donors, and participates in appropriate external fora on behalf of the A&L project, e.g. TFA innovation labs, and relevant external events.
- Maintains a dialogue with the other GEF IAP Programs, namely, Sustainable Cities & Food Security.

### *Knowledge Management:*

- Accountable for overall Knowledge Management of the Program, managed through Global Knowledge Management Lead.

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<sup>31</sup> This post will cover the management of both the Adaptive Management & Learning and the Production child projects. The Terms of Reference include in this ProDoc focus on the responsibilities as they relate to the A&L project.

## 6) Draft Terms of Reference for IAP Coordinator

Focal point for coordination of the Commodities IAP, liaising regularly with the child project managers and with the Program Steering Committee to ensure the smooth implementation of the Program.

### *Program Coordination and Technical Synergy:*

- Leads the focus on optimizing integration between the child projects;
- Organizes and participates in monthly working group meetings with the child project managers;
- Will review all workplans to ensure logical technical sequencing;
- Organizes and participates in biannual Steering Committee meetings;
- Suggests key milestones, points for review, and topics for group agreement to bring to the Steering Committee;
- Shares Program progress, updates and any recommendations with the Steering Committee for decision-making by that Committee;
- Ensures that cross-cutting themes, including gender and resilience, are addressed throughout the IAP Program, drawing on relevant expertise where necessary;
- Brings communication updates and recommendations to the Steering Committee for review and agreement;
- Organizes meetings of External Advisors and participates in the calls.

### *Reporting and M&E*

- Supports gathering of M&E data from agencies and for project reports;
- Prepares progress reports to the GEF Council on Program-level activities for Steering Committee sign off;
- Maintains dialogue with STAP for expert input.
- Supports implementation of the M&E plan for the A&L child project, including the preparation of project reports as necessary, such as Project Implementation Reviews, among others (responsibility lies with the KM and M&E Lead);
- Supports the aggregation of data from child projects to complete the Program-level Results Framework.

## 7) Draft Terms of Reference for Global Knowledge Management and M&E Lead:

Responsible for the delivery of Monitoring and Evaluation, Knowledge Management.

- Responsible for overall Knowledge Management of the Program, liaising with the child projects to ensure that lessons learned are disseminated from the bottom up and top down;
- Liaises with external partners to facilitate capture and dissemination of lessons learned and best practices;
- Maintains regular communication with the other two GEF-funded IAPs to share learning and experiences on implementing an integrated approach;
- Liaises with the production child project to provide inputs into the binannual study tours as part of the Learning agenda;
- Supports development of knowledge products, such as Program publications and think pieces;
- Proposes areas of KM sharing for inclusion in communications (in collaboration with Communications Lead) for approval by the Steering Committee;
- Promotes integration of cross-cutting themes such as gender, resilience and adaptive management in the Program and in child projects.
- Responsible for the implementation of the M&E Plan for the IAP Program, including gathering all relevant data, preparing necessary reports, overseeing external evaluations, and other activities that may be required. This will include, among others, completion of the Program-level Results Framework and the Program-level tracking tool. The completion of the latter will require gathering data from key IAP Program partners to assess the indirect environmental benefits of the partnership work., which will be included in the figures to be reported upon
- Facilitate discussions among key partners working to reduce the deforestation associated with agricultural commodity production to identify collective environmental impact targets.

## 8) Draft Terms of Reference for Community of Practice Coordinator

### **Main functions:**

- Oversees organization of two large Global Community of Practice meetings to take place in Years 2 and 4 of the IAP Program;
- Maintains ongoing dialogue with the Community of Practice practitioners, through social media, the Program website, webinars, etc. to advance learning and cooperation on a variety of issues.
- Liaises with external partners to facilitate capture and dissemination of lessons learned and best practices through the Community of Practice;
- Convenes the Community of Practice Coordination Committee to support organization and maximize the effectiveness of the COP.

## 9) Draft Terms of Reference for Communications Lead:

### Main functions:

- Assumes the overall management of Communications for the IAP;
- Delivers the communications objectives as set out in the communications strategy, incl. establishing the GEF as a global leader and central long term player within the space;
- Proposes communication plans to the Steering Committee for approval;
- Ensures delivery of effective communication to key audiences, including on the content and learnings from the Program (in collaboration with KM and M&E Lead);
- Develops IAP brand identity and guidelines for use;
- Creates assets such as periodic briefs and supporting multimedia materials on key areas of interest;
- Ensures that the cross-cutting issues of gender and resilience are integrated in at least some of the communications pieces.
- Ensures consistency in publications and communication documents;
- Manages digital presence including development and maintenance of a Program website and encouraging use of social media such as Twitter and Pinterest;
- Organizes IAP presence at key global events and conferences;
- Develops and manages content sponsorships/partnerships, including a content sponsorship on The Guardian Sustainable Business;

## 10) Draft Terms of Reference for Administrative Assistant

### Main functions:

- Logistical support for organization of meetings of Steering Committee, External advisors, COP meetings and for participation in international and national workshops, meetings and forums
- Assistance in preparing annual workplans and budgets, assistance in procurement of goods and services, including preparation of bidding documents, specifications and contracts
- Management of administrative files, drafting of correspondence related to administrative issues, other administrative support as required

## 11) Draft Terms of Reference for Finance Officer

- Monthly accounts and financial reports,
- Bookkeeping,
- Preparation of disbursement requests and tracking of project disbursements
- Management of accounting and financial files
- Provision of support for project audits and external evaluations
- Assistance with preparation of the budget
- Any other responsibilities related to the financial management of the A&L project

## 12) Draft ToRs for national focal points:

### Main functions:

- National focal points will be designated for the four IAP target countries: Brazil, Paraguay, Liberia and Indonesia (total of 4 national focal points)
- These focal points will consolidate information from the child projects working in each country to develop national workplans that outline major milestones/ main planned deliverables. The workplans will be agreed upon by the IAs. The development of well sequenced and coordinated workplans will facilitate technical synchronization of key deliverables across the individual child projects and four IAP target countries
- In the event of shifts in the timing of these deliverables, these workplans will be reviewed and adjusted as necessary. The focal points will facilitate communication among the Implementing agencies working in each country to enable this to happen.
- The national focal points in Indonesia and in Paraguay will be UNDP and will be funded by UNDP, while the national focal points in Liberia and Brazil will be CI and will be funded by CI. The national focal points will be the points of contact and will facilitate communication among the agencies with a view to achieving technical synergies, but will not be responsible for overall coordination of the actions at the country level, nor they will be responsible for overall communications at the country level, which will remain the responsibility of each child project.
- The national focal points will also prepare biannual briefing notes to the IAP Coordinator on their views of inter-agency coordination at the country level. Should there be any issues, the IAP Coordinator will discuss these with the respective child project managers. If this fails to resolve the issue, the IAP Coordinator will report to the IAP Steering Committee (with its agency leads), which will then be the ultimate instance for dispute resolution.



### 13) Draft Terms of Reference of IAP Study to be Commissioned

The A&L project will commission a study to test the IAP Program Theory of Change. Specifically, this study will:

- Assess the impacts of demand on sustainable production and vice versa;
- Assess the impacts of finance on sustainable production and vice versa.

The focus will be on the IAP pilot countries and selected landscapes for interventions in order to determine if the supply chain approach that we are piloting with this IAP is having the desired impacts on reducing deforestation. The study will be undertaken at the mid-point of the Program as well as at the end of the Program. This study represents a key knowledge product of this IAP Program. As such, it will be widely disseminated with key stakeholders and will also help to inform future GEF programming.

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## ANNEX E: SOCIAL AND ENVIRONMENTAL SCREENING TEMPLATE

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document. Please refer to the [Social and Environmental Screening Procedure](#) for guidance on how to answer the 6 questions.]

### Project Information

<b>Project Information</b>	
1. Project Title	Adaptive Management and Learning for the Commodities IAP
2. Project Number	5665
3. Location (Global/Region/Country)	Global

### Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

**QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?**

*Briefly describe in the space below how the Project mainstreams the human-rights based approach*

The Adaptive Management and Learning child project will not be working directly with local communities or marginalized groups. However, for all of the coordination, partnership building, knowledge management, and communications activities to be carried out, the project will adopt a fully inclusive approach to ensure that key stakeholders are consulted and have the opportunity to engage in project activities. For example, the Community of Practice will proactively reach out to key stakeholder groups, including practitioners and producers, to encourage their participation. The UNDP has in place a formalized process in the event that there are any concerns and grievances with regard to any project activities so they can be discussed and solutions sought.

The Program Implementing and Executing agencies will be held accountable for all activities implemented by the different child projects. Regular project and Program monitoring and evaluation and reporting will be carried out, and periodic financial audits undertaken.

**Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment**

The A&L project will incorporate gender considerations in all the proposed Outcomes and Outputs. With regard to the Program coordination and Program governance structure, efforts will be made to ensure representation of both men and women on governing bodies such as the Steering Committee, the External Advisors and the Community of Practice Coordination Committee, as well as in terms of Program staff within the Secretariat. Regular feedback loops for adaptive management that will be managed by the Global Program Coordinator will provide the opportunity for the effectiveness of gender mainstreaming to be assessed and reported upon to the Steering Committee, and for corrective actions to be taken if and when necessary. Monitoring and Evaluation will include sex-disaggregated Program-level indicators as well as child project indicators. These indicators will enable regular tracking of the IAP impact as it relates to gender. Knowledge management activities will explicitly include the capture of learnings from organizations analyzing or focused on gender issues as they relate to agricultural commodity production, climate change and forest issues (such as WOCAN, WEDO and Global Gender and Climate Alliance). The Community of Practice to be established through this project will reach out to female producers to solicit their participation and will consider seeking the participation of organizations that have incorporated a gender lens in their work on deforestation and commodity production or more generally agricultural production, climate change and forests, as experts to provide capacity building on gender issues. The COP may also specifically include thematic discussions on gender mainstreaming. Furthermore, it should be noted that the implementation of the IAP Partnership Strategy at a global level will reach out to organizations incorporating a gender perspective in order to benefit from expert guidance on this issue and innovative thinking. The Program-level Communications work will ensure that the information that is disseminated through the Program website, articles, publications, and speaking events includes specific pieces that address the issue of gender mainstreaming in this IAP. As part of the work to be carried out by WWF and IFC, the Global Impacts platform will include gender as one of the social impact research topics.

As per UNDP requirements, a gender marker has been assigned to this project, which corresponds to GEN2 (a "gender mainstreamed initiative"), meaning that "gender equality is not the *main* objective of the expected output, but the output promotes gender equality in a *significant* and consistent way". This implies that a gender analysis has been carried out, that there will be changes related to women's equality, and that indicators have been included to measure this change. Using the gender results effectiveness scale, the project is considered "gender responsive".

**Briefly describe in the space below how the Project mainstreams environmental sustainability**

The project is part of the Commodities Integrated Approach Pilot, the objective of which is to significantly reduce the level of tropical deforestation associated with the production of three key agricultural commodities, namely, soy, beef and palm oil. This project will support this overarching objective by promoting a coordinated approach among the different agencies and child projects and by strengthening global partnerships in this field to maximize synergies and impact. The project also features a strong knowledge management component, which will increase the level of understanding of the suite of interventions that are most effective at reducing greenhouse gas emissions and biodiversity loss and at promoting sustainable forest management. The Program will adopt a whole supply chain approach to catalyze transformational impacts. With this child project, elements such as a Global Community of Practice and the provision of content for the Guardian Sustainable Business hub will lead to dissemination of knowledge and greater dialogue about these issues among all key stakeholders, which will help to build the momentum to ensure sustainability beyond 2020. An ongoing focus on partnership consolidation and creation of synergies will ensure that the foundations for continued action on these topics

are established. Furthermore, the other child projects have embedded in their designs different actions to ensure sustainable impact by focusing on systemic level changes in terms of policies and regulations, financial instruments, and capacity building, to name a few.

## Part B. Identifying and Managing Social and Environmental Risks

<b>QUESTION 2: What are the Potential Social and Environmental Risks?</b> <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses).</i>	<b>QUESTION 3: What is the level of significance of the potential social and environmental risks?</b> <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i>			<b>QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?</b>
<b>Risk Description</b>	<b>Impact and Probability (1-5)</b>	<b>Significance (Low, Moderate, High)</b>	<b>Comments</b>	<b>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.</b>
Risk 6.1 Indigenous peoples are present in the Project area (including Project area of influence).	I = P =			The A&L project will not be working directly in any areas inhabited by indigenous peoples. The project will promote knowledge management on lessons learned from actions carried out by the child projects’ actions at national and subnational levels as they relate, for example, to promoting agricultural intensification combined with conservation of high BD areas. These actions are expected to provide positive socioeconomic benefits to communities and indigenous peoples through enhanced productivity, increased access to markets and to financing. The principle of Free and Prior Informed Consent (FPIC) will be applied for all engagement with indigenous peoples.
<b>QUESTION 4: What is the overall Project risk categorization?</b>				
<b>Select one (see <a href="#">SESP</a> for guidance)</b>			<b>Comments</b>	
<b>Low Risk</b>			<input checked="" type="checkbox"/>	
<b>Moderate Risk</b>			<input type="checkbox"/>	
<b>High Risk</b>			<input type="checkbox"/>	

<b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</b>		
Check all that apply		Comments
<i>Principle 1: Human Rights</i>	<input type="checkbox"/>	
<i>Principle 2: Gender Equality and Women's Empowerment</i>	<input type="checkbox"/>	
<i>1. Biodiversity Conservation and Natural Resource Management</i>	<input type="checkbox"/>	
<i>2. Climate Change Mitigation and Adaptation</i>	<input type="checkbox"/>	
<i>3. Community Health, Safety and Working Conditions</i>	<input type="checkbox"/>	
<i>4. Cultural Heritage</i>	<input type="checkbox"/>	
<i>5. Displacement and Resettlement</i>	<input type="checkbox"/>	
<i>6. Indigenous Peoples</i>	X	The A&L project will not be working directly in any areas inhabited by indigenous peoples. The project will promote knowledge management on lessons learned from the child projects' actions at landscape levels as they relate, for example, to promoting agricultural intensification combined with conservation of high BD areas. These actions are expected to provide positive socioeconomic benefits to communities and indigenous peoples through enhanced productivity, increased access to markets and to financing.
<i>7. Pollution Prevention and Resource Efficiency</i>	<input type="checkbox"/>	

**Final Sign Off**

<i>Signature</i>	<i>Date</i>	<i>Description</i>
QA Assessor		UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
QA Approver		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director

		(CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have “cleared” the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

## SESP Attachment 1. Social and Environmental Risk Screening Checklist

<b>Checklist Potential Social and Environmental Risks</b>		
<b>Principles 1: Human Rights</b>		<b>Answer (Yes/No)</b>
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? <sup>32</sup>	No
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	No
5.	Are there measures or mechanisms in place to respond to local community grievances?	N/A
6.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
7.	Is there a risk that rights-holders do not have the capacity to claim their rights?	No
8.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
9.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
<b>Principle 2: Gender Equality and Women's Empowerment</b>		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	No
3.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and	No

<sup>32</sup> Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	
<b>Principle 3: Environmental Sustainability:</b> Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below	
<b>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</b>	
1.1 Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?  <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	No
1.2 Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	No
1.3 Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4 Would Project activities pose risks to endangered species?	No
1.5 Would the Project pose a risk of introducing invasive alien species?	No
1.6 Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No
1.7 Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
1.8 Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.9 Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10 Would the Project generate potential adverse transboundary or global environmental concerns?	No
1.11 Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area?  <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>	No
<b>Standard 2: Climate Change Mitigation and Adaptation</b>	



2.1	Will the proposed Project result in significant <sup>33</sup> greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	No
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
<b>Standard 3: Community Health, Safety and Working Conditions</b>		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
<b>Standard 4: Cultural Heritage</b>		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No

<sup>33</sup> In regards to CO<sub>2</sub>, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

<b>Standard 5: Displacement and Resettlement</b>		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3	Is there a risk that the Project would lead to forced evictions? <sup>34</sup>	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
<b>Standard 6: Indigenous Peoples</b>		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	Yes
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
6.3	Would the proposed Project potentially affect the rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)?	No
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	N/A
6.4	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.5	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.6	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.7	Would the Project potentially affect the traditional livelihoods, physical and cultural survival of indigenous peoples?	No
6.8	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
<b>Standard 7: Pollution Prevention and Resource Efficiency</b>		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to	No

<sup>34</sup> Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

	international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

## ANNEX F: BUDGET FOR COMPONENT 2 (MANAGED BY WWF)

Table 1: Detailed Budget

CATEGORY	2.1. Global online database and knowledge platform	2.2. Documents synthesizing evidence-based disseminated to key decision makers	2.3. Engagement with stakeholders and decision-makers at knowledge-sharing events, fostering learning and adaptive management	YEAR	YEAR	YEAR	YEAR	TOTAL
				1	2	3	4	
				Cost	Cost	Cost	Cost	Cost
<b>PERSONNEL:</b>	-		-					
Salaries & Benefits								
1 Impacts Platform Management	118,536	118,536	118,536	\$ 85,000	\$ 87,550	\$ 90,177	\$ 92,882	\$ 355,608
2 Project Support, M&E, Comms	41,836	41,836	41,836	\$ 30,000	\$ 30,900	\$ 31,827	\$ 32,782	\$ 125,509
3 Technical Assistance	37,275	37,275	37,275	\$ 37,575	\$ 24,455	\$ 25,817	\$ 23,979	\$ 111,826
Subtotal - Salaries & Benefits	197,648	197,648	197,648	\$ 152,575	\$ 142,905	\$ 147,821	\$ 149,643	\$ 592,943
<b>TOTAL - PERSONNEL</b>	<b>\$ 197,648</b>	<b>\$ 197,648</b>	<b>\$ 197,648</b>	<b>\$ 152,575</b>	<b>\$ 142,905</b>	<b>\$ 147,821</b>	<b>\$ 149,643</b>	<b>\$ 592,943</b>
<b>THIRD PARTY FEES &amp; EXPENSES:</b>	-		-					
1 IT Platform Build and Launch	\$ 180,000			\$ 180,000	\$ 0	\$ 0	\$ 0	\$ 180,000
2 IT Platform Maintenance	\$ 60,000				\$ 20,000	\$ 20,000	\$ 20,000	\$ 60,000
4 IT Consultant		\$ 45,500		\$ 17,500	\$ 14,000	\$ 14,000	\$ 0	\$ 45,500
<b>TOTAL - THIRD PARTY FEES &amp; EXPENSES</b>	<b>\$ 240,000</b>	<b>\$ 45,500</b>	<b>\$ 0</b>	<b>\$ 197,500</b>	<b>\$ 34,000</b>	<b>\$ 34,000</b>	<b>\$ 20,000</b>	<b>\$ 285,500</b>
<b>GRANTS &amp; AGREEMENTS:</b>	-		-					

1	Rainforest Alliance/WWF - Research Analysis- Issues Stream 1		\$ 97,500	\$ 19,500	\$ 26,000	\$ 26,000	\$ 26,000	\$ 97,500	
2	RA/WWF Research Analysis - Issues Stream 2		\$ 78,000	\$ 0	\$ 26,000	\$ 26,000	\$ 26,000	\$ 78,000	
3	RA/WWF Research Analysis - Issues Stream 3		\$ 60,450	\$ 0	\$ 19,500	\$ 21,450	\$ 19,500	\$ 60,450	
4	RA/WWF Audience and user needs Assessment			\$ 16,250	\$ 16,250	\$ 0	\$ 0	\$ 16,250	
<b>TOTAL - GRANTS &amp; AGREEMENTS</b>			\$ 235,950	\$ 16,250	\$ 35,750	\$ 71,500	\$ 73,450	\$ 71,500	\$ 252,200
<b>TRAVEL, MEETINGS &amp; WORKSHOPS:</b>									
International Travel									
1	Travel to Conferences and Forums			\$ 41,836	\$ 10,000	\$ 10,300	\$ 10,609	\$ 10,927	\$ 41,836
	Subtotal Intl Travel			\$ 41,836	\$ 10,000	\$ 10,300	\$ 10,609	\$ 10,927	\$ 41,836
	Subtotal - Staff Travel and Per Diem			\$ 41,836	\$ 10,000	\$ 10,300	\$ 10,609	\$ 10,927	\$ 41,836
<b>Meetings and Workshops</b>									
1	Kick off Meeting			\$ 7,500	\$ 7,500	\$ 0	\$ 0	\$ 0	\$ 7,500
2	Review Meeting			\$ 7,500	\$ 0	\$ 0	\$ 7,500	\$ 0	\$ 7,500
	Subtotal - Workshops			\$ 15,000	\$ 7,500	\$ 0	\$ 7,500	\$ 0	\$ 15,000
<b>TOTAL - TRAVEL, MEETINGS &amp; WORKSHOPS</b>				\$ 56,836	\$ 17,500	\$ 10,300	\$ 18,109	\$ 10,927	\$ 56,836
<b>TOTAL-OTHER DIRECT COSTS</b>				\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
<b>TOTAL - EQUIPMENT</b>				\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
<b>TOTAL DIRECT COSTS</b>		\$ 437,648	\$ 479,098	\$ 270,734	\$ 403,325	\$ 258,705	\$ 273,380	\$ 252,070	\$ 1,187,479
<b>ADMINISTRATIVE COSTS:</b>									
	Project Audit			13,945.42	\$ 10,000	\$ 10,300	\$ 10,609	\$ 10,927	\$ 41,836
		13,945.42	13,945.42						
<b>TOTAL-ADMINISTRATIVE COSTS</b>		\$ 13,945	\$ 13,945	\$ 13,945	\$ 10,000	\$ 10,300	\$ 10,609	\$ 10,927	\$ 41,836
<b>TOTAL PROJECT COMPONENT COSTS</b>		\$ 51,593	\$ 493,04	\$ 284,679	\$ 413,325	\$ 269,005	\$ 283,989	\$ 262,997	\$ 1,229,316

## **Project Budget Notes**

### **Personnel**

- **Impacts Platform Management** - salary and duties – At least 1 FTE ISEAL staff (consisting of Manager and Coordinator) dedicated to leading the project and managing the platform, including the scoping, synthesizing, management of IT and curation contracts, and travel to events and forums for outreach, monitoring and oversight of the platform, uploading articles, and analysis and management of key research and partnerships with a range of researchers and VSS systems to populate the platform with high quality, credible impacts information on VSS and VSS like tools. The salaries of Manager and Coordinator, with UK employment tax (13%) and pension contribution (5%), lead to a total staff cost of 85,000 USD per annum in Year 1.
- **Project Support, M&E and Admin** – salary and duties – this 30,000 USD per annum (in Year 1) is calculated for various ISEAL staff persons ranging from 5-20% of time who will provide support to the project including a communications assistant (providing newsletter marketing and social media marketing on the platform to wide audiences), M&E and contacts assistance (providing data tracking and support on M&E and contact management activities), Events/meetings assistance (providing logistics and organization support), an IT/operations associate manager (providing IT and communications systems and other operations support), and a finance coordinator (providing invoicing, sub-grant management, and budget management and tracking support to the project). Employment costs of 18% as shown above are included.
- **Technical Assistance** – the costs of technical assistance to the project including communications, governance, finance, HR, IT, legal and professional costs.

### **Third Party Fees / Contracts**

- **IT Build and Launch** – This will be the major consulting contract. This contract will be to build the Drupal-CMS modules for the impacts platform, including all wireframes/storyboards, user navigation, and related templates and modules, including the work to train ISEAL and consultants to populate the site, and support the testing and launch of the site, including all related support during the first year.
  - **Line Item Budget for IT Build and Launch Agreement is expected to be the following** (subject to adjustment during the scoping phase of the project):
    - Scoping, Design and Wireframes = \$20,000
    - Navigation and User Journey, including Storyboards = \$20,000
    - Modules (Coding) and Build = \$100,000
    - Training of Staff and Beta Testing = \$20,000
    - Launch Support and Metrics Set-Up = \$20,000
- **IT Maintenance** – This is the ongoing maintenance, de-bugging, and hosting of the site and it begins in year 2 once the site is built and launched. \$5,000 per quarter or \$20,000 USD per year, for a total of 60,000 USD for the life of the grant.
- **IT Consultant** – this is a separate person contracted early in the implementation to undertake the high level scoping, analysis and web trends/design work to advise on most effective way to create the platform and liaise with the future IT provider to provide seamless support through the build and launch phase of the site. Additional funding is budgeted in years 2 and 3 for ongoing support in improvements needed (equivalent to approximately 700 USD / day)

## Sub-Grant Agreements

- **Rainforest Alliance (RA)/WWF Research and Analysis (3 streams of work)** – sub-grants that will have their exact scope of work and budget amount determined by the implementing partners early in the implementation phase once it is determined what are the user needs for information and synthesis. For example, RA or WWF might provide more or less analysis and synthesis of areas or issues where they have capacity or expertise on the issues or topics. These will be delivered by persons in the implementing partners who have PhD or equivalent experienced (i.e. research experts). Under these sub-grants, partners will cull, synthesize and curate the bodies of research in major thematic or commodities areas (e.g. oil palm, cattle, gender) and create channels of information on the platform that digest and analyze the research for decision-makers, giving decision-makers a greater understanding of the major results and learnings in key areas for their course correction. Sub-grants are equivalent to grantee high-level personnel costs of approximately 650 USD / day, with less in year 1 and increasing in years 2 and 3 with heavy work on the content of the site, and decreasing again in year 4 as less content/curation will be added anew to the site.
- **RA/WWF Audience and User Needs Assessment** – a sub-grant in year one to partners, RA or WWF or both, to work with ISEAL to determine the audience of the platform and to assess the needs of those potential audiences/users, as well as to conduct a scoping for the platform that determines what nature of materials we be culled and how. This sub-grant is equivalent to approximately 650 USD/day and will likely be added onto other sub-agreements but may involve a specific or extra person within the implementing partners.

## Travel

- **Travel for the (one) Impacts Platform Manager** (approx. 10,000 USD / year with inflation included) - to travel to four international forums or conferences each year to actively connect to bodies of researchers to promote the platform, identify priority topics, and to leverage support for the platform. The cost is for 3-4 days per trip, originating from London, UK, and assuming two US, one Latin America, and one Asia trips. Additional travel in Europe will be covered by co-financing.

## Meetings and Workshops

- **Kick off meeting** (\$7,500 total cost) – workshop in year one with the Partner Coordination Group (ISEAL, RA, WWF) as well as invited, early members of the Global Impacts Platform Advisory Committee, to inform the scoping and all subsequent work. This workshop is likely to include 3-5 advisory and 3 implementing partners, and the cost will cover meeting and workshop support, and limited travel support.
  - Name – Kick off workshop
  - Purpose – to inform scoping, structure, activities and purpose/goals of the platform
  - 6-9 participants
  - 2 days
  - Location = Washington DC or New York
  - Total cost = \$7,500 USD
    - Facility rental = \$1,500
    - Meals = \$800
    - Materials = \$200

- Travel support = \$5,000 (\$3,000 for Executing Agency (ISEAL); \$2,000 in partner support as needed – estimated support of \$500 to each of four partners).
- **Global Impacts Platform review meeting** (\$7,500 total cost) – this will be a workshop in year three with the Global Impacts Platform Advisory Committee and Partner Coordination Group, to review progress to date, adjust activities and targets, plan follow up and exit strategies beyond the life of the project. Likely to include 5 Advisory Committee and 3 executing partners with meeting and workshop support, and limited travel support.
  - Name – Component review workshop
  - Purpose – to assess project component to date, course correct targets and activities for final 18 months to 2 years, and plan exit strategies and follow up
  - 7-9 participants
  - 2 days
  - Location = Washington DC or New York
  - Total cost = \$7,500 USD
    - Facility rental = \$1,500
    - Meals = \$800
    - Materials = \$200
    - Travel support = \$5,000 (\$3,000 for Executing Agency (ISEAL); \$2,000 in limited partner/steering support as needed – estimated at \$500 for four partners).

#### **Administrative Costs**

- **Project Audit** – Calculated at 10,000 USD per year for ISEAL’s auditors to perform customized audit for the GEF project alone.



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## ANNEX G: PROGRAM-LEVEL THEORY OF CHANGE

Development Challenge: How to reduce the global environmental impacts of agricultural commodity production by meeting the growing demand for palm oil, soy and beef through supply that is associated with sharply reduced tropical deforestation, lower GHG emissions and reduced impacts on biodiversity.

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1. The Theory of Change for this Integrated Approach Pilot (IAP) program builds on the premise that the increased adoption of agricultural commodity production practices that are less destructive of forests is contingent on several factors. Firstly, enabling conditions including policies and land use/spatial plans must be in place to make the right lands available for production (agricultural lands and degraded lands ) and to make high biodiversity value and high carbon stock forests less accessible. Secondly, producers need enhanced capacity to adopt good agricultural practices and improve yields. Thirdly, increased financial flows and economic incentives are necessary to support these good production practices in the right locations and less incentives must be provided in inappropriate locations. Fourthly, market awareness and demand for reduced deforestation supply are critical to promote more sustainable production. If these factors are addressed, agricultural production can be increased and growth achieved with sharp reductions in deforestation compared to business-as-usual scenarios. This assumption is based on a comprehensive analysis of the barriers that are currently undermining reduced deforestation commodity production and of the root causes of deforestation from agricultural commodities.

2. Because of the need to tackle all these elements simultaneously, this IAP program will work on promoting sustainable production, strengthening demand and ensuring that supportive financing and economic incentives are available. The approach addresses the entire commodity supply chain in an integrated and coordinated fashion in order to foster sustainability and achieve transformational impact. The supply chain approach will reinforce the need for all actors to embrace best practices and sustainability principles and for clear linkages to be established among the production, demand and transaction actors. This Program will work to strengthen the enabling environment for sustainable production, increase supporting financial transactions, and increase demand in order to foster improved production and management on the ground and ultimately, obtain global environmental benefits that include reduced greenhouse gas emissions, reduced biodiversity loss, and sustainable forest management. This is an innovative approach as most interventions to date have focused on only one aspect of the supply chain and these have been less effective at driving change due to the fragmentation of efforts and lack of a coordinated framework for the entire supply chain of these commodities. For greater impact and upscaling, the Program includes a strong learning and knowledge management component to identify the suite of interventions that are most effective at addressing deforestation in commodity supply chains. Effective partnership building and maintenance will foster synergies and minimize overlap. Ultimately, the Program will strive to make the drive for sustainable products associated with significantly reduced deforestation become standard industry practice.

3. The focus is on the three commodities that are the most significant drivers of tropical deforestation, namely beef, soy and palm oil. In addition, it will engage as major partners, four countries

that are major producers of these commodities: Indonesia and Liberia for oil palm; Brazil for soy; and Paraguay for beef. The Program will engage in multiple layers of interventions- from working on land use planning and government policies to bank and investor policies to corporate commitments and consumer awareness campaigns. This sets the IAP program apart in terms of the multifaceted and broad set of actions and approaches it will implement.

4. The IAP program will also work at several interrelated scales, including the global, national, subnational and landscape scales. At the global and national levels, the IAP program will strengthen policy frameworks, work with banks and investors to implement policies and procedures for reduced deforestation, promote increased commitments from buyers, traders and consumers for sustainable sourcing, as well as carry out extensive knowledge management and partnership building to maximize impact, upscaling and replication. Global- and national-level workplans will be developed to ensure that the key project interventions are coordinated and synchronized. At the more local landscape levels, the IAP program will develop specific tools and build capacity to implement good agricultural practices that are more sustainable, strengthen the local policy and capacity framework, work with local banks on financing policies for responsible production, and strengthen landscape planning and selection, among other interventions. Coordination will be achieved in terms of landscape level and national interventions through the designation of national focal points for the IAP, through regular meetings and communication, and through the development of national workplans that will map out key deliverables. *Please see the Theory of Change diagram for more details on the interrelation between the proposed interventions at different scales.*

5. The IAP program cannot take on all the diverse sustainability challenges facing supply chains for beef, soy and oil palm. It will therefore focus on using demonstrations and testing on certain aspects of the supply chains to identify a menu of interventions and practices related to sustainable beef, soy, and oil palm, and provide models for subsequent replication and upscaling. Moreover, the IAP program will engage with and leverage the capacities of different partners with relevant expertise, from the public, private, bilateral, multilateral agencies and CSO communities. Other entities such as ministries of producer countries, the Consumer Goods Forum companies, and governments of donor countries are important (levers / partners???) in the Theory of Change, as they will support other interventions that are aligned with the IAP program's objective of taking deforestation out of commodity supply chains. The IAP program will coordinate closely with such partners to establish strong connections and to maximize synergies. For example, the government of Norway is planning continued funding for a program entitled "Green Growth: Achieving forest conservation in commercially productive landscapes in Indonesia, Liberia and Brazil" with the support of IDH<sup>35</sup>, a Dutch organization. The latter aims to secure production-protection agreements in these countries for high conservation value and high carbon stock forests, intensify smallholder production in specific landscapes, and improve the livelihoods of smallholders and communities. The IAP Program will identify opportunities for collaboration, given the fact that both programs are geographically aligned and focus on the same crops (palm oil, soy and beef). Similarly, coordination with Norwegian country support for REDD+ and forest related work will also be sought, with a focus on countries with which Norway is engaging in order to increase impact. There are

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<sup>35</sup> IDH stands for Initiatief Duurzame Handel, which is Dutch for the "Sustainable Trade Initiative."

also opportunities for collaboration with UK Department for International Development (DFID), which is funding the Investments in Forests and Sustainable Land-Use (IFSLU) forestry program to translate corporate commitments related to supply chain sustainability into action in West Africa and Southeast Asia. Finally, engagement at the program and country levels is being pursued with the United States Agency for International Development (USAID), which is already supporting work in the Paraguay Chaco to reduce deforestation, promote sustainable production, and work with supply chain actors. Another key global-level partner with which the IAP will coordinate is the Tropical Forest Alliance, which is a global public-private partnership in which partners take voluntary actions, individually and in combination, to reduce the tropical deforestation associated with the sourcing of commodities. All partners will be invited to participate in the Supply Chain “Community of Practice” to be established during Program implementation.

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*Support to Production*

6. In terms of production, the theory of change is based in large part on the idea that strengthening commodity production systems can be achieved by integrated and multi-tiered support to the main elements of sustainable production (see Table 2 below). Seen from a different perspective, the elements become levers for raising the system to an enhanced level of sustainability. While such levers are available to stakeholders seeking more positive and sustainable outcomes—as opposed simply to maximizing short-term profits and rents—knowledge is still lacking regarding exactly how they may work best together in support of sustainable development and reduced deforestation commodity production.

**Table 2: Elements and barriers**

Category / type	Element	Barrier
1. Dialogue and development of more public private partnerships	1.1 Coordination of visions and strategies regarding commodity production and growth among Government ministries, private sector, and civil society	1.1 In the absence of a broader sustainable development framework, Government ministries, private sector, and civil society hold conflicting visions and pursue competing strategies related to commodity production and growth
	1.2 Alignment and implementation of public and private investments, and other actions related to target commodity	1.2 Public and private investments and activities, and other actions related to target commodity, are often chronically misaligned
2. Production policy and enforcement	2.1 Clear and effective policies, regulations and government enabling environments related to target commodity production	2.1 Policies, regulations and government enabling environments related to commodity production—particularly those affecting selection of locations for expansion and regulating production practices—are enabling high levels of deforestation
	2.2 Clear and effective policies, regulations, and government	2.2 Policies, regulations and government enabling environments related to land use allocation—particularly

Category / type	Element	Barrier
	enabling environments related to land use allocations for target commodity production	those relating expansion of locations for target commodity production—do not minimize associated environmental impacts or take advantage of potential benefits at the landscape level.
	2.3 Systems for monitoring and enforcement of policies and regulations related to target commodity production	2.3 Systems for monitoring and enforcement of existing policies and regulations have limited capacity to prevent deforestation associated with commodity production
3. Farmer support systems	3.1 Producers' ability to increase production without deforestation or degradation	3.1 Up to now, producers—and buyers—often prefer to increase production through deforestation, lacking sufficient support from public, private or public-private systems
	3.2 Approaches to supporting smallholder adoption of sustainable production practices through public-private partnerships	3.2 Farmer extension services operate at low capacity and relevant government agencies do not have comprehensive maps of smallholder plots
4. Land use plans and mapping	4.1 Land use planning/zoning systems that protect high biodiversity value, high carbon stock, ecosystem service-rich and other forest areas	4.1 Land use planning/zoning systems are designed and operate in ways that can fail to prevent the targeting and conversion to production of high biodiversity value, high carbon stock, ecosystem service-rich and other forest areas nationally and sub-nationally, while degraded or otherwise appropriate lands remain underutilized
	4.2 Knowledge and protection of priority areas for conservation	4.2 HCV and HCS areas are poorly known and inadequately protected from conversion to commodity production
5. Knowledge and learning	5.1 Knowledge regarding what approaches work best and how to adapt them to various circumstances	5.1 Knowledge regarding successful approaches to removing deforestation from commodity supply chains is limited based on a combination of factors, including the frequent desire amongst producers, traders and buyers to keep their supply chains opaque, limited lesson capture and poor communication/dissemination of successful and efficient agri-commodity supply chain outcomes
	5.2 Learning, adaptation and application of demonstrated lessons and knowledge in new areas and situations	5.2 Knowledge of successful approaches, techniques, tools and strategies fail to be applied to potentially analogous situations in tropical forest areas

7. In terms of production, the IAP program will work with governments in the four target countries to promote policies and regulations to reduce the current high levels of deforestation associated with beef, soy and oil palm production. In addition, the program will strengthen systems to monitor and enforce policies and regulations for increased forest conservation. Land use planning/ zoning systems will be promoted to help identify and protect high biodiversity value, high carbon stock and ecosystem service rich forested areas, and shift commodity production toward degraded or otherwise appropriate lands. This

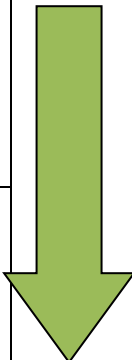
dual production-protection focus will promote better practices and integration of sustainability principles, while contributing to forest conservation through in-farm set asides, protection of high conservation value forests, and protection of water sources. In order to strengthen the spatial understanding of conservation priorities in targeted landscapes, maps will be produced of the locations of HCV, HCS forests and other priority areas, in order to facilitate their protection from conversion. The strengthening of the enabling environment will require more coordinated visions and strategies for sustainable development as they relate to commodity production, growth, and forest conservation among government ministries, the private sector and civil society, in order to avoid competing strategies that undermine effective and consistent action to reduce deforestation from commodity production. As such, the program will create or support existing national and subnational platforms to facilitate the type of dialogue required to come to agreement on visions, strategies and commodity action plans.

8. This work to strengthen the enabling environment is based on the assumption that the IAP program partners will be able to successfully engage with different levels of government in the four target countries, building on existing relationships, including as a result of previous work developing national and subnational commodity platforms and continuing to consolidate ongoing partnerships. It is also assumed that the program will be able to highlight the benefits of intensification/ increased productivity coupled with reducing deforestation so that appropriate policies and spatial planning are implemented. The target countries in this IAP program have adopted national policies committing to reducing deforestation and increasing agricultural production, and there have been other recent strong signals from governments and corporations that speak to the level of political will to address deforestation and climate change- for example, the with large number of endorsements of the New York Declaration on Forests and the almost universal endorsement of the Paris Climate Change Agreement.

9. Through support to production, the IAP program will promote public-private sector engagement to provide support to farmers in the adoption of good agricultural practices. The idea is to focus on systemic, strategic strengthening so that governments and companies can then scale up the training to other locations. This will include increasing the capacity of farmer support systems to provide inputs and services to producers in the project active geographies and strengthening the training available on good agricultural practices, including on low carbon practices. There is substantial room for increasing the yields of producers, including smallholders, and for reducing the associated impacts in terms of deforestation. The capacity to increase transparency and traceability within commodity supply chains will also be enhanced. Finally, the production project will generate knowledge on what approaches and models work best and how to adapt them to various circumstances.

10. In Brazil, the main hypothesis for this initiative is that expansion of soy production can be obtained with minimum impact on the native vegetation of the Cerrado biome or on the livelihoods of traditional peoples and communities. To achieve that, an important first step will be the implementation of the existing environmental legislation, i.e. the Forest Code, which guarantees conservation of at least 20% of native vegetation on private properties in the States of Bahia and Piauí and 35% in the States of Maranhão and Tocantins. A second step is the creation of a local private-public vision about how the region should absorb changes and adapt to a reality that includes the production of agricultural commodities. A vision, in combination with better land-use planning should enable local governments to direct production to areas where the impact is relatively small in ecological terms or in social terms. For

example, if the production of commodities were directed to degraded areas, expansion of production could occur without additional deforestation. In addition, restoration of illegally cleared lands could be planned in such a way that it would connect existing remnants, thus increasing overall connectivity and ecological sustainability, or in order to protect strategic ecosystem services. Finally, better management and production practices will reduce the impact of production itself on existing biodiversity and, hence, increase opportunities for the creation of sustainable production areas.

<b>Theory of Change Scenario</b>	
<p><b>If</b> all properties are registered in the CAR, <b>then</b> they are, in principle, in compliance with the Forest Code on the condition that farmers submit a proposal for the restoration of illegally deforested riparian conservation areas or for the restoration or offset of illegally deforested legal reserves.</p> <p>(Forest Code, Law 12.651 of 25 May 2012)</p>	
<p><b>If</b> all properties and native vegetation on them are registered, <b>then</b> it will be possible to improve monitoring and, hence, reduce illegal deforestation to –close to- zero.</p> <p>E.g.: Assunção, Juliano; Gandour, Clarissa; Rocha, Rudi, (2015). Deforestation slowdown in the Brazilian Amazon: prices or policies In: Environment and Development Economics Volume 20 / Issue 06 / December 2015, pp 697-722. Cambridge University Press 2015</p>	
<p><b>If</b> supply of seeds and seedlings is secured and if better and cheaper restoration techniques are available, <b>then</b> farmers are more likely to invest in ecologically responsible restoration of illegally deforested areas.</p> <p>E.g.: IPEA (2015). Diagnóstico da Produção de Mudanças Florestais Nativas no Brasil. Relatório de Pesquisa</p>	
<p><b>If</b> all properties –and native vegetation on them- are duly registered and mapped, <b>then</b> it is possible to plan restoration of illegally deforested areas or offset of legal reserves in such a way that remnants are connected, thus increasing ecological sustainability, the protection of critical ecosystem services and resilience of the productive landscape against climate changes.</p> <p>E.g.: Silva, J.A.A.; Nobre, A.D.; Manzatto, C.V.; Joly, C.A.; Rodrigues, R.R. Skorupa, L.A.; Nobre, C.A.; Ahrens, S.; May, P.H.; Sá, T.D.A.; CUNHA, M.C.; RECH FILHO, E.L. (2011). O Código Florestal e a Ciência: Contribuições para o Diálogo. Sociedade Brasileira para o Progresso da Ciência / Academia Brasileira de Ciências – São Paulo SBPC</p>	
<p><b>If</b> public and private financial and credit institutions would create mechanisms that would provide better loan conditions for sustainable production, <b>then</b> farmers would have a tangible incentive to comply with sustainable production conditions</p> <p>E.g.: Tanentzap AJ, Lamb A, Walker S, Farmer A (2015) Resolving Conflicts between Agriculture and the Natural Environment. PLoS Biol 13(9): e1002242. doi:10.1371/journal.pbio.1002242</p>	
<p><b>If</b> farmers know about and are trained in better farm management and low-carbon techniques that will reduce costs and impacts, <b>then</b> they will apply them and reduce the impact of their production on the</p>	

<p>environment</p> <p>E.g.: Mônica S. S. de M. Costa; Laércio A. Pivetta; Luiz A. de M. Costa; Laerte G. Pivetta; Gustavo Castoldi; Fábio Steiner. (2011). Atributos físicos do solo e produtividade do milho sob sistemas de manejo e adubações/ Soil physical attributes and corn yield as affected by soil managements and fertilization. In Revista brasileira de Engenharia Agrícola e Ambiental</p>	
<p><b>If</b> conservation areas are created and management plans of sustainable use conservation areas are prepared in such a way that they connect existing remnants, <b>then</b> corridors could be created that would increase the sustainability of biodiversity.</p> <p>E.g.: Beier, Paul &amp; Noss, Reed F. (1998). Do Habitat Corridors provide connectivity? In: Conservation Biology, Volume 12, Issue 6, pp1241-1252</p>	
<p>Land conflicts, especially conflicts between soy farmers and communities or traditional peoples, are a potential corporate risk for traders. <b>If</b> those conflicts are identified and made transparent, <b>then</b> the private sector together with the local public sector, have an increased interest in resolving those conflicts</p> <p>E.g.: Swiss Peace (2015). Agribusinesses: Risks and Impacts in Conflict-Affected Areas. Background Paper: on:</p> <p><a href="http://www.swisspeace.ch/fileadmin/user_upload/Media/Publications/Journals_Articles/Economy">http://www.swisspeace.ch/fileadmin/user_upload/Media/Publications/Journals_Articles/Economy</a></p>	
<p><b>If</b> degraded areas that are suitable for the production of agricultural production are properly identified, <b>then</b> expansion of production could be directed towards these areas and expansion could occur without additional deforestation or conversion of native vegetation</p> <p>E.g.: Lima, Rodrigo C.A.; Nasser, André; Harfuch, Leila; Chiodi, Luciane; Antoniassi, Laura; Moreirea, Marcelo. (2012). Agricultura de Baixo Impacto: Construindo a Economia Verde Brasileira.</p>	
<p><b>If</b> private and public sector agree on suitable areas for expansion, <b>then</b> local land-use planning and public and private investments could more effectively and efficiently be directed to these areas and better leverage additional funds</p> <p>An example is the zoning and planning of sugar cane production. See</p> <p><a href="https://www.embrapa.br/busca-de-produtos-processos-e-servicos/-/produto-servico/1249/zoneamento-agroecologico-da-cana-de-acucar">https://www.embrapa.br/busca-de-produtos-processos-e-servicos/-/produto-servico/1249/zoneamento-agroecologico-da-cana-de-acucar</a></p>	
<p><b>If</b> sustainability of production in the Matopiba region would be recognized by the market, <b>then</b> farmers in the region or in other regions have an incentive to apply low-impact sustainable production practices.</p>	
<p><b>If</b> public and private financial and credit institutions would create mechanisms that would provide better loan conditions for sustainable production, <b>then</b> farmers would have a tangible incentive to comply with sustainable production conditions.</p> <p>Assunção JC, Gandour C, Rocha R (2013). Does credit affect deforestation? Evidence from rural credit policy in the Brazilian Amazon. Climate Policy Initiative (CPI). PUC-Rio. 50p.</p>	

**If these conditions are in place then we will be able to considerably reduce deforestation in the supply chains.**

### *Enabling Transactions*

11. The focus on enabling transactions will involve working with banks and investors to put in place standards and procedures for taking deforestation out of the oil palm, soy and beef supply chains. This will include the development of financing policies for responsible production, commercial/ blended financial transactions, new products related to financing input/ renovation, replanting and production on degraded land. The IAP program will develop business models for degraded land rehabilitation in order to increase direct investments into already cleared land. It will also work on financial markets and with financial institutions to influence the amount of lending for unsustainable production. Environmental and social risk assessment methodologies will be developed when considering new investments that would reduce the likelihood of credit associated with substantial deforestation and/or deforestation in high BD or high CS areas. The enabling transactions work will contribute to knowledge creation and dissemination by developing studies, guidance notes and technical briefs on relevant topics, such as guidance notes on how REDD+ financing could accelerate the production of low deforestation commodities; production country analyses of fiscal instruments, trade frameworks and legal frameworks that shape the flow of capital in a landscape into areas that are not aligned with sustainable agricultural practices, and recommendations for enhancing alignment; value-at-risk models to quantify risks associated with investments in targeted commodity production; and technical briefs on beef, soy and palm oil on best practices in the integration of deforestation-related risks in financial decision making, among others. One of the key assumptions underpinning this work is that local and regional banks will be convinced of the benefits and importance of taking environmental considerations into account and of the need to adjust their financing policies.

### *Responsible Demand*

12. Strengthening demand for sustainable, reduced-deforestation oil palm, soy and beef can be achieved by advancing awareness, capacity and collective actions of four key actors. The actors are: corporations (e.g. buyers, processors, traders, and retailers), investors (e.g. pension funds, insurance companies, investment funds, and regional banks), consumers (e.g. individual retail buyers) and policy makers (e.g. local, federal, multilateral agencies). Individually and together, these four actors have the potential to send strong demand signals calling for reduced deforestation practices on the ground. In response to these demand signals, producers will begin shifting to responsible, reduced-deforestation commodity production – facilitated by an enabling environment and the incentive of financial benefits.

13. If supply chain companies are made aware of the risks in their supply chain and the environmental impacts their activities could be causing, and are incentivized by governments, consumers, or the financial sector, they will reduce their risk and impact by demanding that the commodities they purchase be produced more responsibly. Because only a few hundred companies control a majority of the global market for palm oil, soy and beef, shifting these companies to sourcing reduced-deforestation commodities can have transformative impacts on the environment and global markets. In some markets,



corporate demand alone is insufficient to drive change in production practices. In this case, engaging other levers such as financial investment, government regulation and consumer awareness can be critical supporting strategies for directly and indirectly shifting producers to better practices. If financial actors are aware of their risks in investing in practices that lead to deforestation, they will implement practices and policies to reduce the money flow associated with deforestation and increase the level of active engagement with supply chain players to drive change. If governments understand the costs of negative externalities associated with domestic commodity production, and see how sustainability aligns with their goals, they will be incentivized to develop policies supporting better practices and facilitating trade of sustainable products. If consumers are more aware of the correlation between their consumption of products and the potential impacts to deforestation, they will put increased pressure on companies, financial institutions, or governments to change their policies on sustainable sourcing. Every commodities market—global to local—has unique market conditions, with consumers, investors, companies, and governments at different stages in their movement to sustainable sourcing. This calls for a custom application of this theory of change to each situation.

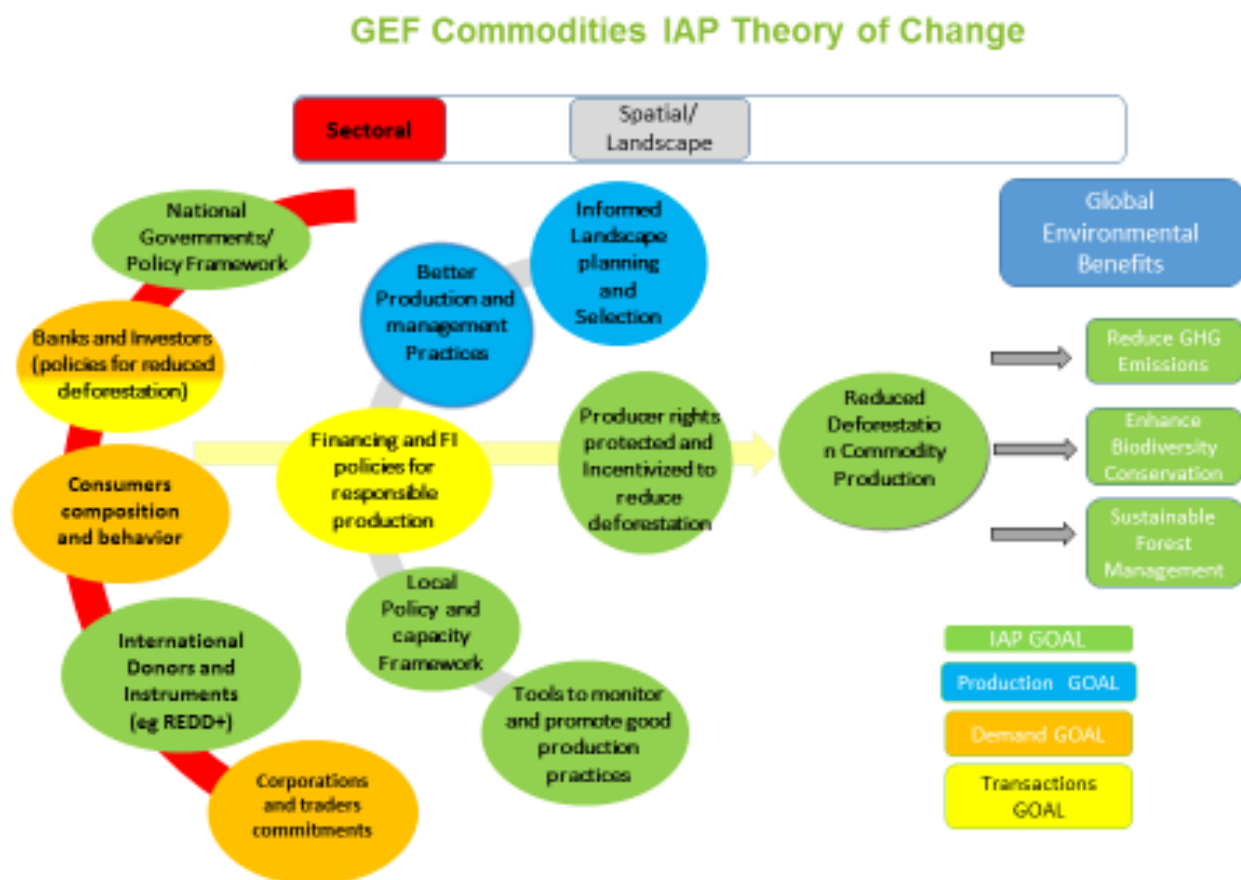
#### *Adaptive Management & Learning Child Project*

14. For overall transformational impact of the IAP Program, the TOC is built on the idea that if a culture of learning is created, there will be increased understanding on the suites of interventions and approaches that work best and those that are less successful, as well as increased knowledge on cross-cutting themes such as gender and resilience. This will also be facilitated by extensive exchange of information and knowledge management with Program partners as well as with a variety of external partners working in this production-protection space, including through the establishment of a Community of Practice, partnership work, and dissemination of information through various means, such as print publications, digital assets, content coverage in the Guardian Sustainable Business hub and speaking events, among others. It is assumed that the extensive partnership building process during program design and through the UNDP Green Commodities Programme will facilitate continued positive engagements with key donors and other partners in order to maximize synergies. Ongoing knowledge management and learning throughout IAP implementation will play an important role in upscaling and replication.

15. The Adaptive Management and Learning Component will also contribute to developing a robust and policy-relevant evidence base on the effectiveness of different tools (voluntary sustainability standards and others) that are being used to promote deforestation-free and sustainable production and sourcing. This easily-accessible evidence base will enable improved decision-making related to commodity production (for growers and land managers), sourcing and trading (for intermediaries), procurement (for retail and consumer goods companies), policy-making (for governments), and investment (for financiers and donors). At the same time, it will support those who are developing implementation mechanisms for responsible supply chains, including voluntary standards systems and other VSS-like programs, to better understand and continuously improve the effectiveness of these mechanisms. This will include support to filling key gaps in the evidence base, making existing evidence more accessible to key user groups, and synthesizing and communicating evidence in decision-relevant terms.

16. If interventions at different chains in the supply chain are well coordinated, there will be greater and transformational impact on reducing deforestation than if different interventions are carried out without a coordinated and synergistic approach. This Component will therefore ensure that the overall IAP Program is coordinated among the different agencies and countries and that there is clear Program cohesion and branding. It will support the technical synchronization of key technical deliverables and will be instrumental in aggregating the project-level monitoring results to a Program level, enabling Program impact to be assessed. The IAP has taken into account external factors and unpredictable changes that could occur and that could affect the results chain and the Theory of Change and has built resilience into its design.

17. The following diagram illustrates the IAP Theory of Change:



## ANNEX H: PROGRAM RESULTS FRAMEWORK<sup>36</sup>

	Objective and Outcome Indicators	Baseline <sup>37</sup>	Mid-term Target <sup>38</sup>	End of Project Target	Assumptions <sup>39</sup>
<p><b>Program Objective:</b></p> <p>Reduce the global impacts of agriculture commodities expansion on GHG emissions and biodiversity by meeting the growing demand of palm oil, soy and beef through supply that do not lead to deforestation, contributing to 23 million hectares under improved management to protect globally significant biodiversity and ecosystem services and 1,000,000 ha under sustainable land management</p>	<p>Level of coordination of finance, demand and production stakeholders for soy, beef and oil palm in the 4 IAP target countries</p>	<p>There is currently inadequate coordination and integration of supply chain public and private stakeholders in the 4 IAP target countries to influence demand, financial</p>	<p>Platforms in the 4 target countries are functioning with effective participation of national and international stakeholders</p> <p>(2 national platforms, 1 regional platform for Paraguay, 1 landscape platform for Matopiba, as well as provincial</p>	<p>Increased engagement of supply chain initiatives with the government through platforms at national and subnational level in target countries and increased connectivity between in-country supply chain stakeholders and international stakeholders, particularly on demand and finance, as measured by:</p>	

<sup>36</sup> This Results Framework is still under construction.

<sup>37</sup> Baseline, mid-term and end of project target levels must be expressed in the same neutral unit of analysis as the corresponding indicator. Baseline is the current/original status or condition and need to be quantified. The baseline must be established before the project document is submitted to the GEF for final approval. The baseline values will be used to measure the success of the project through implementation monitoring and evaluation.

<sup>38</sup> Target is the change in the baseline value that will be achieved by the mid-term review and then again by the terminal evaluation.

<sup>39</sup> Risks must be outlined in the Feasibility section of this project document.

<b>Cross cutting Program Indicators</b>		transactions and production to reduce impacts on tropical forests from soy, beef and palm	and district forums in Indonesia).	<p>A) Greater alignment of national and international priorities for investments</p> <p>B) increased connectivity among key supply chain actors (i.e, Asia workshops will feed Asian companies into INPOP, soy trader platform brings traders into the Matopiba forum in Brazil, links between the Chaco beef platform and Global Sustainable Beef Roundtable are strengthened in Paraguay, and key stakeholders are brought into the Liberia platform).</p>	
	Level of engagement of IAP with global commodity initiatives, key partners, as well as with practitioners and producers from the IAP target countries (Indonesia, Liberia, Paraguay, Brazil)	No broad mechanism in place to coordinate engagement for learning for practitioners in IAP target countries	At least quarterly communication with Global Community of Practice and 1 Global Community of Practice event	At least quarterly communication with Global Community of Practice of practitioners and producers from the 4 IAP target Countries and 2 Global Community of Practice events	<p>At least biannual engagement with the Community of Practice coordination group to be</p> <p>All major global commodity initiatives will</p>

			have been invited to the Global Community of Practice	established.  Global Commodity initiatives have recognized the value of IAP and its learnings	
	Number of direct and indirect Program beneficiaries, disaggregated by gender based on the supply chain approach	0	Targets to be established at Program outset	Targets to be established at Program outset	
	Learning on gender mainstreaming through this IAP Program as it relates to commodity supply chain actions (as measured by # of project documents, publications, training materials and presentations that include a discussion of gender issues	0	Target TBC. All gender-related documents will be compiled and disseminated through the COP	Target TBC. All gender-related documents throughout the Program Implementation will be compiled and disseminated through the COP	
<b>Adaptive Management &amp; Learning:</b> Effectively leverage demand, transactions and support to production to ensure successful implementation of the Commodities IAP	Level of logical technical sequencing of key deliverables within the IAP to achieve expected Program goals across the supply chains for soy, palm and beef as measured by annual	Limited coordination and technical sequencing of deliverables among current entities	8 national level inter-agency workplans (one per country per year for the 4 IAP target countries, i.e.,	16 national level inter-agency workplans (one per country per year for the 4 IAP target countries, i.e., Paraguay, Brazil, Indonesia and Liberia), approved by the	External factors such as changes in government or extreme weather events occurring within the participating

program	national workplans	promoting reduced deforestation supply chains in the IAP target countries and globally	Paraguay, Brazil, Indonesia and Liberia), approved by the child project agency leads, showing support provided by global projects and evidence of cross fertilization among child projects	child project agency leads, showing support provided by global projects and evidence of cross fertilization among child projects	countries do not significantly affect the execution and sequencing of key deliverables
	Establishment and effective functioning of the Global Impact Platform	A Global Impacts platform does not exist	Technological infrastructure is in place and research documents are uploaded	Platform is a leading repository of research documents, which is widely used	
	# of knowledge products to share IAP insights and learnings	0		At least one publication to assess the impacts of increased demand and transactions on the level of sustainable production and vice versa in the 4 IAP target countries, as well as at least 2 shorter information briefs on other issues (such as gender and resilience)	

<p><b>Support to Production:</b> Encourage sustainable practices for oil palm, beef and soy production while conserving forests and safeguarding the rights of smallholder farmers and forest-dependent communities"</p>	<p>Number of new partnership mechanisms with funding for sustainable management solutions of natural resources, ecosystem services, chemicals and waste at national and/or subnational level.</p>	<p>Two national green commodity platforms (in Indonesia and Paraguay)</p>	<p>Three national commodity platforms created / strengthened and four sub-national platforms established</p>	<p>Established platforms have legally established Action Plans and financing support via public private partnerships</p>	<p>Platforms and action plans fully incorporate the objective of, and provide effective support for, reduced deforestation commodity production</p>
	<p>Number of hectares of HCV and HCS forest areas in commodity-producing landscapes protected through zoning, or similar legal protections</p>	<p>0 ha of HCVF and HCS covered</p>	<p>230,000 ha of HCVF and HCS covered</p>	<p>1 million ha of HCVF and HCS covered</p>	
	<p>Capacities of landscape-level enabling environment for reduced deforestation commodity production and methodology for measuring same</p>	<p>No systematic way of measuring enabling environments to support reduced deforestation commodity production</p>	<p>Scorecard methodology developed and baseline capacity assessment completed for nine production landscapes covering x million ha</p>	<p>20% improvement in landscape-level enabling environments, as measured by scorecard</p>	
<p><b>Responsible Demand:</b> To strengthen the enabling</p>	<p># companies engaged in project activities that are making new</p>	<p>0 ("new" commitments =</p>	<p>Year 2: 8</p>	<p>Year 4: 18</p>	<p>Commitments that are made</p>

environment and public and private sector demand, for reduced-deforestation commodities in priority markets	commitments to source reduced deforestation palm oil, soy, and/or beef	those made within project period)			after company's engagement in project activities are influenced by and at least partly attributable to project activities
	# countries with improved policy frameworks in place to support reduced deforestation commodity markets, due to project activities	0 (progress related to project will be measured)	Year 2: 1	Year 4: 6	Engagement and capacity building activities with government ultimately lead to policy change beyond the project term, and create the enabling environment to catalyze further change including increased demand due to reduced barriers
	% consumers who state they are willing to change their purchasing habits to sustainable	Baseline for each city TBD by Indonesian communications	Year 2: TBD after baseline known	Year 4: TBD after baseline known	Consumers act in accordance with their stated willingness to



	palm oil	firm once hired. For reference: 14% respondents from RSPO-Daemeter study prioritize products with environmentally-friendly logo when shopping; 27% are ready to support and shift to sustainable palm oil products, if available			do so
	Number of countries where supply chain transparency is increased using version three of the SEI-PCS method and made available to global supply chain actors through project activities	0	Year 1: 5 Year 2: 30	Year 3: 45 Year 4: 60	Platform data needs are met enabling supply chain mapping  Users find value in the information presented and are able to use it for decision-making

<p><b>Enabling Transactions:</b> To strengthen the financing environment for sustainable commodity production through the design and pilot of sustainable commercial transactions and risk management tools</p>	<p>Level of commercial transactions of new investment per year</p>		<p>By 2018, the program has supported the development of 5 transactions totaling up to USD50 million in three of the four target countries</p>	<p>15 transactions totaling a minimum of USD100 million in all four target countries</p>	<p>Stable macroeconomic conditions in the four target countries conducive to lending into the agribusiness sector</p>
	<p>Level of funds (loans and investments) subjected to enhanced deforestation risk policies</p>		<p>By 2018 the program has supported the screening of USD50 million investments/ loans for deforestation risks in three of the four target countries</p>	<p>The program has supported the screening of \$100 million investments/ loans for deforestation risks in in all four target countries</p>	<p>Stable macroeconomic conditions in the four target countries conducive to lending into the agribusiness sector</p>

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## **ANNEX I: PROGRAM GENDER MAINSTREAMING STRATEGY AND ACTION PLAN**

### **1. Introduction**

**Overarching objective: to guide actions taken across the components of the IAP Program to ensure that gender mainstreaming is adequately addressed throughout implementation.**

1. In order to promote inclusive and sustainable development, women and men must both act as catalytic agents of change and as equal partners. This Program Gender Mainstreaming Strategy and Action Plan was developed with the recognition that for natural resource management and conservation initiatives to be successful, benefits must accrue to all members of society, including women.
2. Gender mainstreaming is defined as "the process of assessing the implications for women and men of any planned action, including legislation, policies or programs, in any area and at all levels. It is a strategy for making women's as well as men's concerns and experiences an integral dimension in the design, implementation, monitoring and evaluation of policies and programs in all political, economic and social spheres so that women and men benefit equally and inequality is not perpetrated. The ultimate goal is to achieve gender equality."<sup>40</sup>

#### **Role of women in Palm Oil, Beef and Soy Supply Chains:**

3. Women comprise a large proportion of the agricultural workforce (an average of 43% for developing countries, though this figure varies greatly between countries and regions). There are many differences between women and men with regard to roles, responsibilities and needs in the agricultural production and trade sectors and substantial inequalities that persist in terms of access to resources, labor conditions, rights, representation in decision-making, vulnerability to changes in the environment, and others. Women tend to work on smaller farms, keep fewer livestock, have greater workloads, use less credit and other financial services, have less education, and have less access to agricultural information and to inputs such as fertilizers, improved seeds and mechanical equipment (FAO 2011). They are also more likely to be employed in part-time seasonal and low paying jobs and receive lower wages for the same work.

#### **Gender issues in the oil palm supply chain**

4. While there has been insufficient research on the subject to fully understand the positive and negative impacts of the expansion of oil palm plantations on women, existing studies have raised concern that women are not benefitting in the same ways that men are. A study in West Kalimantan, Indonesia found that increased area under oil palm was leading to the loss of land for subsistence farming of rice and vegetables, reduced income from rubber trees, and a decrease in female landholders as a result of the

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<sup>40</sup> ECOSOC, Agreed Conclusions 1997/2

registration of smallholder oil palm plots in husbands' names. Women have also been found to have lesser access to agricultural inputs and financing, which is associated with lower productivity and earnings. Other studies have found that women are often hired as informal plantation workers with lower job security and incomes. Health concerns have also been cited due to high exposure to pesticides with insufficient protective equipment; long work hours in combination with women's domestic responsibilities; and increasing levels of prostitution, domestic violence and sexually transmitted diseases when men's income has risen from oil palm earnings. Indigenous Dayak women appear to be particularly vulnerable to the negative impacts associated with land tenure regulations and contracted labour. Results will soon be available from a research project on gender and oil palm in Indonesia that is part of the USAID-funded project on 'Economic Choices and Trades to REDD+ and low Carbon Investment in Asia', which is assessing how different modalities of oil palm implementation, including state-sponsored, private and smallholder schemes, impact women and men's work terms and conditions, access to land and distribution of benefits.

### **Gender issues in the soy supply chain**

5. Women form a minority in the soy production chain and that there are few female women-producers or managers (some sources estimate that women make up 10% of soy producers in Brazil<sup>41</sup>). This may affect overall market effectiveness, as there are indications that women are more inclined to implement best management practices when compared to their male counterparts and to be more active in their communities<sup>42</sup>. Less access to resources, technologies and socio-cultural issues often lead to reduced productivity for female farmers, including those involved in the soy supply chain. Further research is required on women's participation in the soy sector, the identification of inequalities, such as with regard to asset ownership and allocation of crops, labour allocation, decision making and income control. There is ongoing work to identify actions to address these issues. For example, an initiative to help women become certified under the Roundtable for Sustainable Soy has been met with enthusiasm.

### **Gender issues in the beef supply chain**

Although the beef sector is a generally a more male dominated industry in Latin America, both men and women play important (though sometimes different) roles in beef and dairy value chains and in dual production systems. For example, a study found that in Nicaragua, women are involved in 14 out of a total of 24 dairy value chain activities<sup>43</sup>. However, the contribution of women is not sufficiently taken into consideration in part because some of this work is unpaid. Women face certain barriers in terms of access to and control over productive resources (land and cattle) and generally have less access to training opportunities<sup>44</sup>. In addition, there are time and labour issues related to women's additional responsibilities

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<sup>41</sup> WWF Blog--Women are the future of responsible soy

<sup>42</sup> WWF Blog--Women are the future of responsible soy

<sup>43</sup> International Centre for Tropical Agriculture (CIAT), 2015. Accessed at <http://dapa.ciat.cgiar.org/including-gender-in-nationally-appropriate-mitigation-actions-namas-in-the-cattle-sector-in-latin-american-countries/>

<sup>44</sup> Gumucio T, Mora Benard M. A., Twyman J, Hernández Ceballos M. C. 2016 Género en la ganadería. Consideraciones iniciales para la incorporación de una perspectiva de género en la investigación de la ganadería en Colombia y Costa Rica. Documento de trabajo CCAFS no. 159. Programa de investigación de CGIAR en Cambio Climático, Agricultura y Seguridad Alimentaria (CCAFS). Copenhagen, Dinamarca.

for household and reproductive work. Research on gender and livestock is relatively new and is being carried out to tailor interventions in such a way that both men and women can benefit.

## **2. Main Principles of Gender Mainstreaming Strategy and Action Plan:**

A) Adoption of human-rights approach to gender

6. The Gender Mainstreaming Strategy and Action Plan (GMSAP) will ensure the adoption of a human rights-based approach to gender, which implies “recognizing and addressing the underlying and/or immediate causes of women’s and men’s human rights violations, challenging structural constraints to the equal rights and choices of women and girls, and putting in place appropriate policy and programmatic responses in line with human rights principles. It also calls for the participation of marginalized, disempowered and discriminated groups of women and men in decisions that affect their livelihoods and overall sustainable development and for their engagement in monitoring their equal enjoyment of social benefits derived from development”<sup>45</sup>.

B) Equal rights, access to and control over natural resources and services between women and men, respecting women’s and men’s equal rights in accordance with customary, national and international human rights laws

C) Equal voice and agency between women and men, ensuring equitable participation and decision-making and leadership

D) Equal access to and sharing of benefits among women and men, ensuring comparable distribution of project and program benefits between women and men

E) Empowerment of women to contribute to the achievement of IAP, including increasing women’s access to economic opportunities, as well as to rights and access to environmental goods and services related to the IAP.

### **Alignment with UNDP and GEF Gender Strategies**

7. The UNDP Gender Equality Strategy identifies various entry points within the UNDP Strategic Plan 2014-2017 for furthering gender equality and women's empowerment. Specifically, for Outcome 1, "Growth is inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded", UNDP will support partners to ensure gender responsive governance of natural resource management. Support to sustainable production, for example, will ensure that the training to support agricultural intensification reaches out to female farmers so that growth is inclusive. The UNDP Strategy underscores the need to integrate gender concerns at all stages of the program/ project cycle so this issue is being considered during the project preparation phase, it will be integrated during Program implementation and will be assessed in Program Steering Committee meetings and child project evaluations. This GMSAP is also aligned with the gender strategies of WWF, IFC and CI, as detailed further in Section 3.

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<sup>45</sup> UN-WOMEN, « Gender mainstreaming in development programming », 2014.

8. The GEF Gender Mainstreaming Policy calls for the identification of gaps in equality through sex-disaggregated data, monitoring results through sex-disaggregated indicators, conducting gender assessments, development of strategies and policies to close gender gaps, devoting resources and strategies for the implementation of these specific strategies, and holding individuals and institutions accountable for outcomes that promote gender equality. All of these elements have been taken into consideration in the IAP Program through the inclusion of sex-disaggregated data in the Program Results Framework that will be regularly monitored, gender assessments that were conducted during the PPG phase and that will continue to be conducted at the outset of the Program, the designation of human and financial resources for gender mainstreaming by each child project and reporting on gender mainstreaming through Program Steering Committee meetings, among others. The GEF recommends that gender be mainstreamed in all operations including efforts to analyze and address the specific needs and roles of women and men as appropriate to each intervention.

### **3. Implementation and resourcing of Strategy and Action Plan**

4. UNDP, WWF, CI, UNEP and IFC will implement this Strategy and Action Plan throughout the duration of the Program through the project level interventions and will adjust the gender mainstreaming actions as necessary. Each child project will ensure that the necessary human and financial resources are allocated to ensure gender mainstreaming throughout project implementation and each project is encouraged to track these human and financial resources. Annual workplans will include specific actions related to gender mainstreaming. Program Steering Committee meetings will include a discussion on the extent to which gender mainstreaming is being achieved. All Implementing Agencies for this IAP have in-house gender expertise to provide support and will ensure that the Terms of Reference of project staff include gender mainstreaming. It should be noted that the production project may allocate some funding for an international consultant to provide support for gender mainstreaming at the global and country levels.

### **4. Program-level sex disaggregated and gender responsive indicators**

5. The Program-level gender disaggregated indicators that have been included in the Program Results Framework include the following:

- i) Number of direct and indirect Program beneficiaries, disaggregated by gender
- ii) Learning on gender mainstreaming through this IAP (as measured by # of project documents, publications, training materials and presentations that include a discussion of gender issues)

6. In addition, the individual child projects have included sex disaggregated and gender responsive indicators as detailed in section 5 below, related for example, to the number of policy proposals developed/taken up by policy makers that are gender sensitive; the number of women and men participating in the forum meetings; and the number of farmers (women and men) and extension service staff (women and men) trained in sustainable management practices and low carbon agricultural practices.

### **5. Summary of main elements of IAP Gender Mainstreaming Strategy and Action Plan**

7. A gender analysis was carried out to inform the development of this Integrated Approach Pilot (IAP) and will continue to be reviewed and adjusted during Program implementation. This analysis led to an increased understanding of baseline gender differences, needs, priorities, challenges, and barriers in the Program context both at the national and global levels; development of methodological approaches to address gender issues during project implementation and inclusion of gender issues in specific child project interventions; incorporation of gender issues in the IAP monitoring and evaluation system; and allocation of human and financial resources to ensure gender mainstreaming.

8. Detailed information on each of these aspects is provided in section 3, which describes the gender mainstreaming strategies of each child project. However, to summarize the key elements, the gender analyses carried out during the PPG phase gathered information on gender differences related to the commodities supply chain, including reduced productivity of female-led farms due to differential access to inputs. Issues such as gender differences in terms of access to resources, such as land, livestock and financial services, were examined as well as legal rights and land tenure issues that may act as a barrier to increasing productivity for women. Other issues such as the gender division of labour and differences in availability of time were also factors that were assessed. Participatory project design workshops were carried out for all the child projects that included participation of women and women's groups to ensure that women's voices, needs and priorities would be heard during the Program design stage.

9. The gender mainstreaming strategies that were developed by the child project during the Program preparatory phase have informed the Program-level theory of change in terms of how the adoption of a gender-responsive approach will contribute to the IAP Program's objectives of taking deforestation out of the commodity supply chains for palm oil, beef and soy. Specifically, by ensuring women's contribution to sustainable supply chains and their participation in this IAP programs, sustainable production, demand and financing systems supported by the Program will be more sustainable because they meet the needs of both women and men. In addition, by incorporating a gender lens in the actions being carried out by the individual child projects, the IAP will promote greater gender equality and women's empowerment (for example, by improving equal access to and use of opportunities for sustainable production and improved access to markets, resources or participation in decision-making). Each child project is taking into consideration how anticipated outcomes of the IAP may affect women and men differently and striving to include interventions that will help to reduce gender gaps and strengthen the overall achievements of the IAP Program. Further analysis will be carried out at the onset of IAP Program implementation.

10.

11. This baseline information (which will continue to be built upon at the beginning of project implementation) led to the development of project interventions that take into consideration these issues (for more detail see Section 5). In the production child project, the composition of platforms will ensure gender balance and coverage of gender issues; gender-based analysis of policy proposals as appropriate will be carried out; farmer needs assessments and support strategies will be based on analysis of women's roles and needs; women's representation in planning decisions will be ensured; and a study analyzing the gender gap will be carried out. In Brazil, gender equality will be taken into consideration when sourcing staff and consultants; training courses will be gender responsive in terms of participation, instructional design, and use of language; possible barriers to women's participation in project activities will be removed; and women's groups will be supported with technical advice, among others.

12. With respect to stimulating more demand for reduced deforestation commodities, the project Team will integrate gender dimensions in the work with buyers and traders (e.g., by including gender dimensions in buyer/investor trainings) and will include gender considerations when supporting the development of national standards. The messaging and communications outlets produced for the

consumer campaign strategy to be piloted in Indonesia will target women, who are the main palm oil users.

13. To promote financial transactions that support sustainable production, outreach and training workshops, case studies and curricula will take into account gender sensitivities and proactive outreach to women, and any proposed re-alignment of legal and trade frameworks will recognize and adjust for impacts on vulnerable populations, including women. Knowledge management will also promote learning on gender mainstreaming. As such, there will be some Program or project-level think pieces or publications that address gender issues; the Global Community of Practice will include a discussion of gender issues among practitioners, and Program partnerships will be developed with organizations working on similar issues through a gender lens.



## 6. Gender Mainstreaming Actions across the IAP Program

### a) Adaptive Management & Learning:

14. A gender analysis for this IAP was carried out, which included background research and thematic working group discussions with child project agency leads on how gender mainstreaming will be achieved throughout this IAP. The A&L project will incorporate gender considerations in all the proposed Outputs and Outcomes, as described in the following paragraphs.

15. With regard to the Program coordination and Program governance structure, efforts will be made to ensure representation of both men and women on governing bodies such as the Steering Committee and the External Advisors, as well as in terms of Program staff within the Secretariat (including its global coordination structure and child project agency-level work) so that equally qualified women are considered. Regular feedback loops for adaptive management that will be managed by the Global Program Coordinator will provide the opportunity for the effectiveness of gender mainstreaming to be assessed and reported upon to the Steering Committee, and for corrective actions to be taken if and when necessary.

16. Monitoring and Evaluation will include sex-disaggregated Program-level indicators, which have been included in the Program-level Strategic Results Framework. These indicators will enable regular tracking of the IAP impact as it relates to gender. In addition, gender-related indicators have been included in the A&L child project (i.e., # of info briefs, articles and publications on IAP that are produced to share IAP insights and learnings, with the target including at least one briefing on gender).

17. Knowledge management activities will explicitly include the capture of learnings from organizations analyzing or focused on gender issues as they relate to agricultural commodity production, climate change and forest issues. For example, the IAP will learn from organizations such as WOCAN (Women Organizing for Change in Agriculture and Natural Resource Management) as to how to better integrate consideration of women's issues in agricultural interventions and to measure the benefits being experienced by women. Organizations such as WEDO (Women Environment and Development Organization) and GGCA (Global Gender and Climate Alliance) could impart learnings to the IAP as to how to address climate change through gender-responsive strategies and programs, and could also share some of their practical tools, information, and methodologies to help integrate gender into programs and policy. Knowledge management activities with the other two GEF-funded IAPs will include sharing of experiences and lesson learning concerning the implementation of gender mainstreaming strategies and the integration of gender in program M&E.

18. The Global Community of Practice to be established for this IAP may specifically include thematic discussions on gender and convene expert organizations to present to participants (which could link to the efforts of the GEF Gender Partnership). The project will therefore seek the participation of organizations that have incorporated a gender lens in their work on deforestation and commodity production or more generally agricultural production, climate change and forests. Furthermore, it should be noted that the implementation of the IAP Partnership Strategy at a global level will reach out to organizations incorporating a gender perspective in order to benefit from expert guidance on this issue and innovative thinking. The Program-level Communications work will ensure that the information that is disseminated through the Program website, articles, publications, and speaking events includes specific pieces that address the issue of gender mainstreaming in this IAP.

19. A number of VSS address gender equality and women's empowerment in a variety of ways within their VSS systems, including as explicit requirements in the Principles & Criteria, as indirect benefits of other Principles & Criteria, in monitoring and reporting requirements (through gender-disaggregated indicators), and through inclusion of women in leadership roles in the standard organization. WWF and ISEAL have conducted baseline assessments of the various ways VSS address gender-related issues, and both encourage additional research on the social and gender impacts of VSS, which will be disseminated through the Impacts Platform that will be established with this project. ISEAL has developed and published a gender research agenda that documents key questions in commodity agriculture and forestry that should be further investigated with regards to gender empowerment and equality. This research agenda will be used by ISEAL to drive research that will support learning and improvement of VSS and VSS-like tools on the topic of gender. Gender will be one of the keywords or filters by which studies on the Impacts Platform can be easily searched, and a meta-analysis on the topic of gender will reveal cross-cutting findings from various VSS and implementation contexts, which can be used to improve VSS and related mechanisms based on lessons learned.

20. As per UNDP requirements, a gender marker has been assigned to the A&L child project, which corresponds to GEN2 (a "gender mainstreamed initiative"), meaning that "gender equality is not the main objective of the expected output, but the output promotes gender equality in a significant and consistent way". This implies that a gender analysis has been carried out, that there will be changes related to women's equality, and that indicators have been included to measure this change. Using the gender results effectiveness scale, the project is considered "gender responsive". The environmental and social screening tool also describes how gender issues will be addressed during project implementation.

#### **b) Support to Production:**

21. Integration into the project design of issues related to gender equality and women's empowerment is summarized in Table 1 below:

**Table 1: Integration of gender equality and women's empowerment into project design, by component**

<b>Component</b>	<b>Issues / barriers</b>	<b>Design response</b>
1. Dialogue, action planning and public private partnerships	<ul style="list-style-type: none"> <li>Women's voices, perspectives and interests tend may be under-represented in decision-making</li> </ul>	<ul style="list-style-type: none"> <li>The composition of national and sub-national commodity platforms will be designed to ensure gender balance and coverage of gender issues (relevant Ministries, NGOs, etc)</li> </ul>
2. Production policies and enforcement	<ul style="list-style-type: none"> <li>Policies may not to be geared to addressing challenges that are predominantly facing women</li> </ul>	<ul style="list-style-type: none"> <li>Gender-responsive analysis of policy proposals as appropriate</li> </ul>
3. Farmer support systems	<ul style="list-style-type: none"> <li>Despite their often important role in the commodity production supply chain, women may not benefit commensurately from development co-operation</li> </ul>	<ul style="list-style-type: none"> <li>Farmer needs assessments will take care to identify sex-disaggregated roles and needs</li> <li>Farmer support strategies will be based on a thorough analysis of women's roles in the agricultural economy</li> </ul>

	<p>efforts</p> <ul style="list-style-type: none"> <li>• A persisting gender gap means that women’s comparative lack of access to agricultural inputs, etc. has a significant impact on productivity within the sector</li> </ul>	
4. Land use planning	<ul style="list-style-type: none"> <li>• Women are under-represented in land use planning and zoning discussions</li> <li>• Planning may not take account of differential benefits related to ecosystem services, e.g. where women’s labour related to firewood collection may go ‘uncounted’</li> </ul>	<ul style="list-style-type: none"> <li>• Women’s representation in planning decisions will be ensured</li> <li>• Landscape-level planning will take full account of the stock and flow values of natural capital, including the many elements which remain outside of the market economy and tend to affect women and vulnerable groups</li> </ul>
5. Knowledge management and M&E	<ul style="list-style-type: none"> <li>• Gender differences are not always considered in analysis of sustainable commodity challenges and interventions</li> </ul>	<ul style="list-style-type: none"> <li>• A study analyzing the gender gap (see Component 3) as it affects the target countries and commodities and of lessons learned through project efforts to remove this barrier</li> </ul>

22. In Brazil, in order to get a better understanding of the position and role of women, or the lack of it in the agribusiness sector, a more detailed gender assessment will be carried out in one or two of the focal regions. The purpose of this assessment is to understand the participation of women in the sector, the identification of possible inequalities or processes that produce inequalities, actions to revert those processes and indicators to monitor impacts of the present initiative on gender equality. Some indicators may be already available in the national gender information system – for example, the relation between average income of women and average income of men per municipality – others may need specific data gathering. In addition to the role or position of women in agribusiness economies, the gender assessment, should also produce information about the position or role of women in smallholder agricultural production communities and traditional economies, such as the babaçu-nut breakers and provide information about how women can be empowered. Independent from this gender assessment and the recommendations with respect to the empowerment of the position of women, the following principles will be applied:

- Gender equality will be taken into consideration when sourcing staff and consultants (in terms of gender parity);
- Gender issues will be explored in general in order to ensure that project staff and partners recognize that the needs of women and men may not be the same and that the impact of the IAP Program on them may therefore be different;
- Training courses will be gender responsive in terms of participation, instructional design, and use of language;
- Participation in meetings, training courses and other events will be documented using sex disaggregated data;
- The role that women do and can play in project activities will be promoted and the project will strive to remove possible barriers to their full participation and involvement in decision-making through consultation with women and women’s groups and the preparation and dissemination of information targeted to women;
- Women’s groups will be supported with technical advice.
- Gender specific customs, taboos and time constraints will be investigated when relevant.

23. The following indicators will be measured in Brazil: Number of policy proposals developed/taken up by policy makers that are gender sensitive; Number of women and men participating in the forum meetings; Number of farmers (women and men) and extension service staff (women and men) trained in sustainable management practices and low carbon agricultural practices.

**c) Responsible Demand:**

24. The project team designed the Responsible Demand Project in such a way as to assess, to the extent possible, potential impacts of the project on gender equality and gender equity. It is the aim of the Project to ensure that potential negative impacts on women and men are addressed, as well as to identify and use opportunities to reduce gender inequities. Social sustainability, including gender equity, is essential to achieving sustainable commodity supply chains.

25. Along with ensuring consistency with the Gender Equality Strategy set out by UNDP, the Responsible Demand Project will also align with WWF policy and practice on gender and conservation. WWF Global Network Policy on Gender was instituted in 2011 to ensure that its conservation policies, programs, and activities benefit women and men equally, and contributes to gender equity as part of a broader commitment to strengthening the social dimensions of its projects and programs. As the WWF Network Policy on Gender underscores, lasting success in conservation and natural resource management is only possible when it is sustained by, and benefits, the women and men concerned and involved.

26. Building on WWF Global Network Policy on Gender, MTI has been exploring the role of sustainability standards and certifications in driving improvements in women's rights and empowerment in commodity production, as well as the effectiveness of these tools as mechanisms for improving livelihoods of producers and indigenous peoples. MTI has developed a set of social indicators to track such issues at a high level and has drafted an analysis of how standards address gender issues. MTI plans to continue its involvement in this space by engaging with ISEAL on a research agenda for gender issues relevant to standards, and by hosting a workshop to discuss findings with standards and other stakeholders.

27. To inform project design and ensure gender integration throughout the project cycle, kick-off workshops were conducted that included a balanced participation of women and men, with special consideration of the role and potential impact to women under Components 2 and 3 of the Demand Child Project (see below). Project team discussions, outcomes from these kick-off workshops as well as consultancy with a gender expert informed the following gender entry points. To maximize the impact from identified gender entry points, the following activities will be done during implementation, with an underlying understanding that adaptation and improvement should guide the process:

28. **Project Component 1.** Project Component 1 builds awareness, capacity and opportunities for collective action among buyers, traders and investors in South East Asia and Latin America with a focus on building corporate and financial commitment to reduced deforestation sourcing. This component will integrate gender dimensions into buyer and investor trainings through specific gender tutorials, and will encourage adoption of environmental, social and governance (ESG) and/or corporate social responsibility (CSR) policies that promote gender equity on the ground. Gender-specific tutorials will be developed and informed by a gender analysis that will take place during project implementation. The gender analysis will identify potential positive impacts to women, sustainable supply chains, and broader benefits to investors, companies, policy makers and consumers. In addition to promoting gender equity through ESG and CSR policies, there is room to promote gender mainstreaming practices within the buyer and investor operations themselves by revealing the benefits associated with the presence of women in management

and decision-making roles. The potential impact of Component 1 is gender mainstreaming in major buyer supply chains. Throughout the project cycle, the corporation/investors strategies will be adapted based on annually updated findings through the M&E plan (see below).

29. **Project Component 2.** Project Component 2 builds awareness and capacity for policy makers in the West Africa, Southeast Asia, and Paraguay to incentivize reduced deforestation demand for palm oil and to encourage demand country governments to commit to and adopt policies that incentivize reduced-deforestation sourcing. Engagement with policy makers, including any recommendations towards mainstreaming gender, will be screened through the WWF Gender Policy, with impacts to women and men considered. In addition, the project will conduct a study on the present situation of gender policies in and across the target countries, and will produce recommendation to address gaps or obstacles to achieving gender equity. Findings and recommendations from the gender study will then be presented to relevant policy makers and stakeholders during project implementation as relevant.

30. More specifically, the Demand Child Project will include gender considerations when assisting in the development of national standards. National interpretations of standards can provide greater transparency and social assurance for agricultural activities within varying environmental and social contexts; therefore, addressing gender within the national context specifically offers potential for increased local and regional positive impacts at certified sites. Some examples of gender related requirements within national standards are: an anti-discrimination criterion (with indicators that include equal access to all jobs, equal wages, and a process to report gender specific discriminatory practices); avoidance of the preparation and application of pesticides for pregnant and nursing women; and maternity/paternity leave. This will largely be applied to UNDP's development of a national interpretation of the Global Roundtable of Sustainable Beef (GRSB) in Paraguay.

31. In addition, the Demand Child Project will include gender considerations when helping establish TFA principles in Sierra Leone and in regional West Africa (including Liberia). While TFA principles do not currently include gender considerations, recommendations from the gender study described above will inform this work.

32. **Project Component 3.** Project Component 3 focuses on the Indonesian consumer and aims to build awareness for Indonesian consumers through media outlets on the benefits of reduced deforestation palm oil and the negative impacts of unsustainable palm oil and oil-palm based products. A gender-sensitive consumer campaign will be rolled out across three major cities in Indonesia. A professional communications firm will be contracted to undertake the work.

33. The Demand Child Project will begin with an analysis of the present consumer base in Indonesia by conducting public, gender balanced focus groups and surveys. Focus groups will ensure representation of both women and men. The results of the analysis will inform the consumer campaign. By possessing a clear understanding of what is most important to the women and men interviewed and surveyed, the campaign will be successful in helping to shift consumer attitude toward sustainably produced palm oil. As women are the primary users of palm oil for cooking, components of the messaging and communication outlets produced will be geared to women specifically. The consumer campaign will also, directly and indirectly, shine a spot light on the importance of the female voice both in the production and consumption of sustainable palm oil.

34. **Project Component 4.** Under Component 4, the Demand Child Project will strengthen transparency and decision support tools for companies, investors, policy makers, and consumers targeted in Components 1-3. Component 4 has limited relevance and opportunity to advance gender mainstreaming. However, traceable supply chains have the potential to indirectly benefit women and men,

as transparency at every level means increased opportunities to address the labor environment, human rights issues, and gender integration.

35. **M&E.** M&E efforts under Component 5 will ensure gender is incorporated throughout project implementation, within Components 1-4 listed above. To ensure gender is considered throughout the complete scope of the project, the M&E plan will include gender indicators incorporate gender disaggregated information.

36. Indicators related to the Indonesia consumer campaign include the following:

- Objective level: Percentage of consumers who state they are willing to change their purchasing habits to sustainable palm oil;
- Outcome level: Percentage of consumers who associate palm oil with negative environmental impacts related to deforestation.

37. Both indicators will be disaggregated by gender. M&E data will pay particular attention to awareness and purchasing changes amongst women, with this data interpreted through a gender perspective by the professional communication firm undertaking this work. With assistance from gender experts as necessary, the communication firm will adjust the strategy accordingly.

38. In addition, the Demand Child Project will track gender at the output level through the following indicator:

- Number of gender-specific tutorials conducted with buyers or investors.

#### **d) Enabling Transactions:**

39. Men and women use forests and forest resources differently, to successfully design and implement programs aimed at reducing deforestation those measures must be informed by gendered analysis of the forestry sector ([http://www.itto.int/files/itto\\_project\\_db\\_input/3047/Technical/Rapport\\_Liberia\\_FINAL\\_Mai14.pdf](http://www.itto.int/files/itto_project_db_input/3047/Technical/Rapport_Liberia_FINAL_Mai14.pdf)), hence in a project aiming to slow the growth of deforestation linked commodities, gender must be taken into account.

40. Gender inclusiveness will be ensured with respect to outreach and training workshops, and selection of case studies. Curricula will be designed to take into account gender sensitivities and proactive outreach to women.

41. Proposed re-alignment of legal and trade frameworks will recognize and adjust for impacts on vulnerable populations and especially women.

42. IFC is in the process of working on a potential approach on gender in agricultural supply chains with Ergon Associates, a UK-based consulting firm with significant experience in agricultural value chains and the labor dimensions. This work will be completed in September or October 2016 and we will then look to use findings from that work to build out a more robust gender strategy for this work.

## **7. Adaptive management related to gender mainstreaming during Program implementation**

43. It is important to note that actions to ensure gender mainstreaming will be informed by adaptive management and adjusted as necessary. Through various Program-level feedback loops, there will be regular communication of the virtual IAP Secretariat consisting of the Global Program Coordinator, Global Knowledge Management Coordinator, Global Communications Lead and global child project leads as well as regular nationally-focused meetings of child project agencies. The Global Program Coordinator will produce biannual reports to the Steering Committee that will identify any issues requiring adaptive management, based on inputs from the IAs. This will include an assessment on the level of effectiveness of gender mainstreaming in each child project.

44. The inclusion of sex-disaggregated Program-level indicators and annual reporting on these through the Program-level Results Framework will also facilitate ongoing monitoring of the degree to which women and men are benefitting from the IAP Program and can facilitate adaptive management as necessary.

45. All child projects under the Program will carry out further gender analyses at the onset of project implementation to gather more location-specific detail on gender-related issues, which will further inform project implementation.

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## **ANNEX J: PRINCIPLES OF COMMUNITY OF PRACTICE**

### **Global Community of Practice for Commodities Integrated Approach Pilot**

#### **Purpose:**

To support South-South learning, cooperation, and networking among a broad array of practitioners with regard to the most effective set of interventions to reduce deforestation in global commodity supply chains and to promote replication.

#### **Niche:**

This interface with practitioners and producers is a particular niche that is not being addressed by existing global or regional platforms. For example, it is distinct from the Tropical Forest Alliance 2020, which does not have this particular focus on practitioners. Close coordination will be maintained with existing platforms to avoid any overlap.

#### **Principles of the Global Community of Practice:**

- Opportunity to share lessons learned and promote replication of IAP best practices with practitioners across countries in the South;
- Opportunity to test models and ideas with practitioners and producers where the IAP agencies or our partners are innovators;
- Provide a platform where Southern governments and organizations can share their experiences and lessons learned from initiatives that complement the IAP work;
- a mechanism to bring in external partners to broaden the sharing of knowledge and experience beyond direct Program partners with the wider commodity community;
- a mechanism to facilitate networking and to cement partnerships and collaboration both within the IAP itself as well as within the wider community that is tackling deforestation;
- an opportunity to promote learning on key IAP themes;



- an opportunity to promote the UNDP/GEF IAP with a broad array of practitioners in the field. This Community of Practice will be a flagship activity of the IAP to construct its position globally on commodities and to strengthen the identity and branding of the IAP;
- an opportunity to maximize the synergies and impacts of different interventions of key stakeholders.

### **Cost sharing among A&L project and other child projects**

The A&L child project will be responsible for organizing two Community of Practice events over the course of the 4-year IAP. These may be separate events or timed alongside other global events (to be determined as part of the COP preparations). This includes all workshop organization costs, such as renting a venue, hiring an MC, refreshments and meals, field trips, etc. The A&L project would also fund the participation of stakeholders who are working on cross-cutting issues, budget permitting.

The A&L child project will fund the participation of the IAP Global Coordination Structure, including the Global IAP Coordinator, the Global Knowledge Management Lead, and the Global Communications Lead. The IAP would also strive to bring in 2-3 high-level IAP "Ambassadors".

It is up to the child projects to determine who will attend (this could include child project managers, child project KM leads, Steering Committee members, etc.) and whether or not to fund the participation of key executing partners and stakeholders working on issues particular to their work.

The participation of the national focal points in the COP events would be funded by UNDP for Indonesia and Paraguay and by CI for Liberia and Brazil. In addition to the two Community of Practice events, the A&L project would also fund regular discussions through social media, the Program website, webinars, etc. to support ongoing dialogue among practitioners to advance learning and cooperation on these issues. This will allow learning on a variety of issues, as the two face-to-face events would not provide sufficient time to cover the different proposed themes.

### **Possible Themes for the COP (to be agreed upon during Program implementation)**

*Cross-cutting issues such as:*

- gender and resilience;
- how increased demand for reduced deforestation production can influence production on the ground and vice versa (i.e., how increased sustainable production can affect demand by making it 'safer' to make commitments to source sustainably);
- to what extent changes in finance affect reduced deforestation production;
- the relationship of changes in finance to changes in demand, and vice versa in terms of whether increased reduced deforestation commitments would affect banks' policies.
- findings that will emerge from the IFC/WWF research piece on the impacts of Voluntary Sustainability Standards and other similar standards;
- assessment of information management and transparency and the most effective way of scaling up existing tools;
- jurisdictional approaches, including, among others, CI's work on benchmarking jurisdictions and the extent to which this is valuable for different groups;
- farmer finance
- Public Private Partnerships for farmer support
- Role of platforms
- Constructively engaging with different levels of government to promote sustainable production, bring about appropriate policy reform and carry out land use planning to balance sustainability and conservation with economic growth aspirations;
- Linking smallholders with markets;
- Engaging with the private sector to help them make and meet commitments, including large buyers and traders;
- Working effectively with banks so that there is more financing and economic incentives for sustainable production and less for unsustainable production;
- Making a multi-agency consortium work so that it is coordinated effectively and brings on board additional partners;
- New thinking on issues such as landscape approaches or the role of technology in reducing deforestation.

**Who to invite to Global Community of Practice:**

Note that the Monitoring of Evaluation of the IAP Program will feed in information on the interlinkages among production, demand and transactions but will be insufficient for a well-developed understanding. It will therefore be important to bring in other practitioners through the COP events to further elucidate these issues. This also applies for the other themes to be explored among practitioners to facilitate South-South learning (see list above).

The following target audiences will be invited to the two scheduled Global COP events and to participate in ongoing activities and engagement through the COP:

- Practitioners in Indonesia, Liberia, Brazil and Paraguay, which could include governments, and local NGOs and others.
- Program partners will be invited to bring in their practitioners; this could include bilateral agencies like Norway, for example.
- We could also invite stakeholders who are working on cross-cutting issues (e.g., Climate Advisors) in terms of how to improve global deforestation free or reduced deforestation commitments to increase sustainable production. These would serve a resource people/ experts to contribute to the capacity building of participants on different themes.

The A&L project plans to develop a database of members of the COP so that engagement with practitioners can be targeted to their interests.

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## **ANNEX K: PARTNERSHIPS FRAMEWORK FOR COMMODITIES IAP PROGRAM**

### **Stakeholders and Partners**

- 1 Background
- 2 Stakeholders
- 3 Categorization: Stakeholders vs Partners
- 4 Partnership framework: identifying the role of partners
- 5 Partners:
  - 1) Child Project Partners- examples from Demand, Production & Transactions
  - 2) Adaptive management & Learning Project Partners/ Program level partners
- 6 Modalities of working with Adaptive management & Learning Project Partners/  
Program level partners

## Stakeholders & Partners

### 1 Background:

In line with the GEF 2020 Vision, it was anticipated from the very beginning of the Commodities IAP design as outlined in the PFD<sup>46</sup> that various stakeholders must be engaged to catalyze wider action within the commodities sector.

As a result, there has been an extensive outreach by the participating agencies during the PPG phase, to engage a wide range of major actors within the sustainable forest management sector and along the entire supply chain for oil palm, beef, and soy.

This outreach has mostly been driven by priorities of the program components, and led by designated GEF Agencies or named executing partners.

The actors can be grouped as follows:

- Governments- i.e. Ministries of Environment and Agriculture have a role in most of the countries and in all cases local governments, at State, Province or District level, will be involved.
  - Governments influence the enabling conditions for sustainable practices. The Governments of the countries involved in the Program will be central stakeholders to implementation.
- Financial institutions providing financial transactions and services to commodity supply chains at national, regional, and global levels
- Private Sector: i.e. Buyers such as traders, processors, consumer goods manufacturers and retailers
  - The private sector is increasingly featuring as an important partner in GEF projects. This will be especially true of the Commodities IAP as it is geared towards a supply chain transformation and these supply chains are those of private sector firms such as traders and consumer goods companies. The private sector is becoming increasingly active in responsible commodity sourcing, driven by corporate social responsibility goals as well as pressure from their investors and consumers.
  - Many consumer goods companies, along with the commodity traders that supply them, have committed to remove deforestation from their supply chains. For example, in December 2015, Marks & Spencer and Unilever<sup>47</sup> signed a new pledge committing to prioritize the development of sustainable palm oil, beef, paper and other commodities, as part of a major public-private partnership aimed at tackling deforestation.
  - Yet it is clear that often progress towards commitments can be slow, driven by the complexity of the task (particularly in complex commodity supply chains such as Palm oil and soy) as well as the organizational will and expertise required to tackle it.
  - A recent Greenpeace scorecard<sup>48</sup> on progress towards cutting deforestation in the Palm Oil supply chain highlighted that ‘companies have yet to take control of their

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<sup>46</sup> From PFD: “The initiative will further leverage the capacities and presences of strong partners with relevant expertise from the public, private, multilateral and CSO sectors, such as ministries in producer countries, the Consumer Goods Forum companies committed to deforestation free commodities, and global commodity standards”

<sup>47</sup> <http://tfa2020.org/wp-content/uploads/2015/12/01122015- Produce-Protect- CGF-statement.pdf>

<sup>48</sup> <http://www.greenpeace.org/international/en/publications/Campaign->

supply chains and are unable to say with any confidence that the palm oil they use is not driving the destruction of rainforests, threatening endangered species or contributing to social conflicts in Indonesia'. Additionally, Greenpeace point out that many 'companies have yet to start obtaining independent third-party verification to demonstrate that their palm oil is produced by companies operating in compliance with their own 'no deforestation' policies'.

- The Commodities IAP has an opportunity to engage companies on their journeys and collaborate in ensuring they can meet their supply chain commitments.
- Producers – at a range of scales from smallholders (particularly women and indigenous groups), local communities, SMEs to multinational companies
- NGOs and Civil Society- i.e. Proforest, Forest Trends
  - Many NGOs and civil society organizations are active in tackling deforestation. Their expertise and contacts can be utilized, particularly at regional and landscape level.
- Platforms and Collaboration Forums, i.e. Tropical Forest Alliance, Consumer Goods Forum, Climate & Land Use Alliance, IDH's Palm Oil Program
  - These collaboration groups comprise of various actors within the supply chain and deforestation arena and drive specific agendas towards progressing responsible sourcing and a more sustainable future. The IAP can leverage and add momentum to much of this work, building on the IAP desire to catalyze wide spread change. In addition, the work of these organizations can feed into the learning agenda of IAP (Component 2.0), ensuring that the Program benefits over time from emerging insight from outside of the Program.
- Academia i.e. University of Michigan, University of Wisconsin
  - Academic institutions often pioneer specific tools or research papers and can be brought on board to validate approaches.
- Donors
  - Donors who have an explicit interest in preventing deforestation may be able to provide co funding for the IAP work to further common objectives. Donors may be Governments such as those of Norway (KLD) and the UK (DFID) or philanthropic organizations such as the Moore Foundation.

## 2 Categorization: Stakeholders Vs Partners

Given the wide scope of the IAP program, stakeholders are grouped into two categories:

1. Engaged Stakeholders; essentially all parties with an interest in the Program or a specific child project, who may be consulted or kept informed of the progress.
  - This is the wide group that may include target beneficiary groups, civil society organisations, the media and other UN agencies for example
2. Active Stakeholders, or 'Partners'; a subset of the above and consisting of those parties who will actively participate in the IAP program implementation phase.

- This paper focuses mainly on this second ‘active stakeholder’ group, hereafter called ‘partners’.

#### **4 Partnership framework: identifying the role of partners**

Partners have the potential to add value to the Program in various different ways. The IAP intends to act as a catalyst for positive change in the responsible commodity sourcing arena, so adding momentum to existing activities and bringing on board others who can help is a key part of how the IAP is being designed. A number of distinct roles have been identified that additional partners (over and above the original partners in the original multi-agency collaboration) could play. Additional partners could provide one or more of the following;

1. Expert Guidance or Critique
  - An Advisory Committee will be in place for implementation, constituted of individuals with globally recognized expertise. The members will have multiple backgrounds in terms of geography and stakeholder group to secure diversity in voice and perspectives. They will provide advice, feedback or perspective on various topics, to be determined periodically, including but not limited to the Program progress, challenges, successes and opportunities.
2. Contribute innovative tools, thinking or experience
  - Some organisations have developed specific tools and thinking or have certain expertise that may be of relevance for the IAP program, perhaps in delivering a certain component of a child project for example. In these cases, the organization could be brought on board as a partner, with a specific role in utilizing that tool or expertise within the project.
3. Influence / enhancing the enabling environment
  - Successful IAP program delivery is going to require a positive shift in the enabling environment for responsible sourcing of commodities. There are some organizations or fora that are also actively involved in driving progress in this area, perhaps in the wider field of deforestation, or responsible sourcing for example. Collaborating with these organizations as partners during the implementation phase allows the program to benefit from their work, and vice versa, for maximum synergies and in order to positively influence the enabling environment for the program.
4. Implementation Services
  - The IAP program will comprise of many different components and activities, collectively driving progress towards the goal. Many of these components require delivery partners, who would ensure and manage execution during the implementation stage. These partners would often be based in a particular country or even region, with specific expertise and contacts in the component area.
5. Match or donor funding
  - The IAP program vision of taking deforestation out of commodity supply chains is one that is also shared by many organizations and potential donors. Additional partners may come on board to specifically co-fund components of the IAP program that are very much in line with their strategic goals.

#### **5 Child project partners & Program level partners**

It is anticipated that the following types of partners can exist, depending on the scope of the role that they are playing;

1. Child project partners- who will play a role within a specific child project or across two child projects

2. Program level partners – play a role at the Global Program level or across multiple child projects

Taking each of these in turn:

**1. Child Project Partners- Demand, Production & Transactions:**

The Demand, Production and Transactions child projects will each have partners, which may operate at the Regional, National, or even Global (across two or more countries) level, depending on their specific role and remit within those child projects and the value add that they bring.

The majority of partners for these three child projects will play the following roles; Providing (2) innovative tools and thinking or (4) implementation services, which makes sense given that there will be an impetus on project delivery across each of the child project components.

This document will not highlight each of the project partners for these three child projects as that will be covered extensively in the individual child project documentation. However, for the purposes of example and to show how these partners sit within the overall partnership framework, Figure 1 highlights a selection of the partners across these three child projects and summarizes the roles they play.

*Figure 1: A selection of project partners for the Generating Responsible Demand, Support to Production and ‘Enabling Transactions’ child projects and the roles they play within those projects:*

	<b>1. Expert Guidance or Critique</b>	<b>2. Innovative tool, thinking or experience</b>	<b>3. Influence / enhancing enabling environment</b>	<b>4. Implementation Services</b>	<b>5. Match or donor funding</b>
<b>‘Generating Responsible Demand’ child project</b>		<b>Stockholm Environment Institute:</b> ‘Transformative Transparency’ is a new kind of traceability platform, developed by SEI. It harnesses huge untapped data sets to see inside complex commodity supply chains. The demand project will incorporate this work in <b>Latin America on Soy</b> as part of the transparent supply chains component.		<b>Proforest:</b>  Executing partners for the Demand work in <b>Liberia</b> , building on their TFA2020 collaboration, as well as the work with <b>Soy Traders in Latin America.</b>	<b>Moore Foundation</b>  <i>Funding work with Soy Traders in Latin America</i>



	<b>1. Expert Guidance or Critique</b>	<b>2. Innovative tool, thinking or experience</b>	<b>3. Influence / enhancing enabling environment</b>	<b>4. Implementation Services</b>	<b>5. Match or donor funding</b>
<i>‘Support to Production’ child project</i>			<i><b>InPOP (Indonesian Palm Oil Platform)</b> Production project will leverage the InPOP structure to drive dialogue and discussion on PPP and policy for Palm Oil in Indonesia.</i>		
<i>‘Enabling Transactions’ child project</i>	TBC by Bruce	<i><b>Bank of Brazil</b> Developing a property based risk management agri- business tool that will be piloted in the project in <b>Brazil</b></i>  <i><b>Banking Environment Initiative (BEI)</b> Continue to develop and promote sustainable finance products such as sustainable shipment LC</i>	<i><b>Roundtable on Sustainable Palm Oil (RSPO)</b> Has created a task force for financial institutions</i>	<i><b>Rabobank:</b> Provide commercial lending to smallholder farmers in <b>Indonesia</b></i>	TBC by Bruce

## **2. Adaptive Management and Learning Child Project Partners / Program level partners:**

The Adaptive Management and Learning Project will also have project partners. Many of these will provide implementation services to the Program itself.

As this is also the coordinating project within the overall Program, some of these partners can also be considered ‘Program level’ partners. These are partners who;

- Play a role at the Global level, across multiple child projects. A number of these partners have been identified and are listed in Figure 1 in relation to the role they will

play in the IAP. Note some of these partners may also play a role in individual child projects.

- The majority of partners at Program level are providing 1) expert guidance or critique 2) Innovative tools or 3) Influence / enhancing enabling environment.

For optimum coordination and Programmatic consistency, the Program level partners will be managed during implementation by the Global Program Coordinator, within the IAP Secretariat, supported by the Adaptive Management and Learning project.

Figure 2 outlines the Adaptive Management & Learning Child Project Partners/ Program level partners, including their role in the IAP.

Figure 2: Adaptive Management & Learning Child Project Partners/ Program level partners, including their role in the IAP:

		<b>1. Expert Guidance or Critique</b>	<b>2. Innovative tool, thinking or experience</b>	<b>3. Influence / enhancing enabling environment</b>	<b>4. Implementation Services</b>	<b>5. Match or donor funding</b>
<i>Platforms/ Forums;</i>						
<b>1.</b>	<b><i>Tropical Forest Alliance (TFA)</i></b> <sup>49</sup>	As part of Component 1.0 Coordination External advisory role during PPG (through wider WEF umbrella).  TBC if also advisor during implementation stage (limited engagement so far during PPG)	As part of Component 2.0: KM, Learning, Resilience & AdM; Contributing to a shared learning agenda in addressing drivers of deforestation.  IAP KM Manager will participate in TFA Innovation Labs and TFA representatives in IAP's Global Community of Practice <sup>50</sup>	As part of Component 2.0: KM, Learning, Resilience & AdM; TFA convening stakeholders for action on various deforestation issues, reframing the debate and changing overall rhetoric towards 'better growth'.	N/A	N/A
<b>2</b>	<b><i>Consumer Goods Forum (CGF)</i></b>	N/A	N/A	As part of Component 2.0: KM, Learning, Resilience & AdM;	N/A	N/A

<sup>49</sup> The TFA is cited by Unilever as their 'enabler to turn implementation into reality'; <https://www.weforum.org/agenda/2016/03/can-palm-oil-ever-be-sustainable>

<sup>50</sup> Ref: Output 2.1.2 of Adaptive Management & Learning project

		<b>1. Expert Guidance or Critique</b>	<b>2. Innovative tool, thinking or experience</b>	<b>3. Influence / enhancing enabling environment</b>	<b>4. Implementation Services</b>	<b>5. Match or donor funding</b>
				Through their sustainability working group, CGF is an active advocate of initiatives to address supply chain deforestation		
3	<b><i>Climate &amp; Land Use Alliance (CLUA)</i></b>	As part of Component 1.0, Coordination: External advisory role during PPG, as an advisor also during implementation	N/A	N/A	N/A	N/A
4.	<b>Sustainable Trade Initiative (IDH)</b>	N/A	N/A	As part of Component 2.0: KM, Learning, Resilience & AdM; Contribute to the Global Community of Practice, with their work on Soy and Palm Oil	N/A	N/A
5.	<b>ISEAL</b>	N/A	N/A	N/A	As part of Component 3.0, Research on Impacts; Leading the delivery of the Global IAP research agenda	N/A

		<b>1. Expert Guidance or Critique</b>	<b>2. Innovative tool, thinking or experience</b>	<b>3. Influence / enhancing enabling environment</b>	<b>4. Implementation Services</b>	<b>5. Match or donor funding</b>
	<i>NGOs/ Advocacy</i>					
<b>6</b>	<b><i>Global Canopy Program</i></b>	N/A	As part of Component 2.0: KM, Learning, Resilience & AdM; Operating as a Tropical forest think tank, their research resources such as Forest500 can inform the IAP learning agenda ongoing.  (Note – through SEL, GCP will also provide an innovative tool to the Demand child project).	As part of Component 2.0: KM, Learning, Resilience & AdM; Recommended participation in the Global Community of Practice.	N/A	N/A
<b>7</b>	<b><i>Climate Advisors</i></b>	As part of Component 1.0; Potentially as an external advisor during implementation (but budget dependent)	N/A	As part of Component 2.0: KM, Learning, Resilience & AdM; High level advocacy	TBC	N/A
	<i>Private Sector:</i>					
<b>8</b>	<b><i>Mondelez</i></b>	As part of Component 1.0;	N/A	N/A	N/A	N/A

		<b>1. Expert Guidance or Critique</b>	<b>2. Innovative tool, thinking or experience</b>	<b>3. Influence / enhancing enabling environment</b>	<b>4. Implementation Services</b>	<b>5. Match or donor funding</b>
		<p>External advisory role during PPG and currently the only advisor from a consumer goods manufacturer, with a supply chain. Therefore, providing critical insight for a supply chain focused Program.</p> <p>Recommended to continue as external advisor during implementation.</p>				
<b>9</b>	<b><i>Santander Bank</i></b>	<p>As part of Component 1.0;</p> <p>External advisory role during PPG and currently the only advisor from the banking sector.</p> <p>Recommended to continue as external advisor during</p>	N/A	N/A	N/A	N/A

		<b>1. Expert Guidance or Critique</b>	<b>2. Innovative tool, thinking or experience</b>	<b>3. Influence / enhancing enabling environment</b>	<b>4. Implementation Services</b>	<b>5. Match or donor funding</b>
		implementation.				
<b>10</b>	<b>Marks &amp; Spencer</b>	As part of Component 1.0;  Recommended to consider as an external advisor during implementation	N/A	As part of Component 2.0: KM, Learning, Resilience & AdM; M&S play a major influencing role as co-chair of CGF, advocates for supply chain transformation. Can contribute towards the overall learning agenda. Recommended to participate in the Global Community of Practice.	N/A	N/A
<b>Donor Organisations/ Project Financers</b>						
<b>11</b>	<b>DFID</b>	As part of Component 1.0; External advisory role during PPG. To be considered re an External advisory role during implementation	N/A	N/A	N/A	Potential donor funding.  Recommended continued dialogue as part of Component 4.1, Partnerships incl. opening up dialogue on DFID's next funding round.

		<b>1. Expert Guidance or Critique</b>	<b>2. Innovative tool, thinking or experience</b>	<b>3. Influence / enhancing enabling environment</b>	<b>4. Implementation Services</b>	<b>5. Match or donor funding</b>
<b>1</b> <b>2</b>	<b>USAID</b>	N/A	N/A	As part of Component 2.0: KM, Learning, Resilience & AdM; USAID have a complementary project in the Chaco, also addressing some of the key drivers of deforestation. Recommended to participate in the Global Community of Practice.	N/A	Potentially, during implementation phase.  Recommended continued dialogue as part of Component 4.1, Partnerships
<b>1</b> <b>3</b>	<b>KLD (Norwegian International Climate &amp; Forest Initiative)</b>	As part of Component 1.0; To be approached about an External advisory role during implementation	N/A	As part of Component 2.0: KM, Learning, Resilience & AdM; KLD sponsor work addressing deforestation, particularly in West Africa, through IDH. Recommended to participate in the Global Community of Practice.	N/A	Potentially, during implementation phase.  Recommended continued dialogue as part of Component 4.1, Partnerships



		<b>1. Expert Guidance or Critique</b>	<b>2. Innovative tool, thinking or experience</b>	<b>3. Influence / enhancing enabling environment</b>	<b>4. Implementation Services</b>	<b>5. Match or donor funding</b>
	<i>Other:</i>					
<b>1 4</b>	<b><i>The Guardian Sustainable Business</i></b>	N/A	N/A	GSB will play a role here through overall advocacy and profile	Component 4.2: Deliver on the communications intent for the Program by implementation of a sponsorship on the GSB website <sup>51</sup>	N/A
<b>1 5</b>	<b><i>Organisations TBC who will provide services under the M&amp;E and Communications Component</i></b>	N/A	N/A	N/A	Under Component 1.0: Conduct Mid term and final term reviews  Under Component 4.2: Create communications assets such as a website, multimedia materials etc.	N/A

<sup>51</sup> <http://www.theguardian.com/uk/sustainable-business>

Other Organizations not included in the partners list above but who are recommended to consider as wider stakeholders to keep a watching brief on:

- **Climate Community and Biodiversity Alliance** - This Alliance convenes as a platform of engaged organisations- CARE, RA etc. Produce a ‘Landscape rating index’
- **Unilever** – Jeff Seabright plays a major influencing role as co-chair of CGF as well as Unilever being one of the more progressive consumer goods manufacturers when it comes to addressing Supply chain deforestation. Have shown limited interest in getting involved in IAP during the PPG phase, so may not be an opportunity for engagement during implementation.
- **SECO-** work is very aligned, particularly in Indonesia. Have not shown an interest to engage as part of PPG phase as yet
- **IKI/ GIZ** – potentially link into their funding cycle
- **Rainforest Alliance** – Potentially may play a role within the production project
- **Oxfam-** potentially may play a role within the production project. If so, could also be considered for invite to the Global COP
- **Solidaridad-** potentially may play a role within the production project. If so, could also be considered for invite to the Global COP
- **SNV-** potentially may play a role within the production project. If so, could also be considered for invite to the Global COP

**6 Modalities for working with Adaptive Management & Learning / Program level partners during implementation**

- A Global Program Coordinator will take on the role of managing the relationship with each of these Adaptive Management & Learning/ Program level partners.
- Depending on the role of the partner, their interaction will be different. This is laid out in Figure 3.

*Figure 3: Modalities of interaction with partners during implementation phase:*

<b>1. Expert Guidance or Critique</b>	<b>2. Innovative tool, thinking or experience</b>	<b>3. Influence / enhancing enabling environment</b>	<b>4. Implementation Services</b>	<b>5. Match or donor funding</b>
<p><i>(External Advisors)</i>  <b>It is recommended that they are invited to join two Steering meetings annually, to advise the Steering team on specific topics.</b></p> <p><b>To be determined periodically by the Global Program Coordinator</b></p>	<p>Participate in the IAP Global Community of Practice</p>	<p>Quarterly calls between Global Program Coordinator and key organizational contact to connect on areas of overlap or joint interest.</p> <p>Participate in the IAP Global Community of Practice</p> <p>Global Program Coordinator and Knowledge Management lead to also attend COPs / innovation labs /</p>	<p>Depending on the service being provided- i.e. ,for the organization that creates the website, that will be managed as a project for a period of time.</p>	<p>Quarterly calls between Global Program Coordinator and key organizational contact, to prepare for potential submissions for funding based on funding cycles.</p>

1. Expert Guidance or Critique	2. Innovative tool, thinking or experience	3. Influence / enhancing enabling environment	4. Implementation Services	5. Match or donor funding
		<p>working group sessions from other organisations for ongoing sharing</p> <p>Investigate influential roles that the IAP group could play in these organisations – i.e. positions on the board etc.</p>		

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## **ANNEX L: COMMUNICATIONS STRATEGY**

### **Communications:**

#### **1.0 Background; GEF Commodities IAP (IAP) Program: Taking Deforestation out of commodity supply chains**

- 1.1 Commodities Integrated Approach Pilot Objectives
- 1.2 GEF Long Term Vision
- 1.3 Communications Objectives
- 1.4 Important Considerations
  - 1.4.1 Program Values
  - 1.4.2 Inherent Strengths
  - 1.4.3 Imperatives in designing a Communication Strategy

#### **2.0 Audiences**

- 2.1 Audience Contexts

#### **3.0 Strategy**

- 3.1 Communications Strategy

## **1.0 Background; GEF Commodities IAP (IAP) Program: Taking Deforestation out of commodity supply chains**

### **1.1 Commodities Integrated Approach Pilot Objectives:**

Delivering on the GEF 6 intentions and in line with the Vision 2020 strategy, the ‘Taking deforestation out of commodity supply chains’ IAP (‘Commodities IAP’) has objectives as follows:

1. Provide a model for agriculture expansion through means that do not lead to deforestation while meeting market demand and economic growth,
2. For Palm Oil, Soy and Beef demonstrate market transformation capacity by enabling deforestation free production, demand and transactions in targeted areas where production and forest conservation are aligned,
3. Reduce deforestation rates and increase areas of forest conservation in pilot landscapes.

It is comprised of three main Child projects- Support to Production, Increase of Demand and Enabling Transactions, each with specific components, as well as a fourth project, Adaptive Management & Learning to coordinate the program and ensure that learning and adaptive management are to the fore.

### **1.2 GEF Long Term Vision:**

The GEF has a vision to establish the organization as a global leader and central long term player within the commodity deforestation and sustainable commodity space, focusing on driving solutions to multi-focal and cross-cutting issues.

The GEF therefore wish to use the IAP program as an anchor for current and future GEF funded commodity projects and to attract additional funds/partners for the program. As such, although the IAP program has a life span of four years, there is a desire that this is very much a positive scene setter for the future as well as a potential spring board for further focus in this area during subsequent replenishment phases.

Therefore, in formulating a communications strategy and plan for the IAP program, it is not only the needs of the program itself in the short to medium term that needs to be considered, but also how this can be done in a way that reinforces the GEF with regard to the organization's overall mission in this area in the longer term.

### **1.3 Communications Objectives for Commodities IAP Program:**

Objectives:

In a word:

- |   |  |
|---|--|
| 1. <b><u>Increase awareness of deforestation in commodity production as an issue</u></b>  | ➤ Awareness  |
| 2. <b><u>Establish the GEF as a global leader and central long term player within the space</u></b>   | ➤ Awareness<br>➤ Credibility<br>➤ Recognition, Reputation (building) |
| 3. <b><u>Achieve recognition amongst key stakeholders of the pivotal and positive role the Commodities IAP program is playing in driving sector progress towards reduced deforestation from commodities</u></b> | ➤ Learning, dissemination, adoption                                  |
| 4. <b><u>Ensure that Program content and learnings are freely disseminated to both internal and external stakeholders for further uptake and leverage</u></b>   | ➤ (Call to) Action   |
| 5. <b><u>Influence opinion leaders and decision makers to take concrete action in addressing deforestation from commodities</u></b>   | ➤ Advocacy   |
| 6. <b>Stakeholders or audiences <u>advocate</u> on behalf of the GEF Commodities IAP Program</b>  |  |

#### 1.4 Important considerations:

##### 1.4.1 Program Values

- Collaborative / Participative
- Transformative
- Big Picture Oriented
- Solution Focused
- Action Oriented
- Encouraging & Reframing debate (i.e. to ‘responsible growth’)
- Thoughtful
- Expressive

##### 1.4.2 Inherent Strengths;

There are a number of inherent strengths that the IAP program has that can be leveraged when approaching communications. The program has:

- Visible leaders and spokespeople:
  - Motivated and engaged senior leadership in the GEF and multi-agency consortium willing to be mobilized for communication
- Skilled Multi agency team leading four individual Child Projects, each with specific content and opportunities for communication
- Government Buy in:

- The GEF modus operandi of requiring Government endorsement adds a credibility and substance to the program
- Global reach:
  - Spanning Latin America (Brazil, Paraguay), West Africa (Liberia) and Asia (Indonesia)
- Significant Funding:
  - 45\$ GEF funding, with ability to drive multiple interventions across countries and commodities
- Content:
  - A four-year program timespan that will yield ongoing learnings and results that are rich content and proof points for communication and engagement

### **1.4.3 Imperatives in designing a Commodities IAP Program Communication Strategy:**

- Includes the creation of a management structure to coordinate the communication needs and plans
- Forge a unique identity and distinctive brand character for the IAP program
- Reinforce Program values
- Ensure cut through in a cluttered communication space
- Simplify a relatively complex program (into key themes)
- Highlight action and progress Vs only intent (especially over time);
  - For example, in PPG/ approval stage the program should communicate about the vision for the work, what is being planned, the partners who will be involved and the support of governments etc; at inception stage the communication can move from vision and anticipated activities to specific things that are going to happen; two years into the project, the messaging can be about the specific activities that are actually taking place and some initial outputs being seen from those, learnings to disseminate etc.
- Maximize value for money with limited budget for communications over a four-year implementation phase

## **2.0 Audiences; Different levels of understanding of the issue**

There are many different stakeholders for the IAP program. This is explored in detail in the Partnerships component (reference the separate paper on 4.1 Partnerships), including the roles of different partners and how the partnerships will be managed during the implementation phase.

### **2.1: Audience contexts**

For the purposes of communication, these stakeholders represent potential audiences. The various audience groupings are listed in Figure 1 below as well as a broad context for that audience that needs to be considered.

**Figure 1: Different audience contexts**

<b>Audience</b>	<b>Context</b>
<b>Governments (National)</b>	The COP21 Paris agreement require Governments to progressively increase their ambition levels to reduce land-use GHG emissions and increase organic carbon

<b>Platforms &amp; NGOs/ Civil Society</b>	Many existing platforms are influencing supply chain actors to work toward diverting the frontier for commodities away from primary forests and areas of high conservation value
<b>Private Sector- CGCs, traders</b>	50+ progressive companies have pledged to end natural forest loss by 2030 and eliminate deforestation from the production of agricultural commodities under the New York Declaration on Forests (NYD).  Yet many are making only limited progress towards realizing their commitments and many other significant actors have yet to make commitments.
<b>Smallholders</b>	Many smallholder farmers have managed to significantly improve their family's livelihood as a result of commodity expansion, often on the back of deforestation.
<b>Financial Institutions</b>	Many lenders do not have sustainability criteria as part of their risk assessments
<b>Retailers</b>	Increasingly exerting pressure on their suppliers such as big Consumer Goods Companies to address deforestation within their supply chains.
<b>Donors</b>	Given the significance of deforestation as a driver of GHG emissions (12% of total), many donor organizations and foundations are increasingly supporting work to address drivers of deforestation.
<b>Media</b>	Are increasing their coverage of issues surrounding deforestation. There's a desire to cater for the increased awareness on environmental issues post the COP21 Paris agreement
<b>Consumers</b>	Often a limited consumer understanding on buying products that come from illegal deforestation and a confusion about what they as consumers can do to address it. Also the Intentions- Behavior gap <sup>52</sup> & 3:30 paradox (30% of consumers call themselves ethical shoppers but only 3% are) in evidence. They mostly expect

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<sup>52</sup> Why Ethical Consumers Don't Walk Their Talk: Towards a Framework for Understanding the Gap Between the Ethical Purchase Intentions and Actual Buying Behaviour of Ethically Minded Consumers; Carrington, Neville, Whitwell, 2010; ([https://www.researchgate.net/publication/226351970\\_Why\\_Ethical\\_Consumers\\_Don't\\_Walk\\_Their\\_Talk\\_Towards\\_a\\_Framework\\_for\\_Understanding\\_the\\_Gap\\_Between\\_the\\_Ethical\\_Purchase\\_Intentions\\_and\\_Actual\\_Buying\\_Behaviour\\_of\\_Ethically\\_Minded\\_Consumers](https://www.researchgate.net/publication/226351970_Why_Ethical_Consumers_Don't_Walk_Their_Talk_Towards_a_Framework_for_Understanding_the_Gap_Between_the_Ethical_Purchase_Intentions_and_Actual_Buying_Behaviour_of_Ethically_Minded_Consumers))



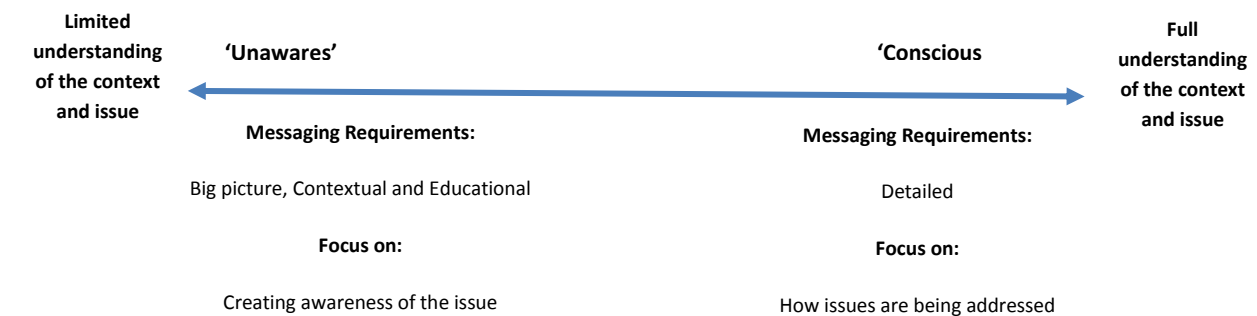
Governments and the Private Sector to 'look after' the problem.

Many stakeholders are very well versed in the context and issues surrounding deforestation and commodities, which can be termed 'conscious citizens'; The Roundtable on Sustainable Palm Oil, Tropical Forest Alliance, and Consumer Goods Forum are among the existing platforms influencing supply chain actors to work toward diverting the frontier for commodities away from primary forests and areas of high conservation value; some progressive Private Sector companies<sup>53</sup> have begun to take action and have made commitments to removing any commodities produced on land subjected to deforestation from their supply chains.

Yet other stakeholders may not be as familiar with the overall context. Perhaps some private sector firms may not have the expertise in house or the political will to fully grasp the extent of deforestation in their supply chain; some media organizations may only have a topline view; many consumers may have a latent awareness that some exists issue around deforestation and the products they buy- awareness often driven by NGO campaigning<sup>54</sup> - but not fully understand it and lack a clear view on what they might be able to do to take action.

Therefore, various stakeholders/ potential audiences can be viewed as being on a conceptual continuum, with those 'conscious citizens' to one side and the 'unawares' as an extreme on the other side. Figure 2 lays this out along with the type of messaging that would be required for these psychologically diverse groups;

**Figure 2: Audience continuum:**



<sup>53</sup> 'Corporations, Commodities, and Commitments that Count', Forest Trends 2015; [http://forest-trends.org/releases/uploads/Supply%20Change\\_Report.pdf](http://forest-trends.org/releases/uploads/Supply%20Change_Report.pdf)

<sup>54</sup> Reference Greenpeace's 'Give the Orangutan a break' campaign against Nestle's Kit Kat, 2010; <http://www.greenpeace.org/international/en/campaigns/climate-change/kitkat/>

A one size fits all approach will not be possible for Program communications and messages will need to be tailored to suit different audiences, as for example the level of detail required by the ‘conscious citizens’ will be far too complex for an ‘unaware’ audience.

The desired beliefs and actions by audience is explored in 2.2.

### **3.0 Strategy:**

#### **3.1 Communications Strategy:**

Although there are diverse audiences, it’s also clear that there is considerable overlap in the desired beliefs and actions that are being sought as a result of communications. Therefore although the IAP is a big program, the communications strategy can be quite simple.

The following four-part strategy is recommended:

- 1) Appoint a **dedicated Global Commodities IAP Program Communications lead** (sitting within Secretariat), responsible for managing the communication plan for the IAP
- 2) Utilize the unique **leverage points** such as high profile sponsors and stakeholders within the individual child projects to advocate on behalf of the IAP program
- 3) Prioritize **owned and earned media** to freely disseminate content and learnings from the program to both internal and external stakeholders.
- 4) Create a **brand identity around the Program vision** ‘deforestation out of commodity supply chains’

#### **Taking each of these in turn:**

##### **1) A dedicated Global Commodities IAP Program Communications lead**

Given the IAP is operating across four countries, three commodities and four child projects, it is recommended to appoint a dedicated **Global Communications Lead** to take ownership for the communications planning and delivery during implementation.

- Responsible for the delivery of the following Adaptive Management & Learning Child Project Component: 4.2 Communications
  - o Assumes the overall management of Communications for the IAP program
  - o Delivers the communications objectives as set out in the communications strategy, incl. establishing the GEF as a global leader and central long term player within the space
  - o Proposes communication plans to the Steering Team for approval

- Ensures delivery of effective communication to key audiences, incl. on the content and learnings from the Program (in collaboration with KM Lead)
- Develops IAP program brand identity and guidelines for use
- Creates assets such as periodic briefs and supporting multimedia materials on key areas of interest
- Assure consistency in publications and communication documents
- Manages digital presence incl. development of a Program website and encouraging use of social media such as Twitter and Pinterest.
- Organizes IAP program presence at key global events and conferences
- Develops and manages various content sponsorships/partnerships

## 2) Leverage the inherent strengths;

- As outlined in 1.4.2 the IAP program has a number of **inherent strengths** and it is recommended that these are utilized as leverage points to drive the communications objectives as follows;
  - a) The **high profile of the agencies and individuals** involved in a child project or sponsoring the program be effectively utilized to really help deliver on objectives. A list of proposed events or conferences is highlighted in Figure 5 in the Annex.
    - a. The motivated and engaged senior leadership in the GEF and multi-agency consortium can be mobilized for speaking events or moderated panel discussions
    - b. In addition, the vast experience of individuals within the multi-agency consortium who are leading the child projects and/ or working on the program on a day to day basis can be utilized. Given the Geographic scope of the program, these individuals may already be located in some of the target countries and available for events and interviews there. Teams should also be encouraged to utilize digital media to tweet and blog about their work under the IAP program.
  - b) Skilled Multi agency team leading four individual Child Projects, each with specific content and opportunities for communication
    - a. Each agency should be encouraged to communicate around the work and progress of their individual child project, always in the context of delivering the objectives of the overall program.

## 3) Prioritize **owned and earned media**

Although all three types of media channels are recommended for the Commodities IAP program, ‘owned’ and ‘earned’ media are recommended for prioritization rather than ‘paid’ media. This is because the majority of the messages will be in driving credibility, dissemination of learnings, advocacy etc, and this is best done through owned channels or by endorsements and word of mouth. An exception is a recommended collaboration with the Guardian Sustainable Business, who are the recognized Global leader in Sustainability discourse.

The distinction between the types of media and how they are recommended for use in the IAP, with specific examples, is laid out in Figure 4 below.

**Figure 4: Paid, Owned and Earned media in action for the Commodities IAP Program**

	<b>‘Paid’</b>	<b>‘Owned’</b>	<b>‘Earned’</b>
<b>Overall</b>	Media coverage or space that is paid for	Any media channels and content created and owned by the IAP program	Any media channels and content that are generated for the IAP program, by third parties, usually as a result of engagement
<b>Digital</b>	<ul style="list-style-type: none"> <li>• Content partnership with Guardian Sustainable Business (Yr 1, Yr 3), with an Independent hub on their website hosting all program articles, journalism, think pieces etc</li> <li>• Google AdWords</li> </ul>	<ul style="list-style-type: none"> <li>• Commodities IAP Program website</li> <li>• Blog or Twitter posts from the IAP program implementing / executing partners</li> <li>• Periodic multimedia materials on key themes, made available online</li> </ul>	<ul style="list-style-type: none"> <li>• @mentions and @replies on Twitter, Pinterest and blogs</li> </ul>
<b>Asset Library</b>	<ul style="list-style-type: none"> <li>• Commissioning think pieces specifically for the IAP program (i.e. Research on Impacts as part of Component 2.0 of Adaptation &amp; Learning Child Project)</li> </ul>	<ul style="list-style-type: none"> <li>• Periodic publications by the IAP program on key themes based on program learnings</li> </ul>	<ul style="list-style-type: none"> <li>• Referencing of IAP program work in other publications</li> </ul>
<b>Multi-Agency Consortium Advocacy</b>	<ul style="list-style-type: none"> <li>• Purchased speaker slots at key conferences or forums.</li> <li>• See Figure 5 in the Annex for suggested events.</li> </ul>	<ul style="list-style-type: none"> <li>• Speaking events (by members of the IAP program agency consortium). See Figure 5 in the Annex for suggested events.</li> </ul>	<ul style="list-style-type: none"> <li>• Information sharing networks and forums.</li> <li>• Word of mouth</li> <li>• Speaking events (by members of the IAP program wider partner or stakeholder group)</li> </ul>
<b>Network</b>		Sponsored learning networks such as the Annual Community of Practise	Other networks, platforms – i.e. Attendance at TFA ‘Innovation labs’ on key themes

- 4) Create a **brand identity around the Program vision** ‘deforestation out of commodity supply chains’

Creating a unique brand identity for the IAP program will be key in establishing the recognition that is sought for the program and enable the multi-faceted communications to all live under one common roof.

The Commodities IAP Program is operating in a distinctive space, with the supply chain orientation and the drive to address deforestation within commodity supply chains. Although there are other platforms and organizations who pay attention to sustainable commodities (i.e. RSPO) or deforestation overall (i.e. TFA), there is nothing that exists on the scale of the IAP that is addressing this combination Globally.

Therefore, it's recommended to focus on this distinctive blend, as well as the brand values outlined in 1.4.1 in order to forge a distinct identity for the program. A useful approach may be to create an acronym that is a combination of key words, but also an appropriate summary word.

This can then be utilized consistently on all key touch points and references to the program.

**Speaking Events to participate in during implementation phase:**

Target: Plenary delivered by a relevant representative from the IAP Multi agency consortium

<b>Event</b>	<b>Relevance</b>	<b>Frequency</b>
<b>IAP Community of Practice</b>	Global forum for exchange of best practices, learning, networking, upscaling	Two times during project implementation
<b>Conference of the Parties (COP) to UNFCCC</b> <a href="http://climate-1.iisd.org/events/unfccc-cop-22">http://climate-1.iisd.org/events/unfccc-cop-22</a>	Ongoing high level policy formation to meet Paris COP21 agreements	Annually, various locations Globally. COP 22 will be in Morocco on Nov. 7-18 November
<b>COP to UNCBD</b>	Ongoing high level policy formation related to biodiversity	COP 13 will be in Cancun, Mexico, 4-17 Dec. 2016

	conservation commitments	
<b>Sustainable Brands</b>	Consumer Goods company oriented, showcasing latest thinking in sustainability	Quarterly, in different Global locations
<b>ISEAL Global Sustainability Standards Conference</b>	Standards will remain a key tool for encouraging responsible commodity production & trade	Annually, usually in Europe. Nov 2016
<b>Ethical Corporation</b> Supply Chain Summit <a href="http://events.ethicalcorp.com/supplychain/conference-agenda.php">http://events.ethicalcorp.com/supplychain/conference-agenda.php</a>	Brings together private sector companies to share progress and insights in making supply chains sustainable	Annually, usually in Europe
<b>RSPO Annual Meeting</b>	Brings together stakeholders from the RSPO platform to progress responsibly sourced PO	Annually (Nov 2016 TBC)
<b>TEDx Change</b> <a href="https://www.ted.com/about/programs-initiatives/tedx-program/tedxchange">https://www.ted.com/about/programs-initiatives/tedx-program/tedxchange</a>	Hosted by the Bill and Melinda Gates Foundation, addressing themes of health and development	Annually

**BSR (Business for Social Responsibility) Conference**

Dedicated to sustainable business, inspiring on how to achieve sustainability goals

Annually  
(New York, November 1-3, 2016)  
Huntington Beach,  
California, Oct. 24-26, 2017

**Tropical Forest Alliance**

Global public-private partnership in which partners take voluntary actions, individually and in combination, to reduce the tropical deforestation associated with the sourcing of commodities

N/A

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## **ANNEX M: UNDP PROJECT QUALITY ASSURANCE REPORT**

To be provided before LPAC.

## **ANNEX N: UNDP RISK LOG**

To be provided before LPAC

## **ANNEX O: A&L CHILD PROJECT TRACKING TOOL**

See separate Excel file.

## **ANNEX P: CO-FINANCING LETTERS**

See separate Excel file.



## ANNEX Q: DETAILS OF PROJECT-LEVEL DIRECT CARBON BENEFIT CALCULATIONS

### I. PRODUCTION CHILD PROJECT

**Table 1: Basic information on target landscapes and deforestation**

Geographic unit of analysis (single or multiple landscapes)	Area of district / landscape (ha)	Area of forest cover (ha)	BAU: projected annual defor. (%)	BAU: projected annual defor. (ha.)	Carbon content estimates used (tons MG/ha) <sup>55</sup>	BAU: annual emissions (tCO <sub>2</sub> e/yr)
(i) South Tapanuli, North Sumatra	1,300,000	508,829	1.7%	8,650	182	5,773,020
(ii) Pelalawan, Riau	1,317,206	341,325	3.0%	10,240	182	6,833,948
(iii) Sintang, West Kalimantan	2,160,000	988,334	2.3%	22,732	182	15,170,988
(iv) Western Liberia (Sime Darby concession)	310,170	268,972	1.7%	4,573	148	2,481,578
(v-vii) Paraguay (combined landscapes)	2,863,960	1,783,121	1.0%	17,831	28.6	1,870,723
<i>Production project totals</i>	7,951,336	3,890,581	1.65%	64,025		32,130,257

**Table 11: Projections of avoided deforestation and associated emissions reductions**

	Enhanced set aside areas (Assumption: deforestation rate reduced by 35%)	Other (not set aside) areas (Assumption: deforestation rate reduced by 15%)	Combined areas

<sup>55</sup> Sources: (i-iii) - <http://glad.geog.umd.edu/dataset/primary-forest-cover-loss-indonesia-2000-2012>) and Hansen et al (2015) ([https://earthenginepartners.appspot.com/science-2013-global-forest/download\\_v1.2.html](https://earthenginepartners.appspot.com/science-2013-global-forest/download_v1.2.html); (iv) - <http://rainforests.mongabay.com/deforestation/2000/Liberia.htm> and (v) - <http://rainforests.mongabay.com/deforestation/2000/Paraguay.htm>)

Geographic unit of analysis (single or multiple landscapes)	Target area for set asides (ha)	GEF alternative: projected annual defor. (%)	GEF alternative: projected annual defor. (ha)	Area (ha)	GEF alternative: projected annual defor. (%)	GEF alternative: projected annual defor. (ha)	GEF alternative: Total annual defor. (combined)	GEF alternative: projected annual emissions (tCO <sub>2</sub> e/yr)	Avoided emissions (tCO <sub>2</sub> e)/yr
(i) South Tapanuli, North Sumatra	300,000	1.1%	3,315	208,829	1.4%	3,018	6,333	4,226,325	1,546,695
(ii) Pelalawan, Riau	80,000	2.0%	1,560	261,325	2.6%	6,664	8,224	5,488,506	1,345,441
(iii) Sintang, West Kalimantan	140,000	1.5%	2,093	848,334	2.0%	16,585	18,678	12,465,538	2,705,450
(iv) Western Liberia (Sime Darby concession)	130,000	1.1%	1,437	138,972	1.4%	2,008	3,445	1,869,461	612,117
(v-vii) Paraguay (combined landscapes)	350,000	0.7%	2,275	1,433,121	0.9%	12,182	14,457	1,516,676	354,048
<i>Production project totals</i>	1,000,000	1.1%	10,680	2,890,581	1.4%	40,456	51,135	25,566,507	6,563,751

10-year time frame = **65.6 million tons CO<sub>2</sub>e**

**Note:** The project will train project officers to use the FAO EX-ACT Tool (Ex-Ante Carbon Balance Tool) at the start of the project, and will re-validate the baseline GHG data using this tool during the inception phase. It is unlikely that ground verification or satellite imagery will be used due to high costs and inability to use it uniformly all across the landscapes. During implementation, the project will rely on forest area monitoring data which is available on an annual basis from forest agencies in the target countries. This will enable the project to confirm the dynamics in the forest area in the targeted landscapes. Forest area data thus collected will be inputted into the FAO EX-ACT Tier 1 option and will thus allow tracking of progress with respect to the GHG avoidance target.

## 2. BRAZIL PROJECT

### CO2 Mitigated—Project target 14.6 million tCO<sub>2</sub>e

This project will directly support the creation of 10,000 hectares of conservation units, support the restoration of 2,500 hectares, and support the inclusion of an estimated 500,000 hectares in the environmental registry, hence in compliance with the Forest Code. The total area that this project will target is in approximately 6 million hectares, which includes 10 municipalities. Deforestation rates in 2011 for the whole Matopiba region were 7,249km<sup>2</sup>.<sup>56</sup> Through reduction in commodity-driven deforestation due to policy changes, enforcement (the Forest Code- CAR Registry in Brazil) and spatial planning, we assume this will lead to a 15% reduction in deforestation rate or 1,000 km<sup>2</sup> per year in the Matopiba region. This roughly translates to 100,000 hectares per year. Above ground biomass in the cerrado is estimated at 8.6 tons per hectare and below ground root biomass 22 tons per hectares of carbon<sup>57</sup>. We also converted tons of carbon to tons of CO<sub>2</sub>e in order to measure, in a common and internationally accepted unit for GHG emission, by using the conversion factor (44/12) or 3.6667. This would translate into roughly 11 million of tCO<sub>2</sub> per year for the whole Matopiba region. Considering the project will work in 10 municipalities covering approximately 6 million hectares or about 10% of the region, we estimate carbon avoided in this area being 1.1 million tCO<sub>2</sub> per year. It is estimated therefore that this project will have **11 million tCO<sub>2</sub>e avoided** over a 10-year period. Since this project is also working to directly protect 10,000 hectares through the creation of conservation areas, we estimated CO<sub>2</sub> based on the study “[Carbon Stock in cerrado sens stricto in the Federal District](#)”, by Paiva, Rezende and Pereira<sup>2</sup>. Above ground biomass is 315,000 tCO<sub>2</sub>e and below ground biomass is 820,000 tCO<sub>2</sub>e. **The total CO<sub>2</sub> mitigated of this area is therefore approximately 1,135,000.** In the BAU scenario the carbon content in the soil compartment in the protected area will be lost at 25% (up to 50 cm depth) of carbon stock<sup>58</sup>. This would be 2.475 million tCO<sub>2</sub>e. Thus, this project will contribute to avoiding 14.6 million tCO<sub>2</sub>. This area will be monitored through the creation of the protected area and subsequent monitoring it by working with organizations that can verify the CO<sub>2</sub> estimations are accurate.

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<sup>56</sup> This project might have to revise the deforestation rate as 2013 data becomes available.

<sup>57</sup> Paiva, Pereira, and Rezende.

<sup>58</sup> Since this area will be completely protected we can also include the soil compartment (2 meters depth), which corresponds to 90% of total carbon stock. This would in turn add **9.9 million of avoided tCO<sub>2</sub>e**. To be conservative for the BAU scenario we will assume that 25% of carbon would be lost.

## A. Assumptions underlying indirect carbon benefit calculations

Indirect benefits will result from national and international learning and replication effects as well as, importantly, from the synergistic benefits of the IAP's innovative supply chain approach. While difficult to calculate with precision, the IAP has used the following assumptions in estimating the size of these benefits:

- 9.05 million ha of forested land will be affected: These include a projected 5 million ha within target countries at varying degrees of proximity to target landscapes (e.g. other districts within Riau, forests in Papua, etc) and 5 million ha in other countries where IAP partners are working. In both cases, learning, replication and the supply chain approach itself will generate benefits.
- An assumed 5% reduction in BAU deforestation rates across the above-mentioned area due to the project, from 1.5% to 1.425%
- An assumed average forest carbon content of 150 Mg/ha carbon
- A resulting 10-year carbon benefit of 37.3 million tons CO<sub>2</sub>e