

HOJA DE RUTA



TIPO DE REVISION:	PROYECTO NUEVO	<input checked="" type="checkbox"/>	FONDO/S	62000/04000
	GENERAL	<input type="checkbox"/>	DONANTE/S	GEF/UNDP
	MANDATORIA	<input type="checkbox"/>	AGENCIA/S IMPLEMENTADORA/S	UNDP
	SUSTANTIVA	<input type="checkbox"/>	# ACTIVIDADES	6
			MONTO TOTAL	120.000,00

PROYECTO NUMERO: 00071305  
 NOMBRE: PPG SOSTENIBILIDAD FINANCIERA ÁREAS PROTEGIDAS

presentado por: [ ]  
 formato AWP [ ]  
 cuadro de responsabilidades [ ]  
 plan de compras [ ]  
 plan de trabajo [ ]  
 cronograma de actividades [ ]  
 aprobación Finanzas Programa [ ]  
 revisión Unidad de Operaciones [ ]  
 aprobación Coordinador Programa [ ]  
 aprobación Representante Residente [ ]

FECHA: [ ]  
 FECHA: [ ]  
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MMP EB SIB  
 P/00071305 GOR...  
 09E-03200

1. PROPOSAL- APROBACION LUEGO DE PREPAC /CLEARING HOUSE

MINUTA PREPAC: N/A POR SER IP  
 OFICIAL DE PROGRAMA: [ ] APROBADO: DOA del 22/06/2009  
 ASISTENTE A CARGO: [ ]

AÑO	APROBADO	AUMENTO/ DISMINUCIO N EN ESTA REVISION	TOTAL INCLUIDA ESTA REVISION	% DE UTILIZACION
2009	\$20.000.000			
2010				
2011				
2012				

Variación Presupuesto: NO  n/a SI  n/a  
 Monto anterior: n/a  
 Variación: n/a  
 Total de presupuesto: n/a

2 AWARD

FIRMADO POR RR: [ ] FECHA: [ ]  
 APROBADO /AWARD MOVED: [ ]

3 PROYECTO /PRESUPUESTO AL MODULO KK

ENVIADO: [ ]

4. COMUNICACIÓN

RESPONSABLE OP

A. AGENCIA: [ ]  
 B. CONTRAPARTE: [ ]

UNDP QUITO: FILE PRODOC [ ]  
 OFICIAL DE PROGRAMA [ ]  
 FINANZAS PROGRAMA [ ]

COMENTARIOS:

1. Inicio de proyecto de conformidad con la delegación de autoridad enviada por la Oficina UNDP/GEF de la Sede en Nueva York, para la fase PPG (Project Preparation Plan), que abarca las actividades de la 1 a la 4, con un monto aprobado de USD100.000,00 del GEF (62000). El GMS Off the Top es de 3%. En cumplimiento con el manual de programa UNDP/GEF, el presente proyecto es un "Inception Plan" que reemplaza la antigua versión de "Preparatory Assistance", y se ejecuta de forma directa según se observa en [http://intra.undp.org/gef/programmingmanual/ppg\\_prodoc.htm](http://intra.undp.org/gef/programmingmanual/ppg_prodoc.htm).  
 2. Ingreso de cofinanciamiento de la Oficina de País de UNDP, en el orden de USD20.000,00, distribuidos entre las actividades 5 "Apoyo local", y 6 "Apoyo a la NAFR", con fondos TRAC. (04000).

<b>Award ID:</b>	00057640
<b>Award Title:</b>	Sustainable Financing of Ecuador's National System of Protected Areas (SNAP) and associated private and community-managed PA subsystems
<b>Business Unit:</b>	ECU10
<b>Project Title:</b>	00071305 Sustainable Financing of Ecuador's National System of Protected Areas (SNAP) and associated private and community-managed PA subsystems
<b>Implementing Partner:</b>	UNDP

	Responsible Party/ Implementing Agent	Fund ID	Donor Name	Budgetary Account	ATLAS Budget Description	Amount 2009
<b>GEF Outcome/Atlas Activity</b>						
<b>OUTCOME 1:</b>						
Baseline analysis and technical studies for the further definition of project components	UNDP CO ECU	62000	GEF TRUSTEE	71300 71600 75700 74200	Local Consultants Travel Workshops Printing & Publication	9,600.00 1,500.00 1,500.00 1,325.00
	total					<b>13,975.00</b>
<b>OUTCOME 2:</b>						
Assessment of institutional capacity and stakeholder participation requirements for sustainable financing of protected area subsystems and project implementation	UNDP CO ECU	62000	GEF TRUSTEE	71300 71600 75700 74200	Local Consultants Travel Workshops Printing & Publication	6,400.00 1,500.00 1,500.00 1,325.00
	total					<b>10,775.00</b>
<b>OUTCOME 3:</b>						
Final definition of pilot sites to demonstrate financial planning, management, investment and new revenue-generation mechanisms	UNDP CO ECU	62000	GEF TRUSTEE	71300 71600 75700 74200	Local Consultants Travel Workshops Printing & Publication	24,900.00 1,500.00 1,500.00 1,325.00
	total					<b>29,275.00</b>
<b>OUTCOME 4:</b>						
Monitoring and evaluation mechanisms defined to measure the performance and impacts of the FSP on financial sustainability of Ecuador's protected area	UNDP CO ECU	62000	GEF TRUSTEE	71300 71600 75700 74200	International Consultants Local Consultants Travel Workshops Printing & Publication	20,000.00 21,600.00 1,500.00 1,500.00 1,325.00
	total					<b>45,975.00</b>
<b>OUTCOME 5:</b>						
Local support	UNDP CO ECU	04000	UNDP	71300 71600 75700 74500	Local Consultants Travel Workshops Miscellaneous	4,000.00 2,500.00 1,566.74 1,000.00
	total					<b>9,066.74</b>
<b>OUTCOME 6:</b>						
Support to NAFR	UNDP CO ECU	04000	UNDP	71300 71600 75700 74500	Local Consultants Travel Workshops Miscellaneous	4,000.00 4,814.40 1,500.00 618.86
	total					<b>10,933.26</b>
					<b>PROJECT TOTAL</b>	<b>120,000.00</b>

<b>Summary of Funds:</b>	TRAC	20,000.00
	GEF	100,000.00
	<b>TOTAL</b>	<b>120,000.00</b>

Programa de las Naciones Unidas para el Desarrollo  
Ecuador – Quito



**Proyecto:** 00071305  
Sostenibilidad Financiera  
del Sistema Nacional de  
**Título:** Áreas Protegidas, sus  
subsistemas privados y  
comunitarios.

**Año de Inicio:** Julio 2009  
**Año de Fin:** Febrero 2010

**Modalidad de Ejecución:** DEX /  
Inception Plan

**Agente Implementador:** UNDP

**Tipo de Revision:** A INICIO DE PROYECTO

ORIGEN	AÑO	VALOR
<b>A. Presupuesto:</b>		
GEF (62000)	2009	\$ 100.000,00
UNDP (04000)	2009	\$ 20.000,00
<b>A. Total Presupuesto</b>		<b>\$ 120.000,00</b>
<b>D. Contribuciones:</b>		
GEF (62000)		\$ 100.000,00
UNDP (04000)		\$ 20.000,00
<b>D. Total Contribuciones</b>		<b>\$ 120.000,00</b>

**Justificación:**

1. Inicio de proyecto de conformidad con la delegación de autoridad enviada por la Oficina UNDP/GEF de la Sede en Nueva York, para la fase PPG (Project Preparation Plan), que abarca las actividades de la 1 a la 4, con un monto aprobado de USD100.000,00 del GEF (62000). El GMS Off the Top es de 3%. En cumplimiento con el manual de programa UNDP/GEF, el presente proyecto es un "Inception Plan" que reemplaza la antigua versión de "Preparatory Assistance", y se ejecuta de forma directa (sin necesidad de solicitar autorización a la Sede ni de convocar a un PAC) según se observa en [http://intra.undp.org/gef/programmingmanual/ppg\\_prodoc.htm](http://intra.undp.org/gef/programmingmanual/ppg_prodoc.htm).

2. Ingreso de cofinanciamiento de la Oficina de País de UNDP, en el orden de USD20.000,00, distribuidos entre las actividades 5 "Apoyo local", y 6 "Apoyo a la NAFR", con fondos TRAC (04000).

**Aprobado por:**

José Manuel Hermida  
Representante Residente

28/7/09  
Fecha

PK



## Annual Work Plan

Ecuador - Quito

Award Id: 00057640

Award Title: GEF-PIMS4142BD PPG: Ecuador Financial Sustainability

Year: 2009

Report Date: 27/7/2009

Project ID	Expected Outputs	Key Activities	Timeframe		Responsible Party	Planned Budget				
			Start	End		Fund	Donor	Budget Descr	Amount US\$	
00071305	GEF-PIMS4142BD PPG: Ecuador Fi	1 Baseline analysis and tech			UNDP	62000	GEFTrustee	71300	Local Consultants	9,600.00
					UNDP	62000	GEFTrustee	71600	Travel	1,550.00
					UNDP	62000	GEFTrustee	74200	Audio Visual&Print Prod Costs	1,325.00
					UNDP	62000	GEFTrustee	75700	Training, Workshops and Confe	1,500.00
					UNDP	62000	GEFTrustee	71300	Local Consultants	6,400.00
					UNDP	62000	GEFTrustee	71600	Travel	1,550.00
		2 Assessment of institutional		UNDP	62000	GEFTrustee	74200	Audio Visual&Print Prod Costs	1,325.00	
				UNDP	62000	GEFTrustee	75700	Training, Workshops and Confe	1,500.00	
				UNDP	62000	GEFTrustee	71300	Local Consultants	24,900.00	
				UNDP	62000	GEFTrustee	71600	Travel	1,550.00	
				UNDP	62000	GEFTrustee	74200	Audio Visual&Print Prod Costs	1,325.00	
				UNDP	62000	GEFTrustee	75700	Training, Workshops and Confe	1,500.00	
		3 Final definition of pilot si		UNDP	62000	GEFTrustee	71300	Local Consultants	20,000.00	
				UNDP	62000	GEFTrustee	71600	Travel	21,600.00	
				UNDP	62000	GEFTrustee	74200	Audio Visual&Print Prod Costs	1,325.00	
				UNDP	62000	GEFTrustee	75700	Training, Workshops and Confe	1,500.00	
				UNDP	62000	GEFTrustee	71200	International Consultants	20,000.00	
				UNDP	62000	GEFTrustee	71300	Local Consultants	21,600.00	
		4 Monitoring and evaluation		UNDP	62000	GEFTrustee	71600	Travel	1,550.00	
				UNDP	62000	GEFTrustee	74200	Audio Visual&Print Prod Costs	1,325.00	
				UNDP	62000	GEFTrustee	75700	Training, Workshops and Confe	1,500.00	
				UNDP	04000	UNDP	71300	Local Consultants	4,000.00	
				UNDP	04000	UNDP	71600	Travel	2,500.00	
				UNDP	04000	UNDP	74500	Miscellaneous Expenses	1,566.74	
5 Local support UNDP CO E		UNDP	04000	UNDP	75700	Training, Workshops and Confe	1,000.00			
		UNDP	04000	UNDP	71300	Local Consultants	4,000.00			
		UNDP	04000	UNDP	71600	Travel	4,814.40			
		UNDP	04000	UNDP	74500	Miscellaneous Expenses	1,500.00			
		UNDP	04000	UNDP	75700	Training, Workshops and Confe	618.86			
		UNDP	04000	UNDP	75700	Training, Workshops and Confe	120,000.00			
<b>TOTAL</b>										<b>120,000.00</b>
<b>GRAND TOTAL</b>										<b>120,000.00</b>



**INITIATION PLAN  
FOR A GEF PROJECT PREPARATION GRANT (PPG)**

**Country Ecuador**

UNDAF Outcome(s)/Indicator(s):	Sustainable development principles have been mainstreamed and are applied in national and local policies and programs.
Expected Outcome(s)/Indicator (s):	Improved capacity of local authorities, community-based groups and private sector in natural resources and environmental management.
Expected Output(s)/Indicator(s):	Public policy for management of regional ecosystems approved and applied at national level.

Programme Period: 2004 - 2009  
 Programme Component: Energy and Environment  
 PPG Title: Sustainable Financing of Ecuador's National System of Protected Areas (SNAP) and associated private and community-managed PA subsystems  
 ATLAS Project ID: 00071305  
 PIMS Project ID: 4142  
 Duration: 8 months  
 Management Arrangement: DEX

Total budget:	USD100,000
Allocated resources:	_____
• Government	_____
• Regular	_____
• Other:	
○ Donor	USD100,000
○ Donor	_____
○ Donor	_____
• In kind contributions	USD100,000

AGREED BY UNDP RESIDENT REPRESENTATIVE / UNDP DIRECTOR:

José Manuel Hermida

Signature:

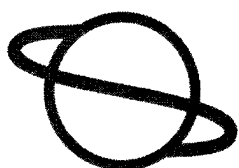
Date:

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## Brief Description of Initiation Plan

The purpose of the PPG is to develop a FSP proposal that will strengthen the financial sustainability of Ecuador's National System of Protected Areas (SNAP) and associated sub-systems by increasing revenues, reducing costs, and improving financial planning and management at the level of the entire system and its constituent PA units. This preparatory phase aims at finalizing the studies and arrangements for the submission of this FSP project to the GEF. The PPG will also enable the stakeholders' consultations and data collection for the establishment of baseline and complementary activities that will be validated by involved stakeholders. The following text form the approved PPG outline the activities, costings and expertise that will be provided through this IP.

### GEF PPG approved grant document and TBWP



**GEF**

## REQUEST FOR PROJECT PREPARATION GRANT (PPG) PROJECT TYPE: FULL-SIZED PROJECT THE GEF TRUST FUND

**Submission date:** May 21st, 2009

**GEF PROJECT ID:** 3829

**GEF AGENCY PROJECT ID:** 4142

**COUNTRY:** Ecuador

**PROJECT TITLE:** Sustainable Financing of Ecuador's National System of Protected Areas (SNAP) and associated private and community-managed PA subsystems

**OTHER EXECUTING PARTNERS:** Ministry of Environment (MOE); Ecuador Private Forests Network; Foundation for Agrarian and Rural Development (FUNDAR)

**GEF FOCAL AREA:** Biodiversity

**GEF-4 STRATEGIC PROGRAM:** BD-SP1 PA Financing

**NAME OF PARENT/PROGRAM/UMBRELLA PROJECT:** NA

#### A. PROJECT PREPARATION TIMEFRAME

Start date of PPG*	May 2009
Completion date of PPG	December 2009

\*Initial preparatory activities are already underway funded through non GEF resources

#### B. PAST PROJECT PREPARATION ACTIVITIES (\$) Not Applicable

#### C. PROPOSED PROJECT PREPARATION ACTIVITIES (\$)

The proposed project will strengthen the financial sustainability of Ecuador's National System of Protected Areas (SNAP) and associated sub-systems by increasing revenues, reducing costs, and improving financial planning and management at the level of the entire system and its constituent PA units. The overall project strategy and main components were identified in the preparation of the PIF and include systemic work as well as working with five protected areas (PAs) within the existing sub-system of public Natural Areas of National Heritage (PANE), at two Private Forest sites and at one community-managed conservation area. These pilots will demonstrate financial planning, management and investment alongside testing of new revenue-generation mechanisms. PPG resources are being requested to support more detailed analysis and consultations to finalise the definition and full-costing of priority actions at the systemic level of this framework as well as at each pilot site.

PPG resources will therefore be used to support four main types of activities. The first is the collection of data for finalizing baseline analysis and technical inputs to further detail the components of the FSP. The second is the assessment of institutional coordination needs and stakeholder participation mechanisms for improved financial management in protected area sub-systems as well as for the FSP implementation. The third is the final definition of pilot protected areas, associated actions and

implementing partners. The fourth is the definition of monitoring and evaluation mechanisms to measure the FSP performance and impacts. Each is described in detail below:

### **1. Baseline analysis and technical studies for the further definition of project components**

The PPG resources will be used and to undertake technical studies related to financial sustainability of the protected areas in Ecuador both in the national system and in two private and community sub-systems. This will enable a more precise understanding of the constraints and thereby refine the structuring and detailing of the project intervention strategies. The main issues and studies will be:

- *A detailed assessment of the protected areas legal framework* vis à vis the new Constitution, the up-coming Environmental Code, present, and the National Development Plan 2007-2010, tax laws and the national budget policy. It will also assess relevant sectoral legal framework and initiatives that could influence PA financing and project design. These include the future Forest Law; the legal and institutional framework for sustainable tourism and ecosystem services; and the initiative underway to forego oil exploration maintaining it underground to avoid negative impacts. This assessment would enable a more in depth understanding of legal constraints that prevent financial sustainability as well as identify opportunities that can be further explored in the FSP.
- *An awareness survey* would be undertaken to determine how mainstreamed the role and contribution of SNAP is in the national agenda for development; measure the SNAPs positioning in the project's target population; and an initial assessment of the willingness of private sector to contribute PA financing.
- *Financial needs and options study*: This will update the study of financing needs of the PANE subsystem and assess the financing needs of the other subsystems (APPRI and APC). It will include assessments of financing gaps both at system and site level, revenue generation sources and potentials including cost effectiveness approaches such as economies of scale, co-management and strategic alliances between private forests owners and communities for PAs. Based on this study, possible models to be tested in the FSP will be defined for each subsystem levels. It will also include identify potential strategic alliances, and will explore potential co financing among relevant private sector institutions. As part of the option-study to be considered the feasibility and contribution of an increased capitalization of the existing PA Trust Fund will be further explored.

### **2. Assessment of institutional capacity and stakeholder participation requirements for sustainable financing of protected area subsystems and project implementation:** PPG resources will be used to:

- *Assess capacity needs* for financial sustainability including institutional and management levels of the SNAPs three subsystems- State-owned land (PANE), Private Protected Areas (APPRI) and Community-Indigenous-Afro Ecuadorian Protected Areas (APC). This will include the application of the financial scorecard and the capacity assessment tool as well as targeted consultations and surveys to determine existing skills and competence profiles for personal and defining training - needs for their up-grade.
- *Stakeholder-analysis and consultations* to enhance the support for the project and participation in implementation and monitoring. This will feed into the definition of a Participation Plan for the FSP. It will also provide inputs to the final definition of co-funding for the FSP.
- *Definition of Implementation and Coordination Arrangements* for the FSP taking into account the fact that three subsystems will be targeted. In addition to definition of roles and responsibilities for each project components this assessment will also define cost-effective coordination mechanisms for the implementation of the FSP and mechanisms to be developed in the FSP to coordinate and integrate the many institutions and organizations related to SNAP and sub-systems.

### **3. Final definition of pilot sites to demonstrate financial planning, management, investment and new revenue-generation mechanisms**

During the development of the PIF 5 public PAs<sup>1</sup> (PANE) and 2 targeted APRI units were pre-identified to be pilots in the FSP. The PPG will reconfirm this selection through a participatory process and on the additional baseline and technical information collected through technical studies (see activity 1). Criteria for the selection will include: for private and community-managed areas, proximity to other such areas and to existing public PAs (to facilitate a cluster approach for sharing of resources); PAs without significant outside funding sources (e.g. PAs currently being funded by the FAP); and PAs with strong potential to generate sustainable financing, such as ecotourism, water provision services (PAs within PANE generate 60% of the water used for agriculture and 50% of the potable water in the country), and hydroelectric generation (60% of the water used for hydroelectric power generation). Due to its global ecological value and because coastal wetlands are under-represented in the SNAP, the Abras de Mantequilla wetlands already selected during PIF will continue to be the APC site for the project. As part of the process for final definition of PA, and to feed into the M&E plan (see activity 4) the

<sup>1</sup> These PAs (Cotopaxi, Chimborazo, Manglares Churute, Podocarpus y Cayambe Coca) were selected in the SNAP Sustainable Financing Strategy, but will be reviewed and possibly changed during the PPG phase.

METT will be applied to all pilot candidates as well as the collection and analyse of relevant baseline data (including biodiversity and socio-economic issues).

**4. Monitoring and evaluation mechanisms defined to measure the performance and impacts of the FSP on financial sustainability of Ecuador's protected areas**

The PPG will review the effectiveness of current monitoring and evaluation systems used in relevant institutions and organizations and project partners for financial management of Protected areas and sub-systems and evaluate which elements could be used to build the monitoring and evaluation (M&E) of the project. This M&E system would be used to guide adaptive management of the FSP and track project impacts. Given that the project will be working with three sub-systems the M&E system will need to be carefully constructed to capture the characteristics of each while maintaining overall coherency. To feed into this design the following actions will be undertaken: (i) validate the set of proposed project outcomes, outputs and activities, based on a logical framework analysis and the definition of expected local, national and global environmental benefits, cost effectiveness and sustainability of different approaches; (ii) select a set of indicators for determining the impact of project outcomes and progress and for monitoring protected areas financial sustainability and its relation to biodiversity conservation; (iii) cost the expected project outcomes and outputs, finalizing co-financing sources and commitments, in compliance with the GEF incremental cost principles (iv) finalize and cost the project M&E plan with baseline, targets and indicators; and outline a learning and replication strategy.

Proposed PPG Activities	Output of the PPG Activities	PPG Amount a	Co-financing b	Total c = a + b
Technical studies	Baseline and barrier analysis completed and pilots for market based strategies and spatial planning defined	40,000	25,000	65,000
Institutional capacity and stakeholder participation assessments	Institutional capacity building components defined for the FSP and participation and coordination mechanisms delineated for project implementation.	20,000	25,000	45,000
Pilot PA definition	Protected Areas to be used as pilots defined for the FSP along with details on actions and costs agreed with local stakeholders	20,000	30,000	50,000
Analysis of Monitoring and evaluation (M&E)	Agreed upon project logframe matrix with respective project M&E plan and budgets for the FSP	20,000	20,000	40,000
<b>Total Project Preparation Financing</b>		<b>100,000</b>	<b>100,000</b>	<b>200,000</b>

**D. FINANCING PLAN SUMMARY FOR PROJECT PREPARATION GRANT: (\$)**

	Project Preparation	Agency Fee
GEF financing	100,000	10,000
Co-financing	100,000	
<b>Total</b>	<b>200,000</b>	<b>10,000</b>

**E. PPG REQUESTED BY AGENCY, FOCAL AREA AND COUNTRY**

Not applicable as this is a single focal area, single country and single GEF Agency project

**F. PPG BUDGET REQUEST**

Cost Items	Total Estimated Person Weeks for GEF Grant (PW)	GEF (\$)	Co-financing (\$)	Total (\$)
Local consultants *	74	62,500	17,400*	79,900
International consultants*	10	20,000	0	20,000
Travel**		6,200	46,300	52,500
Workshops**		6,000	26,100	32,100
Reporting & documentation		5,300	10,200	15,500
<b>Total PPG Budget</b>		<b>100,000</b>	<b>100,000</b>	<b>200,000</b>

\* See Annex A for information on consultancies. Co-funding here refers to the cost of local experts that will take part in studies and analysis for project definition including staff of Government and NGO proponents that will dedicate part of their time to the preparation of the FSP.



**G. GEF AGENCY CERTIFICATION**

This request has been prepared in accordance with GEF policies and procedures and meets the GEF criteria for project identification and preparation.					
UNDP-GEF Coordinator, Agency name	Signature	Date	Project Contact Person	Telephone	Email Address
Yannick Glemarec UNDP/GEF Executive Coordinator	<i>Y. Glemarec</i>	<i>May 21st 2009</i>	<i>Helen Coles de Negret</i>	<i>507- 3024508</i>	<i>helen.negret@undp.org</i>

**Annex A**

**Consultants Financed by the Project Preparation Grant (PPG)**

Position / Titles	S/ Person Week <sup>1</sup>	Estimated PWs <sup>2</sup>	Tasks to be performed
<b>Local</b>			
Participation and project development Specialist	900	24	<p>Project development will require information and action from different stakeholders with distinct understandings of financial sustainability of protected areas. It will also require close consultation with all parties to ensure the definition of feasible and targeted components and that all proponents are cognizant of, and agree with, the goals and targets being proposed and the indicators to be used for their measurement. To provide support to this process a specialist with expertise in institutional capacities, participation techniques will be hired to support the data collection, systematization and validation of findings. He/she should also be familiar with project development and would liaise with the expert on monitoring on evaluation and the more technical specialities acting as a conduit between the different stakeholders and these experts. As an independent consultant he /she rather than a staff member of any of the subsystems would provide a neutral platform for facilitating this dialogue. Working in conjunction with Government counterparts and those from other sub- systems he/she will:</p> <ul style="list-style-type: none"> <li>• Provide orientation to the representatives of the different sub-systems and to different consultants (see below) to ensure a good understanding of and a harmonised approach to, information collection, analysis and consultation across themes, stakeholders and sub-systems.</li> <li>• Assess of on-going and proposed projects that would complement the FSP either through providing co-funding or critical baseline interventions;</li> <li>• Build good relations among stakeholders to promote participatory selection of pilot sites and to determine the awareness of each as regards PA. Work closely with the protected area expert to ensure that the selection process is conducted in a participatory manner.</li> <li>• In close collaboration with the capacity needs expert undertake an awareness study to determine how mainstreamed the role and contribution of SNAP is in the national agenda for development; to measure the SNAPs positioning in the project's target population; and an initial assessment of the willingness of private sector to contribute PA financing.</li> <li>• Building on the results of the stakeholder analysis, hold discussions with project director and proponents to define the implementation and coordination arrangements for the FSP taking into account the fact that three subsystems will be targeted. This will include the definition of roles and responsibilities for each project component and cost-effective coordination mechanisms for implementation</li> <li>• Work closely with the environmental monitoring and evaluation expert to ensure that the final definition of FSP outcomes, outputs and activities, is agreed on by the</li> </ul>

			<p>stakeholders of the different sub-systems, takes into account their needs and is to be measured through agreed upon indicators. (see tasks under international consultant at end of table).</p> <ul style="list-style-type: none"> <li>• Provide methodological orientation to different consultants (see below) to ensure a harmonised approach to information collection, analysis and consultation across themes, stakeholders and sub-systems.</li> <li>• Familiarize him/herself with GEF eligibility criteria under the biodiversity focal area and its SO1-SP1 Biodiversity-PA Financing as well as other relevant UNDP-GEF project documentation to ensure that project proponents understand requirements and that there is a collective understanding of the type of preparation work required for the development and delivery of an eligible project. Undertake periodic briefings of consultants and the boarder PPG team (including project proponents) to monitor that these criteria are being used collection of information and that this is at the level of detail expected, and in the manner to fit current standard formats for UNDP-GEF projects so as</li> <li>• Further identification and assessment of on-going and proposed projects that would complement the FSP either through providing co-funding or critical baseline interventions;</li> <li>• Work closely with the environmental monitoring and evaluation expert in the final definition of FSP outcomes, outputs and activities, based on a logical framework analysis (see tasks under international consultant at end of table).</li> <li>• Build good relations among stakeholders to promote participatory selection of pilot sites and to determine the awareness of each as regards PA. Work closely with the protected area expert to ensure that the selection process is conducted in a participatory manner.</li> <li>• In close collaboration with the capacity needs expert undertake an awareness study to determine how mainstreamed the role and contribution of SNAP is in the national agenda for development; to measure the SNAPs positioning in the project's target population; and an initial assessment of the willingness of private sector to contribute PA financing.</li> <li>• Building on the results of the stakeholder analysis, hold discussions with project director and proponents to define the implementation and coordination arrangements for the FSP taking into account the fact that three subsystems will be targeted. This will include the definition of roles and responsibilities for each project component and cost-effective coordination mechanisms for implementation.</li> </ul>
Protected Area Finance Expert (Natural Resources Economist)	850	18	<p>In consultation with project implementation partners and in coordination with Project Development specialist:</p> <ul style="list-style-type: none"> <li>• Evaluate the current funding situation of the SNAP, in terms of needs versus current income from different sources. This should be undertaken in close collaboration with the PA specialist and build on the existing study of financing needs of the PANE subsystem.</li> <li>• Assess the financing needs of the other subsystems (APPRI and APC).</li> <li>• Based on both studies determine an estimate of financing gaps both at system and site level and present potential revenue generation sources for each subsystem and other strategies for reducing this gap such as cost effectiveness approaches (economies of scale, co-management and strategic alliances between private forests owners and communities for PAs).</li> <li>• Identify financial mechanisms that can be tested at each potential pilot site, evaluating feasibility in terms of their income generation potential, their social, financial and institutional sustainability and possible impacts.</li> <li>• Design the actions required to test the most feasible instruments along with costs, times, and resource needs for each pilot</li> <li>• Formulation of strategies for the promotion of revenue generation options for the FSP including aspects such as institutional strengthening, training, coordination between institutions and communities, participation and regulatory frameworks.</li> <li>• Lead application of the financial scorecard with project partners to further identify constraints for financial sustainability of the SNAP and provide baseline and target values that would feed into the project M&amp;E plan.</li> </ul>
Protected Areas	800	12	<p>a) <i>Working in conjunction with Government experts from the relevant authorities and the project proponents from the sub-systems:</i></p>

Specialist			<ul style="list-style-type: none"> <li>• Lead the application of METT in candidate pilot PA and in a broader sub-set of PA to determine management effectiveness and operational sustainability of PAs. This would include an analysis on the threats to the protected areas to identify the main constraints for their effective PA management and determine possible operational needs (and hence costs). This would be used to feed into the needs and options study.</li> <li>• Finalize the select the pilot areas to be included in the FSP through an approach defined together with the project coordinator and participation specialists.</li> <li>• Building on the above analysis and with inputs from the studies of the finance expert define actions at each site together with the relevant stakeholders and complete essential baseline studies to determine initial values for indicators.</li> </ul> <p>b) <i>Working in close collaboration with the PA finance specialist and government counterparts</i></p> <ul style="list-style-type: none"> <li>• Undertake a desk review of the financial status of PAs throughout the country that will complement the METT assessment and feed into the definition of strategies and budgetary requirements for filling gaps during project implementation</li> <li>• Analysis the current make up of the SNAP contrasting the results of the METT and financing studies with the overall structure (numbers of PA, management categories etc) and identify the needs and opportunities for rationalization of the SNAP, for example through the modification of categories or the linking of currently dispersed PAs in order to generate economies of scale.</li> </ul> <p>c) <i>Working in close collaboration with the capacity needs specialist</i></p> <ul style="list-style-type: none"> <li>• Analyze stakeholders in the NGO, private and Government sectors and identify options for partnerships in support of PA management. This should include the identification of opportunities for co-management arrangements with local communities to be explored during the project implementation phase. Provide input to the capacity assessment and define priority actions required in the FSP to up-grade PA practioners in pilot sites for financial management</li> </ul> <p>d) <i>Working closely with the M&amp;E specialist</i></p> <ul style="list-style-type: none"> <li>• Lead in the preparation of project documentation related to pilots including maps, datasets, indicators and costing. This includes the quantification of baseline values for indicators and proposal of target values for the mid-term and end of the project . It also includes developing a map, graphic and text summaries of this analysis for presentation in suitable formats for the Project documentation</li> </ul>
Trust Fund Specialist	800	8	<p><i>Working in close collaboration with the PA finance specialist and government counterparts:</i></p> <ul style="list-style-type: none"> <li>• Assess the feasibility of increasing capitalization of the existing Fund for PA to contribute to the reduction of existing funding gap. Develop a proposal for increasing this capitalization that includes resources from GEF and co-funding with full details of fund raising strategies; scheduling and resource disbursement mechanisms</li> <li>• Determine whether the existing Trust Fund structure would be an appropriate vehicle for funding the sub-systems of PA participating in the project and propose changes to the structure as needed</li> <li>• Determine whether the existing Fund and any proposed adjustments satisfy eligibility requirements for GEF funding. This includes whether the Fund can continue as a public-private mechanism outside of direct government control; whether it has clear goals and objectives, which can be satisfied with the income generated from the proposed capital targets; whether the basic fabric of legal and financial practices and supporting institutions (including banking, auditing and contracting) is adequate; whether the Fund is operated cost effectively; whether the Fund is legally domiciled in the recipient country.</li> <li>• Design measures to ensure the security of proposed new assets, from invasion, currency devaluation and attachment, and to manage investment risks.</li> </ul>
Institutional and capacity needs Specialist	800	8	<p>Working in close collaboration with the protected area and finance experts and under the guidance of the project development specialist</p> <ul style="list-style-type: none"> <li>• Undertake a stakeholder analysis characterizing existing relationships and roles in PA management thereby identifying potential partners in the NGO, Government and private sectors for increasing PA financial sustainability and for the FSP- both in terms of participation in implementation and monitoring. This should be used to develop a Participation Plan for the FSP in conjunction with the project developer</li> </ul>

			<ul style="list-style-type: none"> <li>Define strategies to promote constructive relationships between stakeholders for the PA subsystems and the FSP In close collaboration with PPG coordinator, negotiate initial agreements on the nature of the proposed partnerships, to be developed during the implementation phase;</li> <li>Undertake a capacity needs assessment for financial sustainability including institutional and management levels of the SNAPs three subsystems- State-owned land (PANE), Private Protected Areas (APPRI) and Community-Indigenous-Afro Ecuadorian Protected Areas (APC). This will include the application of the financial scorecard and the capacity assessment tool as well as targeted consultations and surveys to determine existing skills and competence profiles for personal and defining training -needs for their up-grading.</li> <li>Formulate appropriate quantitative indicators of institutional capacities and definition of their baseline and target (project end) values.</li> </ul>
Regulatory framework expert	800	4	<ul style="list-style-type: none"> <li>A undertake detailed analysis of the regulatory framework affecting the SNAP, identifying in particular any instruments which represent barriers to the operational and financial sustainability of the system. This includes the new Constitution, the upcoming Environmental Code the National Development Plan, tax laws and the national budget policy as well as relevant sectoral legal framework and initiatives that could influence PA financing and project design, for example the future Forest Law; the legal and institutional framework for sustainable tourism and ecosystem services;</li> <li>Working in close collaboration with the Finance expert and based on this identify actions required in the FSP to overcome constraints and or to optimize opportunities particularly in terms of testing new revenue generation mechanisms.</li> </ul>
<b>International</b>			
Environmental M&E Specialist*	2000	10	<p><i>Working in conjunction with Government counterparts and the participation expert:</i></p> <ul style="list-style-type: none"> <li>Construct an appropriate monitoring and evaluation system for the project that will: (a) enable the adoption of adaptive management strategies during project implementation; (b) facilitate the evaluation of the project on completion; and (c) provide the basis for an integrated M&amp;E system for Ecuador's National Protected Area System and associated sub-systems. This will include assessing existing monitoring and evaluation systems of the existing sub-systems expert to finalize the set of indicators for determining the impact of project outcomes. In doing this t he/she will work closely with the institutional and participation experts to ensure that the stakeholders from the different sub-systems are in agreement with the indicators and their role in monitoring.</li> <li>Provide overall orientation to PPG team in relation to GEF logic and information requirements and in this context provide inputs for the development of key outputs such as baseline analysis, project and indicators, methodologies. In this context he/she will liaise closely with the institutional and participation experts at key point during the project preparation to discuss information needs and facilitate that expert to define protocols for the collection and systematization of information from different stakeholders</li> <li>Validate the set of project outcomes, outputs and activities, based on a logical framework analysis and the definition of expected local, national and global environmental benefits, cost effectiveness and sustainability of different approaches;</li> <li>Perform final review and finalize documentation to ensure this is consist with the framework established through the above activities including whether the costing of expected project outcomes and outputs and co-financing sources and commitments are in compliance with the GEF incremental cost principles.</li> </ul>

\* Depending on tender processes this could include local consultants or a combination of these with international

**Total Budget and Work Plan - Sustainable Financing of Ecuador's National System of Protected Areas (SNAP) and associated private and community-managed PA subsystems**

<b>Award ID:</b>	00057640
<b>Award Title:</b>	Sustainable Financing of Ecuador's National System of Protected Areas (SNAP) and associated private and community-managed PA subsystems
<b>Business Unit:</b>	ECU10
<b>Project Title:</b>	Sustainable Financing of Ecuador's National System of Protected Areas (SNAP) and associated private and community-managed PA subsystems
<b>Project ID: PIMS no.</b>	PIMS 4142; Project ID:00071305
<b>Implementing Partner (Executing Agency)</b>	Ministry of Environment (MOE); Ecuador Private Forests Network; Foundation for Agrarian and Rural Development (FUNDAR)

GEF Outcome/Atlas Activity	Responsible Party/ Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount
						2009
<b>OUTCOME 1:</b> Baseline analysis and technical studies for the further definition of project components	Ministry of Environment (MAE)	62000	GEF TRUSTEE	71300	Local Consultants	9,600
				71600	Travel	1,550
				75700	Workshops	1,500
				74200	Printing & Publication	1,325
<b>OUTCOME 2:</b> Assessment of institutional capacity and stakeholder participation requirements for sustainable financing of protected area subsystems and project implementation	Ministry of Environment (MAE)	62000	GEF TRUSTEE	71300	Local Consultants	6,400
				71600	Travel	1,550
				75700	Workshops	1,500
				74200	Printing & Publication	1,325
<b>OUTCOME 3:</b> Final definition of pilot sites to demonstrate financial planning, management, investment and new revenue-generation mechanisms	Ministry of Environment (MAE)	62000	GEF TRUSTEE	71300	Local Consultants	24,900
				71600	Travel	1,550
				75700	Workshops	1,500
				74200	Printing & Publication	1,325
<b>OUTCOME 4:</b> Monitoring and evaluation mechanisms defined to measure the performance and impacts of the FSP on financial sustainability of Ecuador's protected area	Ministry of Environment (MAE)	62000	GEF TRUSTEE	71200	International Consultants	20,000
				71300	Local Consultants	21,600
				71600	Travel	1,550
				75700	Workshops	1,500
<b>PROJECT TOTAL</b>						<b>100,000</b>

<b>Summary of Funds:</b>	GEF	100,000
	<b>TOTAL</b>	<b>100,000</b>

Outcome	Specialists	
1	Regulatory framework expert	3,200
	Trust Fund Specialist	6,400
2	Institutional and capacity needs Specialist	6,400
	Protected Area Finance Expert (Natural Resources Economist)	15,300
3	Protected Areas Specialist	9,600
	Participation and project development Specialist	21,600
4	Environmental M&E Specialist	20,000
	<b>total</b>	<b>82,500</b>

**Asunto:** Delegation of Authority: PIMS 4142 Ecuador BD PA Financing

**De:** Maria Gabriela Pinto <mariagabriela.pinto@undp.org>

**Fecha:** Thu, 02 Jul 2009 18:19:43 -0500

**Para:** Jose Manuel Hermida <jose.manuel.hermida@undp.org>

**CC:** rebeca.grynspan@undp.org, Jose Vicente Troya <jose.troya@undp.org>, 'María Mercedes Proaño' <mamercedes.proanio@undp.org>, 'Susana Viteri' <pasante.ads2@undp.org>, 'Helen Negret' <helen.negret@undp.org>

Dear Mr. Hermida,

Regarding the project PIMS 4142 Ecuador BD PA Financing, we are very pleased to inform that the above-mentioned Project Preparation Grant has received the GEF CEO approval for the development of the corresponding Full Size Project. Please find attached a letter of Delegation of Authority (DOA) from the Executive Coordinator of UNDP/GEF to proceed with the signature and execution of its Initiation Plan (also enclosed). You will find the GEF CEO Approval letter also attached for ease of reference.

We would like to thank your Office for the valuable support and time expended towards this initiative. Given the need to complete preparation of the Full- Size Prodoc by *December 2009* at the latest, we look forward to receiving the signed Initiation Plan and 2009 Annual Work Plan (generated in ATLAS) from your Office, as soon as possible, so as to begin funds disbursement and commence project development activities.

Warm regards,

María Gabriela Pinto

On behalf of: Mrs. Helen de Negret



**María Gabriela Pinto R.**  
Programme Associate  
Energy and Environment Practice  
**UNITED NATIONS DEVELOPMENT PROGRAMME**  
Panama, Rep. of Panama  
Email: [mariagabriela.pinto@undp.org](mailto:mariagabriela.pinto@undp.org)  
Phone: (507) 302-4744  
Fax: (507) 302-4549

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**PIMS 4142 Ecuador PA Financing signed DOA 02Jul09.pdf**

**Content-Type:** application/pdf

**Content-Encoding:** base64

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**PIMS 4142 Ecuador PA Financing final IP Draft.doc**

**Content-Type:** application/msword

**Content-Encoding:** base64



June 22, 2009

Dear Mr. Hermida,

**Subject: Project Preparation Grant: Ecuador: Project Title: Sustainable Financing of Ecuador's National System of Protected Areas (SNAP) and Associated Private and Community-managed PA Subsystems; PIMS No: 4142; - ATLAS BU: ECU10; Proposal ID:00057640; Project ID:00071305**

I am pleased to delegate to you the authority to sign the Initiation Plan for the above-mentioned Project Preparation Grant on behalf of UNDP and to commence implementation of the preparation of the project. As per Rule 116.05 of the UNDP Financial Regulations and Rules (Executive Board Decision 2005/1), this document becomes effective when signed by the Resident Representative. The Initiation Plan, which amounts to a total of US\$100,000, has received its final approval in accordance with the established GEF procedures (CEO approval letter for the PPG attached for ease of reference).

Once the project document is signed, you may request issuance of an Authorized Spending Limit (ASL) by submitting an Atlas-generated Annual Work Plan (AWP) based on the Total Budget and Annual Work Plan in the attached project document, along with a copy of the signed cover page, to Mrs. Helen de Negret, Regional Technical Advisor in Panama City, Panama. Please note that this project has already been assigned an Atlas ID: **Proposal ID:00057640; Project ID:00071305**. Comments on the AWP will be provided within 5 working days by the UNDP-EEG Regional Technical Advisor as relevant.

Budget revisions should be forwarded to the UNDP-EEG Regional Service Center (RSC)/Regional Coordination Unit (RCU) with an explanation of the changes proposed. In this connection, please note that UNDP-EEG is not in a position to increase the budget above the amount already approved by the GEF CEO. Therefore, any over-expenditure during this initiation phase will have to be absorbed by other Country Office resources.

Mr. Jose Hermida  
Resident Representative  
UNDP  
Quito, Ecuador



**United Nations Development Programme**  
**Environment & Energy Group**

We take the opportunity to draw your attention to the following mandatory requirements for all GEF-funded projects:

- ❖ Any changes contemplated with respect to the project objectives and outcomes will have to be discussed with and approved by the UNDP-EEG RSC/RCU, as they will have to be reported to GEF.
- ❖ The final FSP must be ready by December 2009 as recorded in the Initiation Plan. The Regional Technical Advisor will be communicating to you the expected timeline for submission of the final proposal for the purpose of internal UNDP clearance prior to submission to the GEF Secretariat.
- ❖ The final submission of the FSP that is prepared with this preparation grant, must be accompanied by a "GEF PPG Status Report", whose template can be obtained from the UNDP-GEF Programming Manual <http://intra.undp.org/gef>

Should you need clarification on the GEF Project Cycle and requirements, please consult the UNDP-GEF Programming Manual at <http://intra.undp.org/gef>.

In concluding, I would like to assure you of the UNDP-EEG Team's and my personal commitment to successful implementation of the project. The EEG Regional Service Center/Regional Coordination Unit in Panama City, Panama is available to you for advice and technical support. Should you have any concerns or questions, please do not hesitate to contact me with your feedback on the quality of our services and suggestions for improvements.

Yours sincerely,



Andy Hudson  
UNDP-GEF Officer-in-Charge

cc: Ms. Rebecca Grynspan, Assistant Administrator and Regional Director RBLAC  
Mrs. Helen de Negret, UNDP EEG Regional Technical Advisor  
Mr. Jose Vicente Troya, Programme Officer, UNDP Ecuador  
Ms. Maria Mercedes Proaño, Programme Associate, UNDP Ecuador

**Annexes**

Annexes

Annex 1 CEO approval letter for PPG



Global Environment Facility

1818 H Street, NW  
Washington, DC 20433 USA  
Tel: 202.473-0508  
Fax: 202.522.3240/3245  
Internet: www.theGEF.org

June 03, 2009

Mr. Yannick Glemarec  
GEF Executive Coordinator  
United Nations Development Programme  
One United Nations Plaza  
New York, NY 10017

Dear Mr. Glemarec:

I am pleased to approve your request for \$100,000 as a project preparation grant (PPG) for the full-sized project proposal *Ecuador: Sustainable Financing of Ecuador's National System of Protected Areas (SNAP) and Associated Private and Community-managed PA Subsystems* to be funded under the GEF Trust Fund. I am also approving the Agency fee of \$10,000 for project cycle management services associated with the PPG.

This approval is based on the following understandings and milestones:

- (i) During preparation of the full-sized project proposal, the comments of the GEF Council, the GEF Secretariat, the STAP, the GEF Agencies and the relevant Convention Secretariat(s), will be taken into account;
- (ii) A final full-sized project document will be submitted for CEO endorsement no later than December 2009; and
- (iii) A report on the use of the PPG will be submitted to the GEF Secretariat when submitting the final project document for CEO endorsement.

If any of these understandings or milestones is not or will not be achieved, you are requested to inform me as early as possible, so that I may consult with the beneficiary country and your Agency. Thereafter, I may agree to revised milestones or take a decision to cancel the project proposal and to recommend to the Agency that the associated project preparation grant be cancelled.

Please ensure that your grant agreements continue to fully reflect these understandings.

I am attaching a copy of the project tracking sheet and review sheet for your records.

Sincerely,

A handwritten signature in black ink, appearing to read 'Monique Barbut', is written over a horizontal line.

Monique Barbut  
Chief Executive Officer and Chairperson

Attachments: GEF Project Tracking Sheet, GEFSEC Review Sheet

cc: Country Operational Focal Point, GEF Agencies, STAP, Trustee

United Nations Development Programme  
 Environment & Energy Group

Biodiversity  
 OP

GEFSEC Project Tracking System  
 Project Clearance/Approval

PMIS Project ID : 3829  
 UNDP

**Ecuador: Sustainable Financing of Ecuador's National System of Protected Areas (SNAP) and Associated Private and Community-managed PA Subsystems**

Activity	GEF Contribution (US\$)	UNDP Contribution (US\$)	Requested Action	Signature	Date
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Program Manager: [Redacted] \$6.40 \$15.40 [Redacted]

Team leader: [Redacted] Recommendation: Mark Zimsky 10/22/08

CEO: [Redacted] Clearance: Gustavo Fonseca 10/22/08

SM  
10/22

Approval: Monique Barbut MB

Program Manager: [Redacted] Recommendation: Mark Zimsky 6/3/09

Team leader: [Redacted] Clearance: Gustavo Fonseca 6/3/09

CEO: [Redacted] Approval: Monique Barbut MB

Program Manager: [Redacted] Recommendation: Mark Zimsky

Team leader: [Redacted] Clearance: Gustavo Fonseca

CEO: [Redacted] Approval: Monique Barbut

Need to circulate to Council for >second review prior to CEO endorsement (4 weeks review period)  Yes

>CEO endorsement (second review waived)  Yes

Program Manager: [Redacted] Recommendation: Mark Zimsky

Team leader: [Redacted] Clearance: Gustavo Fonseca

Program Manager: [Redacted] Recommendation: Mark Zimsky

Team leader: [Redacted] Clearance: Gustavo Fonseca

CEO: [Redacted] Approval: Monique Barbut

Implementing Agency: [Redacted] Approval: [Redacted]

Cummulative GEF Contribution: [Redacted]

**Annex 2: UNDP Environment and Energy Group - Project Support Services**

Stage	Country Office	EEG
Identification, Sourcing and Screening of Ideas	Identify project ideas as part of country programming	Provide information on substantive issues and specialized funding opportunities (SOFs)
		Verify soundness and potential eligibility of identified idea
Feasibility Assessment / Due Diligence Review	Assist proponent to formulate project idea / prepare project idea paper	Technical support: provide up-front guidance; sourcing of technical expertise; verification of technical reports and project conceptualization; guidance on SOF expectations and requirements
	Review and appraise project idea	Provide detailed screening against technical, financial, social and risk criteria and provide statement of likely eligibility against identified SOF
	Assist proponent to identify and negotiate with relevant partners, cofinanciers, etc	Assist in identifying technical partners; Validate partner technical abilities.
	Obtain clearances – Government, UNDP, Executing Agency, LPAC, cofinanciers, etc.; monitor project milestones	Obtain clearances – SOF
Development & Preparation	Management and financial oversight of Initiation Plan	Technical support, backstopping and troubleshooting
	Support project development, assist proponent to identify and negotiate with relevant partners, cofinanciers, etc	Technical support: sourcing of technical expertise; verification of technical reports and project conceptualization; guidance on SOF expectations and requirements
	Review, appraise, finalize Project Document	Verify technical soundness, quality of preparation, and match with SOF expectations
	Negotiate and obtain clearances – Government, UNDP, Executing Agency, LPAC, cofinanciers, etc	Negotiate and obtain clearances by SOF
	Respond to information requests, arrange revisions etc.	Respond to information requests, arrange revisions etc.
	Prepare operational and financial reports on development stage as needed	Verify technical soundness, quality of preparation, and match with SOF expectations
Implementation	Management Oversight and support	Technical and SOF Oversight and support
	Project Launch	Technical support in preparing TOR and verifying expertise for technical positions. Verification of technical validity / match with SOF expectations of inception report. Participate in Inception Workshop
	Policy negotiations	Technical information and support as needed

**United Nations Development Programme**  
**Environment & Energy Group**

Stage	Country Office	EEG
	Steering Committee meetings	Technical support, participation as necessary
	Issuance of AWP, monitor implementation of the work plan and timetable, budget revisions as necessary	Advisory services as required
	Financial management – Conducting budget revisions, verifying expenditures, advancing funds, issuing combined delivery reports, ensuring no over-expenditure of budget	Allocation of ASLs
	Technical, managerial and financial backstopping, problem identification & troubleshooting	Technical support and troubleshooting, Support missions as necessary.
	Annual site visits – at least one site visit per year, report to be circulated no later than 2 weeks after visit completion	Project visits – at least one technical support visit per year.
	Reviewing, editing, responding to project reports; monitoring project milestones	Technical support, validation, quality assurance
	Ensuring necessary audits	
	Final budget revision and financial closure (within 12 months after operational completion).	Return of unspent funds
<b>Evaluation and Reporting</b>	Preparation and completion of Annual Reports, final reports, tracking substantive indicators	Technical support, progress monitoring, validation, quality assurance
	Organize project review arrangements, such as steering committee meetings, as outlined in project document and agreed with UNDP EEG RSC/RCU	Technical support, participation as necessary
	Arrange mid-term, final, and other evaluations – prepare TOR, hire personnel, plan and facilitate mission / meetings / debriefing, circulate draft and final reports.	Technical support in preparing TOR and verifying expertise for technical positions. Verification of technical validity / match with SOF expectations of inception report. Participate in briefing / debriefing
		Technical analysis, compilation of lessons, validation of results
		Dissemination of technical findings

**Service standards:**

1. initial response to communication within 2 working days
2. full response to communication (with the exception of a response requiring travel) within 10 working days



June 22, 2009

Dear Mr. Hermida,

**Subject: Project Preparation Grant: Ecuador: Project Title: Sustainable Financing of Ecuador's National System of Protected Areas (SNAP) and Associated Private and Community-managed PA Subsystems; PIMS No: 4142; - ATLAS BU: ECU10; Proposal ID:00057640; Project ID:00071305**

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Mr. Jose Hermida  
Resident Representative  
UNDP  
Quito, Ecuador

**United Nations Development Programme**

**Environment & Energy Group**

We take the opportunity to draw your attention to the following mandatory requirements for all GEF-funded projects:

- ❖ Any changes contemplated with respect to the project objectives and outcomes will have to be discussed with and approved by the UNDP-EEG RSC/RCU, as they will have to be reported to GEF.
- ❖ The final FSP must be ready by December 2009 as recorded in the Initiation Plan. The Regional Technical Advisor will be communicating to you the expected timeline for submission of the final proposal for the purpose of internal UNDP clearance prior to submission to the GEF Secretariat.
- ❖ The final submission of the FSP that is prepared with this preparation grant, must be accompanied by a "GEF PPG Status Report", whose template can be obtained from the UNDP-GEF Programming Manual <http://intra.undp.org/gef>

Should you need clarification on the GEF Project Cycle and requirements, please consult the UNDP-GEF Programming Manual at <http://intra.undp.org/gef>.

In concluding, I would like to assure you of the UNDP-EEG Team's and my personal commitment to successful implementation of the project. The EEG Regional Service Center/Regional Coordination Unit in Panama City, Panama is available to you for advice and technical support. Should you have any concerns or questions, please do not hesitate to contact me with your feedback on the quality of our services and suggestions for improvements.

Yours sincerely,



Andy Hudson  
UNDP-GEF Officer-in-Charge

cc: Ms. Rebecca Grynspan, Assistant Administrator and Regional Director RBLAC  
Mrs. Helen de Negret, UNDP EEG Regional Technical Advisor  
Mr. Jose Vicente Troya, Programme Officer, UNDP Ecuador  
Ms. Maria Mercedes Proaño, Programme Associate, UNDP Ecuador

**Annexes**

Annexes

Annex 1 CEO approval letter for PPG



Global Environment Facility

1818 H Street, NW  
Washington, DC 20433 USA  
Tel: 202.473-0508  
Fax: 202.522.3240/3245  
Internet: www.theGEF.org

June 03, 2009

Mr. Yannick Glemarec  
GEF Executive Coordinator  
United Nations Development Programme  
One United Nations Plaza  
New York, NY 10017

Dear Mr. Glemarec:

I am pleased to approve your request for \$100,000 as a project preparation grant (PPG) for the full-sized project proposal *Ecuador: Sustainable Financing of Ecuador's National System of Protected Areas (SNAP) and Associated Private and Community-managed PA Subsystems* to be funded under the GEF Trust Fund. I am also approving the Agency fee of \$10,000 for project cycle management services associated with the PPG.

This approval is based on the following understandings and milestones:

- (i) During preparation of the full-sized project proposal, the comments of the GEF Council, the GEF Secretariat, the STAP, the GEF Agencies and the relevant Convention Secretariat(s), will be taken into account;
- (ii) A final full-sized project document will be submitted for CEO endorsement no later than December 2009; and
- (iii) A report on the use of the PPG will be submitted to the GEF Secretariat when submitting the final project document for CEO endorsement.

If any of these understandings or milestones is not or will not be achieved, you are requested to inform me as early as possible, so that I may consult with the beneficiary country and your Agency. Thereafter, I may agree to revised milestones or take a decision to cancel the project proposal and to recommend to the Agency that the associated project preparation grant be cancelled.

Please ensure that your grant agreements continue to fully reflect these understandings.

I am attaching a copy of the project tracking sheet and review sheet for your records.

Sincerely,

A handwritten signature in black ink, appearing to read 'Monique Barbier'.

Monique Barbier  
Chief Executive Officer and Chairperson

Attachments: GEF Project Tracking Sheet, GEFSEC Review Sheet

cc: Country Operational Focal Point, GEF Agencies, STAP, Trustee



United Nations Development Programme  
 Environment & Energy Group

Biodiversity OP GEFSEC Project Tracking System PMIS Project ID : 3829  
 Project Clearance/Approval UNDP

**Ecuador: Sustainable Financing of Ecuador's National System of Protected Areas (SNAP) and Associated Private and Community-managed PA Subsystems**

Author	Start Date	End Date	Requested Action	Signature	Date
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	\$6.40	\$15.40			
Program Manager			Recommendation	<i>[Signature]</i>	10/22/08
Team leader			Clearance	<i>[Signature]</i>	10/22/08
CEO			Approval	<i>[Signature]</i>	
Program Manager			Recommendation	<i>[Signature]</i>	6/3/09
Team leader			Clearance	<i>[Signature]</i>	6/3/09
CEO			Approval	<i>[Signature]</i>	6/3/09
Program Manager			Recommendation	Mark Zimsky	
Team leader			Clearance	Gustavo Fonseca	
CEO			Approval	Monique Barbut	
Need to circulate to Council for			>second review prior to CEO endorsement (4 weeks review period)		<input type="checkbox"/> Yes
			>CEO endorsement (second review waived)		<input type="checkbox"/> Yes
Program Manager			Recommendation	Mark Zimsky	
Team leader			Clearance	Gustavo Fonseca	
Program Manager			Recommendation	Mark Zimsky	
Team leader			Clearance	Gustavo Fonseca	
CEO			Approval	Monique Barbut	
Implementing Agency			Approval		
Cummulative GEF Contribution					

SM  
10/22

**Annex 2: UNDP Environment and Energy Group - Project Support Services**

Stage	Country Office	EEG
<b>Identification, Sourcing and Screening of Ideas</b>	Identify project ideas as part of country programming	Provide information on substantive issues and specialized funding opportunities (SOFs)
		Verify soundness and potential eligibility of identified idea
<b>Feasibility Assessment / Due Diligence Review</b>	Assist proponent to formulate project idea / prepare project idea paper	Technical support: provide up-front guidance; sourcing of technical expertise; verification of technical reports and project conceptualization; guidance on SOF expectations and requirements
	Review and appraise project idea	Provide detailed screening against technical, financial, social and risk criteria and provide statement of likely eligibility against identified SOF
	Assist proponent to identify and negotiate with relevant partners, cofinanciers, etc	Assist in identifying technical partners; Validate partner technical abilities.
	Obtain clearances – Government, UNDP, Executing Agency, LPAC, cofinanciers, etc.; monitor project milestones	Obtain clearances – SOF
<b>Development &amp; Preparation</b>	Management and financial oversight of Initiation Plan	Technical support, backstopping and troubleshooting
	Support project development, assist proponent to identify and negotiate with relevant partners, cofinanciers, etc	Technical support: sourcing of technical expertise; verification of technical reports and project conceptualization; guidance on SOF expectations and requirements
	Review, appraise, finalize Project Document	Verify technical soundness, quality of preparation, and match with SOF expectations
	Negotiate and obtain clearances – Government, UNDP, Executing Agency, LPAC, cofinanciers, etc	Negotiate and obtain clearances by SOF
	Respond to information requests, arrange revisions etc.	Respond to information requests, arrange revisions etc.
	Prepare operational and financial reports on development stage as needed	Verify technical soundness, quality of preparation, and match with SOF expectations
<b>Implementation</b>	Management Oversight and support	Technical and SOF Oversight and support
	Project Launch	Technical support in preparing TOR and verifying expertise for technical positions. Verification of technical validity / match with SOF expectations of inception report. Participate in Inception Workshop
	Policy negotiations	Technical information and support as needed

**United Nations Development Programme**  
**Environment & Energy Group**

Stage	Country Office	EEG
	Steering Committee meetings	Technical support, participation as necessary
	Issuance of AWP, monitor implementation of the work plan and timetable, budget revisions as necessary	Advisory services as required
	Financial management – Conducting budget revisions, verifying expenditures, advancing funds, issuing combined delivery reports, ensuring no over-expenditure of budget	Allocation of ASLs
	Technical, managerial and financial backstopping, problem identification & troubleshooting	Technical support and troubleshooting, Support missions as necessary.
	Annual site visits – at least one site visit per year, report to be circulated no later than 2 weeks after visit completion	Project visits – at least one technical support visit per year.
	Reviewing, editing, responding to project reports; monitoring project milestones	Technical support, validation, quality assurance
	Ensuring necessary audits	
	Final budget revision and financial closure (within 12 months after operational completion).	Return of unspent funds
<b>Evaluation and Reporting</b>	Preparation and completion of Annual Reports, final reports, tracking substantive indicators	Technical support, progress monitoring, validation, quality assurance
	Organize project review arrangements, such as steering committee meetings, as outlined in project document and agreed with UNDP EEG RSC/RCU	Technical support, participation as necessary
	Arrange mid-term, final, and other evaluations – prepare TOR, hire personnel, plan and facilitate mission / meetings / debriefing, circulate draft and final reports.	Technical support in preparing TOR and verifying expertise for technical positions. Verification of technical validity / match with SOF expectations of inception report. Participate in briefing / debriefing
		Technical analysis, compilation of lessons, validation of results
		Dissemination of technical findings

**Service standards:**

1. initial response to communication within 2 working days
2. full response to communication (with the exception of a response requiring travel) within 10 working days

**Asunto:** Delegation of Authority: PIMS 4142 Ecuador BD PA Financing

**De:** Maria Gabriela Pinto <mariagabriela.pinto@undp.org>

**Fecha:** Thu, 02 Jul 2009 18:19:43 -0500

**Para:** Jose Manuel Hermida <jose.manuel.hermida@undp.org>

**CC:** rebecca.grynspar@undp.org, Jose Vicente Troya <jose.troya@undp.org>, 'María Mercedes Proaño' <mamercedes.proanio@undp.org>, 'Susana Viteri' <pasante.ads2@undp.org>, 'Helen Negret' <helen.negret@undp.org>

Dear Mr. Hermida,

Regarding the project PIMS 4142 Ecuador BD PA Financing, we are very pleased to inform that the above-mentioned Project Preparation Grant has received the GEF CEO approval for the development of the corresponding Full Size Project. Please find attached a letter of Delegation of Authority (DOA) from the Executive Coordinator of UNDP/GEF to proceed with the signature and execution of its Initiation Plan (also enclosed). You will find the GEF CEO Approval letter also attached for ease of reference.

We would like to thank your Office for the valuable support and time expended towards this initiative. Given the need to complete preparation of the Full- Size Prodoc by *December 2009* at the latest, we look forward to receiving the signed Initiation Plan and 2009 Annual Work Plan (generated in ATLAS) from your Office, as soon as possible, so as to begin funds disbursement and commence project development activities.

Warm regards,

María Gabriela Pinto

On behalf of: Mrs. Helen de Negret



Regional Centre  
Panama

**María Gabriela Pinto R.**

Programme Associate

Energy and Environment Practice

**UNITED NATIONS DEVELOPMENT PROGRAMME**

Panama, Rep. of Panama

Email: [mariagabriela.pinto@undp.org](mailto:mariagabriela.pinto@undp.org)

Phone: (507) 302-4744

Fax: (507) 302-4549

**PIMS 4142 Ecuador PA Financing signed DOA 02Jul09.pdf**

**Content-Type:** application/pdf

**Content-Encoding:** base64

**PIMS 4142 Ecuador PA Financing final IP Draft.doc**

**Content-Type:** application/msword

**Content-Encoding:** base64

**Asunto:** RE: Fwd: RE: [Fwd: RE: [Fwd: PPG y carta de extensión]]

**De:** Maria Gabriela Pinto <mariagabriela.pinto@undp.org>

**Fecha:** Thu, 23 Apr 2009 16:53:46 -0500

**Para:** 'María Mercedes Proaño' <mamercedes.proanio@undp.org>

**CC:** jose.troya@undp.org, 'Helen Negret' <helen.negret@undp.org>

Hola buenas tardes Ma. Mercedes, adjunto te envío la información solicitada del IP.

El IP es una nueva modalidad de PNUD que es *similar* a un DEX pero no es DEX, por lo tanto no requiere autorización del RBLAC. Es una modalidad que facilita la ejecución de los PPG's. Te copio el link del Manual de PNUD GEF en donde encontrarás la explicación de los IP: [http://intra.undp.org/gef/programmingmanual/ppg\\_prodoc.htm](http://intra.undp.org/gef/programmingmanual/ppg_prodoc.htm). De igual forma, te lo adjunto para tu rápida referencia.

#### Project Preparation Grant (PPG) Project Document

In order to further streamline the process of implementation of an approved PPG, UNDP-GEF has adopted the new "*Initiation Plan (IP)*" which was rolled out through UNDP's CEDAR project which is being used to help implement the Result Management Guide (RMG). This replaces the old "*Preparatory Assistance*" document. The PPG project document called "*Initiation Plan (IP)*" therefore consists of (1) the approved PPG (2) a 2-page Initiation Plan (IP) template and (3) a Total Budget and Workplan duly completed. The Resident Representative has the authority to approve the expenditures under the IP without government signatures being required on the IP or a PAC meeting having to take place.

Note on Execution Modalities: In general, a PPG project document/Initiation Plan is executed via the (Lead) Country Office. Country Office execution is essentially the same as DEX, but DEX clearances via the Regional Bureau are not required. The Country Office can opt to use other execution modalities (NEX, Agency). In case of agency execution (UNOPS or other), a Memorandum of Understanding will be needed between the (Lead) Country Office and the Agency. The Delegation of Authority (DOA) process follows the DEX model.

The PPG project document consists of the  
2 templates below:

- IP Template
- Total Budget and Workplan Template

En cuanto a tu consulta sobre los Fee's del CO, tengo a bien informarte que:

PPG: Sí, una vez el FSP/MSP ProDoc ha sido firmado, se recibe una porción del Fee.

Informes Nacionales: No

ADD-On: Sí

Para mayor información puedes consultar el adjunto link del Delegation of Authority, [http://intra.undp.org/gef/programmingmanual/DOA/NEX\\_standard.doc](http://intra.undp.org/gef/programmingmanual/DOA/NEX_standard.doc)

Por favor si necesitas que ampliemos en alguna información, no dudes en contactarme,

Saludos,

Gaby

---

**From:** María Mercedes Proaño [mailto:mamercedes.proanio@undp.org]

**Sent:** Miércoles, 22 de Abril de 2009 07:49 p.m.

## **Seminario-Taller: Ambiente y Nueva Arquitectura Financiera Regional Quito, Ecuador 4-6 de agosto de 2009**

### **Presentación**

La Comisión Técnica Presidencial para la conformación de los componentes de la Nueva Arquitectura Financiera Regional, con el apoyo y soporte técnico de otras entidades públicas y privadas, nacionales e internacionales, se encuentra organizando el Seminario-Taller "Ambiente y Nueva Arquitectura Financiera Regional", el que se desarrollará en la ciudad de Quito los días 4, 5 y 6 de agosto de 2009.

Este evento tiene el carácter expresamente pluralista, respetuoso de la diversidad de opiniones y perspectivas, y se orienta al debate basado en la rigurosidad académica y técnica de las ponencias y aportes que realicen los participantes provenientes de diferentes latitudes del mundo.

Sus objetivos esencialmente apuntan a la ampliación de la conceptualización ambiental en las propuestas de desarrollo económico y social y a la generación de competencias para su ejercicio, tanto en actores tomadores de decisiones, como en el espacio más amplio de la sociedad civil a fin de enriquecer y asimilar la comprensión de la problemática ambiental y sus potenciales soluciones concretas de mitigación. Asimismo, se dirigen hacia el afianzamiento de las bases técnicas y de criterios ambientales que, en estrecha vinculación con los conceptos de una Nueva Arquitectura Financiera, tanto internacional como local, permitan la incorporación de adecuados mecanismos de evaluación y protección ambiental en el diseño de proyectos de desarrollo y su financiamiento, principalmente desde el Banco del Sur en términos de las características particulares de su espacio de acción.

Este Taller reunirá a expertos nacionales e internacionales a los que se sumarán invitados de diversas instituciones y organismos, a quienes desde ya se les solicita su activa participación para el enriquecimiento del debate desde una instancia previa al encuentro para que, a través de análisis y discusión de documentos que se están circulando, así como el intercambio de opiniones y puntos de vista, aprovechando los recursos tecnológicos disponibles, se establezcan posiciones concretas que enriquezcan todavía más la cita presencial definida para las fechas indicadas.

En virtud de que esta es una temática en construcción, si bien se han establecido hitos en su avance, el espacio que queda por cubrirse todavía es muy amplio, además de que su evolución intercepta con otros elementos venidos desde la Nueva Arquitectura Financiera, ampliando todavía más las posibilidades de desarrollo de la conceptualización ambiental en la medida de su necesidad de refinamiento y especificidad a adecuarse a estas nuevas asociaciones temáticas particulares. Por ello, surge una justificación adicional para instar a esta participación en la discusión que se procura generar en el marco del Taller a efectos de propiciar adecuadamente la consecución de sus objetivos. Con ello, queda abierta la invitación para este fructífero intercambio que deseamos promover, recalcando nuevamente, inscrito en los principios de pluralidad, respeto y rigurosidad.

Cabe anotar que el presente seminario taller se inscribe en un proceso amplio de consultas, reflexiones, y de ser posible, puesta en marcha de propuestas concretas venidas desde diferentes fuentes gubernamentales y no gubernamentales afines a la NAF, razón por la cual invitamos a juntar esfuerzos y voluntades para darle la continuidad y seguimiento a la dimensión ambiental que desde la nueva banca de desarrollo estamos impulsando.

Siendo que uno de los objetivos centrales del presente Seminario-Taller es la obtención de un manual de guías y criterios para evaluaciones de impacto ambiental, no obstante cabe recalcar que la riqueza en la discusión y aporte de los participantes se enmarca en la dimensión ambiental del desarrollo sustentable que promueve la banca de desarrollo de nuevo tipo, lo que posibilita incluir temáticas fuertemente correlacionadas conforme se desprende en la sección de los temas a ser tratados en el evento.

## **2.- Objetivos específicos del Seminario-Taller:**

- Establecer un manual de políticas con nuevas metodologías de evaluación de impacto ambiental, rescatando o redefiniendo las que ya han sido trabajadas por otras instituciones, a fin de incorporar las externalidades ambientales generadas por los proyectos a ser financiados por la banca de desarrollo regional de nuevo tipo
- Establecer mecanismos e instrumentos financieros innovadores que, desde la Nueva Arquitectura Financiera Internacional, favorezcan la conservación del ambiente y recursos naturales de la Región como fundamento de un desarrollo sostenible y sustentable.

## **3.- Alcances y límites de los principales temas que se espera abordar:**

Facilitación general: Nidia Pesantez

Sistematización general: Santiago Segovia y Francisco Insusti

1. **Marco Introductorio.-** De inicio los temas se orientan al análisis de las guías de operación partiendo del hecho de que una vez creado el Banco del Sur, la nueva banca de desarrollo regional, se concentra en fijar orientaciones o criterios fundamentales concretos en su dimensiones social y ambiental. Bajo ese paraguas en esta sección se abordará el nuevo modelo de desarrollo y la construcción de la soberanía regional. La Arquitectura Financiera Internacional Vigente, sus logros y limitaciones desde la perspectiva del desarrollo, la Nueva Arquitectura Financiera y un plan de negocios en el contexto de la sustentabilidad y nuevas prioridades de desarrollo, para cerrar con los criterios ambientales y sociales que debe guiar la operación de la banca de desarrollo de nuevo tipo.
2. **Guías de Operación: criterios ambientales, sociales y económicos de los proyectos.-** Aquí se inicia haciendo relación a los criterios ambientales a ser aplicadas en las políticas y en los proyectos para regular el financiamiento de la nueva banca de desarrollo, ciclo de un proyecto propio de una banca de desarrollo, análisis de etapas, evaluación y seguimiento. ¿Cómo seleccionar proyectos en el marco de una banca de

desarrollo de nuevo tipo vs la banca multilateral tradicional? Alcances y limitaciones de las metodologías y técnicas existentes en la evaluación de impacto ambiental. Requisitos mínimos ambientales para financiar un proyecto de desarrollo y manejo de la información pública.

3. **Análisis de la tipología de los proyectos.-** Criterios (conceptos y herramientas) para la evaluación de proyectos en términos del fortalecimiento de la integración regional, generación de empleo, impactos ambientales (conservación de la vida), sociales (alimentación, salud, educación), económicos-financieros (Análisis costo-beneficio), socio-culturales y de género. Criterios (indicadores cualitativos y cuantitativos) que permitan priorizar, prohibir o aceptar proyectos conforme al cumplimiento de umbrales o mínimos ambientales y sociales. ¿Qué se entiende por proyecto óptimo desde el punto de vista ambiental y social que debe financiar el Banco de Sur?
4. **Casos de Proyectos e Instrumentos verdes: Rol del Banco del Sur.-** En esta sección se analizan los tipos de instrumentos que el Banco del Sur potencialmente financiaría: Análisis de propuestas concretas. Adicionalmente se pasa revisión a los estudios de casos relacionados con proyectos de doble dividendo social-ambiental (iniciativa ITT, Iniciativa Daly-Correa, Reserva de Cuyabeno). Revisión de algunas experiencias a nivel de Ecuador, la CAN y PNUMA

#### **4.- Metodología de trabajo:**

De acuerdo a lo programado, cada jornada de trabajo iniciará con conferencias magistrales por parte de los expositores nacionales e internacionales invitados, para consecutivamente proceder a abrir el foro para la discusión. En jornadas continuadas se procederá al desarrollo de mesas de trabajo grupales con los asistentes e invitados al evento, esto con el propósito de profundizar en cada una de las temáticas abordadas. En cada mesa habrá un moderador (experto) y un técnico que hará las funciones de sistematización

De acuerdo a esta metodología se ha considerado que en el caso de los conferencistas nacionales e internacionales se presenten ponencias de ser posible tres días del evento. Se estima un tiempo de 15 a 20 minutos por ponencia. Éste tiempo también se aplica a la presentación de resultados de las mesas.

En cada una de las mesas se tiene previsto al menos la participación de dos expertos internacionales y dos expertos nacionales. Una primera elaboración de las mesas de trabajo, bajo consideraciones de las temáticas a ser abordadas se pone a consideración de los especialistas, técnicos y conocedores del tema para los respectivos comentarios y de ser el caso realizar los ajustes de rigor.

#### **5.- Participantes:**

Como expositores se invita a expertos de varias visiones y perspectivas considerados de buen nivel técnico vinculados con los temas ambientales y el financiamiento que debe conceder la



banca de desarrollo regional y local de nuevo tipo. Se ha procurado un equilibrio de enfoques aunque en algunos casos no se pudo confirmar su participación por temas de sus agendas.

Entre los expertos internacionales invitados que han confirmado su participación presencial se ubica a Felipe Larrain (Chile), Camila Montesinos (Chile), Pablo Bertinad (Argentina), Roberto Bissio (Uruguay), Tomas Hirsch (Chile), Enrique Leff (México), Joseph Vogel (Costa Rica), Eduardo Gudynas (Uruguay), Paulo Bustillos (Bolivia), Héctor Alimonda y Ruy de Villalobos (Argentina), Ricardo Sánchez (PNUMA, USA), Alan González (Costa Rica), Lawrence Pratt (INCAE, Costa Rica), Carlos Amat y León (Perú), y Álvaro Zerda (Colombia). Reuniones antes del taller se realizará con Joan Martínez Alier (España), Robert Constanza (USA) y Eduardo Gudynas (Uruguay). Conferencias no presenciales durante el taller se establecerá con Patrick Bond (Sudáfrica), Vandana Shiva (India) y Alain Lipietz (Francia). Adicionalmente se espera la presencia de técnicos en representación de los países que conforman el Banco del Sur.

Entre los participantes se incluirán, de manera significativa, a expertos nacionales que también han sido incorporados conforme a las sugerencias de las distintas fuentes consultadas. Entre expertos nacionales que deben confirmar su participación constan: Fander Falconí (Canciller de la República del Ecuador), María Fernanda Espinoza (Embajadora de Ecuador ante las Naciones Unidas), Pedro Páez (Presidente Comisión Técnica Banco del Sur), Dania Quirola (SENPLADES), José Vicente Troya (PNUD-Ecuador), Miguel Vázquez (Ministerio de Patrimonio), Carlos Larrea (UASB), Juan Fernando Terán (UASB), Luis Suarez (Conservación Internacional), Soledad Bastidas (Convención contra la Desertificación), Xavier Bustamante y Alfredo Cueva (Fundación Natura), Robert Cazco (CEDENMA), Alberto Acosta (FLACSO), Alberto Lenk (Instituto Nacional de Preinversión), entre otros.

También participarán Asesores y Técnicos de instituciones públicas vinculados a la temática como el Ministerio de Patrimonio, Ministerio del Ambiente, Ministerio de Coordinación de la Política Económica, Ministerio de Coordinación de la Producción, Instituto Nacional de Preinversión y la Banca Pública de Desarrollo. Así también a los técnicos que trabajan en el diseño de los elementos e instituciones de la Nueva Arquitectura Financiera Regional, a representantes de organizaciones de protección ambiental, funcionarios de instituciones encargadas de la generación de normativa ambiental

Se estima un total de 80 participantes.

#### **6.- Organización e Instituciones que apoyan el evento:**

En esta ocasión la Comisión Técnica del Banco del Sur ha asumido la organización, no obstante consideramos que las instituciones protagonistas de este taller, entendido como un proceso de diálogo para generar propuestas concretas y útiles, son aquellas que precisamente se han identificado con la temática que posteriormente puede replicarse a nivel de otras instancias nacionales e internacionales. Entre las instituciones nacionales e internacionales que apoyan este evento está PNUMA, PNUD-Ecuador, Instituto Nacional de Preinversión, Ministerio del Ambiente, Fundación Natura, ILDIS, AMAZNOR, Ministerio de Patrimonio, UNCTAD, CLAES y la Comunidad Andina de Naciones (CAN), entre otras.

### **7.- Resultados esperados:**

Obtención de propuestas concretas para la configuración de nuevos instrumentos y mecanismos financieros a implementarse desde la nueva banca de desarrollo regional y local como medios que también garanticen la integridad de los sistemas de soporte de la vida y que ayuden a la continuidad de las funciones y procesos ecológicos evolutivos.

Más específicamente se espera la definición de guías, directrices y fundamentaciones de criterios para estructurar un manual de procedimientos para la evaluación técnica de los impactos ambientales en los proyectos de desarrollo que podría potencialmente financiar el Banco del Sur.

### **8.- Agenda Tentativa**

Lugar: Auditorio "... " del Hotel Quito.

Martes, agosto 4 de 2009

08h30-09h00 Registro de Participantes

08h30-09h00 Ceremonia de apertura

Bienvenida: Pedro Páez, Presidente Comisión Técnica NAFR-Banco del Sur

Presentación e inauguración del evento: Fredy Ehlers, Secretario General de la CAN

Bloque de conferencias

09h00-09h20 La arquitectura financiera internacional vigente, sus logros y limitaciones desde la perspectiva del desarrollo. Expositor: Felipe Larrain

09h20-09h40 Elementos del nuevo modelo de desarrollo y la construcción de la soberanía Regional. Expositor: Vladimir Serrano

09h40-10h00 Nueva Arquitectura Financiera y un plan de negocios en el contexto de la sustentabilidad y nuevas prioridades de desarrollo. Expositor: Pedro Páez

10h00-10h30 Condiciones actuales para replantear la banca de desarrollo multilateral que incluya prioridades ambientales. Expositor: Alicia Guzman.

10h30-10h50 Criterios ambientales y sociales que debe guiar la operación de la banca de desarrollo de nuevo tipo. Expositor: Fander Falconi.

10h50-12h00 Intervenciones de los comentaristas: Tomas Hirsch, Enrique Leff, Laurence Pratt, María Fernanda Espinoza y Eduardo Gudynas

12h00-13h30 Foro abierto.

Moderador: Santiago Segovia

Sistematización: Francisco Insusti

Facilitación general: Nidia Pesantez

13h30-14h30 Almuerzo.

14h30 -14h50 Guías de Operación: criterios ambientales, sociales y económicos de los proyectos. Expositor: Eduardo Gudynas

14h50 -15h10 Criterios ambientales y sociales a ser aplicadas en las políticas y en los proyectos para regular el financiamiento de la nueva banca de desarrollo  
Expositor: Héctor Alimonda

15h10-15h30 ¿Cómo seleccionar proyectos en el marco de una banca de desarrollo de nuevo tipo vs. la banca multilateral tradicional? Expositor: Lawrence Pratt.

15h30-15h50 Alcances y limitaciones de las metodologías y técnicas existentes en la evaluación de impacto ambiental. Expositor: Paulo Bustillos.

15h50-16h30 Intervenciones de los Comentaristas: Pablo Bertinat, Camila Montesinos, Ricardo Sánchez, Alvaro Zerda, Carlos Amat y León, Carlos Larrea y Juan Fernando Terán

Videoconferencias

16h30-16h50 Tema por confirmar. Alan Lipietz

16h50-17h10 Tema por confirmar. Patrick Bond

17h10-18h10 Foro abierto.

Facilitación general: Nidia Pesantez

Miércoles, agosto 5 de 2009

09h00-09h30 Presentación de Eduardo Gudynas, haciendo una breve síntesis de los aportes realizados el día anterior así como también poniendo a consideración la Metodología de trabajo de las mesas

09h20-11h20 Mesas de Trabajo

1. Criterios ambientales y sociales a ser aplicadas en las políticas y en los proyectos para regular el financiamiento de la nueva banca de desarrollo.  
Facilitación: Carlos de la Torre.  
Expertos que orientan la discusión: Eduardo Gudynas, Tomas Hirsch, Alan González y José Vicente Troya  
Sistematización y relatoría: Francisco Insusti (CAN).  
Otros participantes: Técnicos nacionales.
2. ¿Cómo seleccionar proyectos en el marco de una banca de desarrollo de nuevo tipo vs la banca multilateral tradicional? (Esquematación de metodologías)  
Facilitación: Ivonne Yáñez

Expertos que orientan la discusión: Lawrence Pratt, Enrique Leff, Ricardo Sánchez, Ruy de Villalobos, María Fernanda Espinoza y Juan Fernando Terán.  
Sistematización y relatoría: Santiago Segovia.  
Otros participantes: Técnicos nacionales.

3. Alcances y limitaciones de las metodologías y técnicas existentes en la evaluación de impacto ambiental:  
Facilitación: Soledad Bastidas.  
Expertos que orientan la discusión: Paulo Bustillos, Héctor Alimonda, Pablo Bertinat, Joseph Vogel y Esperanza Martínez  
Sistematización y relatoría: Hernán Cárdenas.  
Otros participantes: Expertos nacionales e internacionales.

11h20-13h30 Plenaria: Presentación de documentos y exposición de resultados por parte de los relatores y participantes de las mesas. Facilitación general

13h30-14h30 Almuerzo  
Bloque de conferencias

Criterios (conceptos y herramientas) para la evaluación de proyectos en términos del fortalecimiento de la integración regional, generación de empleo, impactos ambientales (conservación de la vida), sociales (alimentación, salud, educación), económicos-financieros (Análisis costo-beneficio), energéticos, socio-culturales y de género.

14h30-14h50 Alvaro Zerda

14h50-15h10 Camila Montesinos

15h10-15h30 Pablo Bertinat

15h30-15h50 Carlos Amat y León

15h50-16h10 Ricardo Sánchez

16h10-16h30 Ana Tallado

16h30-17h30 Intervenciones de los comentaristas: Eduardo Gudynas, Enrique Leff, Joseph Vogel, Pedro Páez, Dania Quirola, Magdalena León y Miguel Vázquez.

17h30-18h30 Foro abierto

Jueves, agosto 6 de 2009

09h00-11h30 Mesas de Trabajo:

1. Criterios (conceptos y herramientas) ambientales para la evaluación de proyectos en términos del fortalecimiento de la integración regional, generación de empleo, impactos ambientales (conservación de la vida y manejo de recursos naturales), sociales (alimentación, salud, educación), energéticos y económicos-financieros (análisis costo beneficio).

Moderador: Francisco Insuasti (CAN)  
Expertos que orientan la discusión: Eduardo Gudynas, Tomas Hirsch, Alan González y José Vicente Troya  
Sistematización y relatoría: Hernán Cárdenas.  
Otros participantes: Expertos nacionales e internacionales

2. Criterios (indicadores cualitativos y cuantitativos) que permitan priorizar, prohibir o aceptar conforme a umbrales o mínimos ambientales y sociales.

Moderador: Santiago Segovia.  
Expertos que orientan la discusión: Lawrence Pratt, Enrique leff, Ricardo Sánchez, Ruy de Villalobos y María Fernanda Espinoza.  
Sistematización y relatoría: Ivonne Yáñez.  
Otros participantes: Expertos nacionales e internacionales

3. ¿Qué se entiende por proyecto óptimo desde el punto de vista ambiental y social?

Moderador: Soledad Bastidas.  
Expertos que orientan la discusión: Paulo Bustillos, Héctor Alimonda, Pablo Bertinat, Joseph Vogel y Esperanza Martínez  
Sistematización y relatoría: Luis Augusto Panchi  
Otros participantes: Expertos Nacionales e Internacionales

11h30-13h30 Plenaria: Presentación de documentos y exposición de resultados por parte de los relatores y participantes de las mesas.

Facilitación general: Nidia Pesantez

13h30-14h30 Almuerzo

Ciclo de conferencias

Tipos de instrumentos que el Banco del Sur potencialmente financiaría: Análisis de propuestas concretas y análisis de casos

14h30-14h45 Alan González

14h45-15h00 Gabriel Labbate

15h00-15h15 Carlos Larrea

15h15-15h30 Paulo Bustillos

15h30-15h45 María Fernanda Espinoza

15h45-18h00 Comentan: Eduardo Gudynas, Enrique Leff, Joseph Vogel, Pedro Páez, Dania Quirola, Héctor Alimonda, Ricardo Sánchez y Xavier Bustamante

Moderación: Nidia Pesantez

18h00-18h30 Sesión de Clausura

**Presupuesto NAFR**  
**Aporte de UNDP desde el proyecto 00071305 SostFinAPs**

<b>Componente</b>	<b>Línea presupuestaria</b>	<b>Rubro</b>	<b>Monto</b>	<b>Total por componente</b>
<i>Actividad 1 Taller NAFR</i>	71300	Consultoría Eduardo Gudynas	4.000,00	10.933,26
	71600	Pasaje Montevideo-Quito-Montevideo	897,40	
	71600	Viáticos del 3 al 7 de agosto EG	792,00	
	71600	Pasaje Thomas Hirsch	944,00	
	71600	Viáticos del 3 al 7 de agosto TH	792,00	
	71600	Pasaje Joseph Vogel	462,00	
	71600	Pasaje Nidya Pesántez	135,00	
	71600	DSA Nidya Pesántez	792,00	
	75700	Facilitación Taller Nidya Pesántez	1.500,00	
	74500	Misceláneos (IVA/ISS)	618,86	
	<b>TOTAL</b>			