

Tropical Andes Biodiversity Hotspot Scope of Work

Preparation and Delivery of Ecosystem Profile Update

The updated profile will be drafted in English and adhere to the structure below. The team will prepare a final document that is professionally edited and formatted in English for the CEPF Donor Council. Upon approval of that document, the team will prepare a professionally edited and formatted Spanish translation.

Chapter	Approximate Page Length*
Executive Summary	4
Chapter 1. Introduction	2
Chapter 2. Background	3
Chapter 3. CEPF Investment in the Tropical Andes: Overview and Lessons Learned	7
Chapter 4. Biological Importance of the Hotspot	20
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Chapter 13. CEPF Investment Strategy and Programmatic Focus	20
Chapter 14. Logical Framework and Risk Analysis	8
Chapter 15. Sustainability	3
TOTAL	195
References	TBD
Appendices	TBD

*Page count does not include tables or figures.

The updated profile will be an original document, composed essentially of two sections. The first section, consisting of Chapters 1 to 11, will present a situational analysis of the entire hotspot. This will form the basis for the prioritization and strategy, which will comprise the second section, consisting of Chapters 12 through 15. The second section will define and focus on those species, sites and corridors that are prioritized for CEPF investment.

Executive Summary

Map: This section will include a map of the priority sites and corridors for CEPF Investment.

Table: CEPF Strategic Directions and Investment Priorities

Chapter 1 – Introduction

This chapter describes the conservation imperative for the hotspot, introduces CEPF as a global program and gives a general overview of the hotspot. It describes the approach, conservation outcomes tool and strategy development.

Map: This chapter will include a map of the hotspot.

This chapter will be based primarily on the existing ecosystem profile, with updated text.

Chapter 2 – Background

This chapter describes the process behind the development of the profile, the stakeholder consultations held and the partners involved.

Table: Stakeholder Consultations Held in the Tropical Andes Hotspot

This chapter will introduce the existing profile and describe the process used for the update.

Chapter 3 – CEPF Investment in the Tropical Andes: Overview and Lessons Learned

This chapter provides an overview of CEPF’s investments in the Tropical Andes Hotspot since 2001, in particular since 2015, including summaries of grant-making (number of grants awarded, budgetary division), impacts achieved and lessons learned. The chapter should present data and analysis collected to date on the CEPF monitoring tools, particularly the CSTT and GTT. Finally, the chapter should summarize the findings of an independent evaluation of lessons learned in relation to the RIT.

This chapter is new to the profile and requires compilation of the mid-term assessment, the final assessment (to be prepared during 2020) and the independent evaluation (to be prepared during 2020). The emphasis will be on drawing out learning that is relevant to future investment.

Chapter 4 – Biological Importance of the Hotspot

This chapter describes the geography, climate and biological diversity of the hotspot. The chapter will provide a summary of species diversity, levels of endemism and global threat status among major taxonomic groups, focusing on those groups for which data are available.

This chapter will be based primarily on the existing profile, with updated information as relevant. This chapter will also include a section describing major ecosystem services, including freshwater flows, support to food production, carbon sequestration, climate change resilience, support to cultural and economic services, disaster mitigation, among others, based on literature review.

Table: Species Diversity, Endemism and Global Threat in the Hotspot, by Taxonomic Group

Table: Ecosystem Services Provided by the Tropical Andes Hotspot

Chapter 5 – Conservation Outcomes for the Hotspot

This chapter describes and summarizes the conservation outcomes for the hotspot. Conservation outcomes represent the quantifiable set of species (i.e., globally threatened species), sites (i.e., KBAs) and higher-scale spatial units (i.e., conservation corridors) that are indispensable to conserving the global biodiversity values of the hotspot.

1. **Species outcomes** will be based on a comprehensive list of globally threatened species occurring in the hotspot, corresponding to the following categories in the current IUCN Red List: Critically Endangered (CR), Endangered (EN) and Vulnerable (VU). CEPF expects that new taxonomic groups will be added to the analysis based on progress in Red Listing, including but not limited to amphibians, freshwater fishes, plants and reptiles.

The species outcomes will be refined, using up-to-date Red List reports, and highlight flagship and important species requiring a regional dimension to conservation.

Site outcomes will be based on a comprehensive list, with accompanying maps, of KBAs for the hotspot. The site outcomes will be based upon the list of KBAs identified in the existing ecosystem profile, enriched by new KBAs identified since the previous profiling exercise, including but not limited to newly defined KBAs for amphibians, freshwater fishes, plants and reptiles.

Consultations with experts and local associations, including CEPF grantees, will be used to refine KBA delineation, where needed. The exercise will not extend to compiling unpublished data for identification of new KBAs.

The section on site outcomes will be largely based upon the existing profile, with additional sites based on new KBA identification and, in some cases, revision of site boundaries.

2. **Corridor outcomes** will be based on a comprehensive list, with accompanying maps, of higher-scale spatial units necessary to maintain ecological and evolutionary processes at the landscape scale in the larger islands. Within this context, the chapter will summarize the ecosystem services provided by the natural ecosystems of the hotspot and describes their social and economic value. The text will discuss the importance of conservation corridors to the provision of specific ecosystem services.

The corridor outcomes will consist primarily of a refresh, through consultations with local stakeholders, of the analysis in the existing profile.

Table: Summary of Globally Threatened Species (species outcomes) in the Hotspot

Table: Criteria for Identifying KBAs

Table: Summary of Key Biodiversity Areas (site outcomes) in the Hotspot

Maps: Site outcomes in the hotspot by country

Table: Key Biodiversity Areas (site outcomes) by country

Table: List of AZE Sites

Table: KBA Rating for Importance of Water Provision for Domestic Use (suggested)

Map: Provisioning by KBAs of Water for Domestic Use (suggested)

Table: KBA Rating for Importance of Water Provision for Agriculture (suggested)

- Map:** Provisioning by KBAs of Water for Agricultural Use (suggested)
- Table:** Estimated Carbon Storage in KBAs (suggested)
- Table:** KBA Rating for Importance for Carbon Sequestration (suggested)
- Map:** Estimated Carbon Sequestration in KBAs (suggested)
- Table:** KBA Rating for Potential Services to Food Insecure People (suggested)
- Map:** Estimated Food-Insecure Population Living Near Each KBA (suggested)
- Table:** Summary of conservation corridors in the hotspot
- Map:** Corridor outcomes in the hotspot

Data collected by the team for this chapter will be submitted to Conservation International's cartography team, who will then use the information to prepare a conservation outcomes wall map. They will also be entered into the World Database of KBAs. To this end, the team must submit the following deliverables, using templates that will be provided:

1. GIS layer of KBA polygons with attributes
2. GIS layer of conservation corridors with attributes
3. Matrix of KBAs showing that criteria that each triggers and other summary information

Chapter 6 – Threats to Biodiversity in the Hotspot

This chapter is a study on threats to biodiversity and their drivers in the hotspot. This chapter should include, at minimum, the following:

1. Narrative description of threats to biodiversity and their drivers, as well as a brief historic overview thereof.
2. Ranking of threats, based upon expert opinion of consulted stakeholders and/or available quantitative data, to help prioritize conservation approaches for inclusion in the CEPF investment strategy (Chapter 13).
3. Appropriate quantification of threats in order to establish some form of baseline against which to measure future progress in relation to threat reduction.

- Map:** Landscape Condition of the Hotspot (suggested)
- Map:** Vulnerability of the KBAs (suggested)
- Map:** Vulnerability of the Corridors (suggested)
- Table:** Update on Prevalence of Threats in KBAs and Corridors by Country
- Table:** Update on Forest Cover and Annual Deforestation Rates in Hotspot Countries
- Table:** Deforestation Rates of Andean Forests
- Map:** Distribution of Mining Concessions in the Hotspot
- Map:** Distribution of Mining threats to the KBAs

This chapter will be based upon the existing profile with inclusion of new, emerging threats and updates on threats identified in the earlier analysis. Stakeholder consultations will be used to gather additional information and prioritize threats.

Chapter 7 – Socioeconomic Context of the Hotspot

This chapter provides an overview of the socioeconomic situation of the hotspot along with an analysis of how this affects conservation outcomes and how it could influence the CEPF investment strategy. The chapter should provide information and analysis on population, including demographics, migration and distribution trends (e.g., urban versus rural). The chapter should also discuss relevant social and economic facts, including poverty and welfare distribution; economic activities as they relate to natural-resource use (e.g., agriculture, energy, mining, forestry, tourism); and linguistic/social/religious distinctions if they have relevance to civil society engagement and/or conservation.

The chapter should also analyze the role of civil unrest and violence against the conservation community and indigenous people, drug trafficking and the COVID-19 pandemic as they relate to achieving the conservation outcomes. As relevant, there should be discussion on indigenous people, youth and underprivileged people as they relate to conservation. There should be a separate section on the role of gender in development and conservation.

This chapter should not only include a general discussion of the private sector but should be specific about private sector actors with the ability to exert significant influence (positive or negative) on conservation.

This chapter will be based primarily on the existing profile but with a specific focus on recent social and economic trends and updated socio-economic data.

Table: Important Cities in the Hotspot, with Elevation, Population and Relevance to KBAs

Table: National Population Statistics and Approximations for the Hotspot

Table: Indigenous Population as a Percent of the National Population

Table: Indigenous and Afro-descendant Groups in the Hotspot

Table: Population Growth Rates

Table: Key Human Development and Poverty Indicators

Table: Economic Indicators

Table: National Economic Profiles

Figure: International Gold Price (suggested)

Table: Importance of the Tourism Sector (suggested)

Chapter 8 – Policy Context of the Hotspot

This chapter reviews and analyzes policies related to the environment with special emphasis on natural resources management and biodiversity conservation. Given the scale and diversity of the hotspot, the chapter should provide a broad overview of the political situation in the Tropical Andes Hotspot as a whole before going into detail about specific aspects of the policy context that have a strong bearing on biodiversity conservation—whether in terms of presenting threats or opportunities—and thus have a bearing on the CEPF investment strategy and grant-making modalities. The chapter should provide:

1. Overview of governance structures, level of decentralization, political conflicts and security issues. Overview of regional organizations with conservation mandates.

2. Overview of public policies in relation to natural resources management (e.g., policies on protected areas, water resources management, tourism, climate change, forestry, agriculture, mining, urban development and infrastructure).
3. Overview of the institutional framework for conservation, including description of the mandates and capacity of principal agencies and authorities, biodiversity action plans, major national laws, and regional and international conventions.
4. Overview of other policies and regulations related to the financing of conservation, including taxes, protected area revenue streams, licensing for resource use, payment for ecosystem services, carbon credits and the creation of trust funds.
5. Overview of regional, national, provincial, or other economic development policies in relation in terms of their effect on biodiversity conservation. Include also an overview of laws on local governance as they relate to the control of natural resource areas (e.g., forestry, mining, agriculture).
6. Overview of political conditions and trends at regional, national, provincial or local scales as they relate to conservation (e.g., political parties, leadership, popular movements) as well as international issues (e.g., the countries' relationships with other major actors, foreign direct investment and implications for conservation) and regional initiatives in the Tropical Andes.
7. Overview of the national biodiversity strategies and action plans of each country.

Table: Hotspot Parties to Global Environmental Agreements

Table: KBAs with Ramsar Sites within their Boundaries in the Hotspot

Table: Hotspot Parties to Regional Economic and Political Integration Agreements

Table: Political-administrative Divisions of each Country

Table: Legal Status of Indigenous Territorial Recognition

Table: Institutions and Governance of Protected Areas

Table: Chinese Investment by Sector in Andean Countries,

Table: IIRSA Portfolios in Investment Hubs

Table: Selected IIRSA Road Projects and Potentially Impacted KBAs and Corridors

Chapter 9 – Civil Society Context of the Hotspot

A central tenet of CEPF is that more effective and sustainable conservation can be achieved with the engagement of civil society. This chapter provides an extensive examination of current and potential civil society actors and their potential direct or indirect role in conservation.

For the purposes of this chapter, CEPF defines civil society as all the national and international non-government actors that are relevant to the achievement of the conservation outcomes and strategic directions. This includes local, regional and international conservation NGOs; economic and community development NGOs; scientific/research/academic institutions (including local universities); professional organizations; producer and sales associations; religious organizations; media organizations; advocacy groups; outreach/education/awareness groups; and the parts of the private sector concerned with the sustainable use of natural resources. The chapter should:

1. Describe the efforts of major conservation and development organizations working in the Tropical Andes.
2. Distill the efforts of smaller groups by various classifications or geographic locales.
3. Describe formal and informal networks of civil society actors and their work.
4. Analyze the capacity (human resources, technical, financial) of different types of groups, as this varies by location (e.g., by country), or focus area (e.g., community development, terrestrial and coastal management, water resources).
5. Analyze the operating environment for civil society in terms of legal framework, political space, funding availability and stability, ability to register or convene a group, receive funding, report on income, or manage KBAs; and describe variations of these across the hotspot. Describe challenges to their long-term financial sustainability.
6. Describe gaps in the civil society framework (e.g., by location or issue) to inform whether the CEPF strategy will directly address these gaps or purposefully work around them.

The chapter should present data and analysis collected to date on the CEPF monitoring tools, particularly the civil society tracking tool and the gender tracking tool.

Figure. Number of Civil Society Organizations and Networks Identified

Figure. Types of Civil Society Organizations Identified

Table. Scope of Work of NGOs

Table. Key International Environmental NGOs

Table. Key Environmental NGOs Working at National and Subnational Scales

Figure. Number of Environmental NGOs Working in the Hotspot

Figure. Number of Community-Based and Indigenous Organizations

Table. Community-Based and Indigenous Organizations Present in the Hotspot

Figure. Number of Universities and Research Centers

Table. Universities and Research Centers

Table. Conservation Initiatives Involving the Private Sector

Table. Producers Associations

Figure. Number of Networks of Civil Society by Type and Condition of Effectiveness

Table. Civil Society Networks (Formal and Informal)

Table. Institutional Capacity of NGOs in Hotspot Countries (excluding community-based and indigenous organizations)

Table. Institutional Capacity of Community-Based and Indigenous Organizations in the Hotspot

Table. Institutional Capacity of Universities and Research Centers

Table. Institutional Capacity of Private Sector and Productive Associations

Chapter 10 – Climate Change Assessment

This chapter should be based on recent overviews and reports for the Tropical Andes. The team will be encouraged to identify recent key documents and highlight the most important findings for this chapter and how they related to civil society organizations. No new analysis or original work, apart from synthesis, is expected for this. The chapter should include:

1. Overview of hotspot's climatic history and how this has shaped the biota.
2. Overview of projected impacts of climate change on human populations and biodiversity.
3. Description of current and potential climate adaption and mitigation opportunities in the hotspot, including adequacy of the protected area systems to promote resiliency.
4. Review of policy responses, including major climate change initiatives, the extent to which climate change analyses and policies are in place for adaption and mitigation, and their effectiveness in integrating biodiversity considerations and potential future needs.
5. Overview of the role of civil society in advancing climate change adaption and mitigation to date and key bottlenecks to their constructive engagement and potential responses.
6. Recommendations for strengthening policies and approaches for adaptation and mitigation for conservation and ecosystem service resiliency, with an emphasis on fostering civil society engagement.
7. Potential impacts of the human response to climate change on protected areas, natural areas and biodiversity (e.g., displaced populations due to sea level rise or droughts, increased dependency on natural resources).

Table. Vulnerability of Tropical Andean Species to Climate Change

Table. Vulnerability of Major Andean Ecosystems to Climate Change

Table. Bioclimatic Diversity of Corridors in the Tropical Andes Hotspot

Table. Contribution of Tropical Andes Hotspot Countries to Global Emissions, and Land Use, Land-Use Change and Forestry (LULUCF) as a Percentage of National Emissions

Table. Tropical Andes Hotspot Countries Participating in REDD+

Table. National REDD+ policies and projects

Table. REDD+ Projects Validated or Verified under the Verified Carbon Standard (VCS) or Climate, Community and Biodiversity Standard (CCB), and Adaptation Strategies and Plans in the Tropical Andes Hotspot Countries

Chapter 11 – Assessment of Current Conservation Investment

This chapter considers conservation investment to include investments in direct conservation actions, such as creation and improved management of protected areas, species conservation, restoration of natural habitats to promote ecosystem connectivity as well as investment in sustainable development activities and local governance that indirectly support conservation actions. As such, the chapter needs to discuss the work of traditional development donors and actors as it influences CEPF's niche for investment.

Further, the chapter needs to describe in detail the work of CEPF's donors, including the GEF Small Grants Program, in each country, as well as funding by other funders that have or are planning investments in the region. The chapter should include trend analyses, looking at changes in conservation investment over time. This chapter should, at minimum:

1. Detail major efforts that have been or are being undertaken for biodiversity conservation in the hotspot by national, bilateral, multilateral, philanthropic and private sector donors.
2. Quantify levels of funding already provided by those actors.
3. Identify trends in conservation funding to compare data from the existing profile to the updated profile.
4. Qualify where and why existing activities and investments are deemed to be insufficient or ineffective.
5. Distinguish between funding for formal public sector agencies as opposed to civil society.
6. Provide specific detail on funding provided by CEPF's donors in relation to conservation.
7. Discuss the relevance/role of donor funding to other sectors as it relates to biodiversity conservation (e.g., infrastructure projects that include environmental impacts; public sector reform projects that strengthen the capacity or change the role of environmental management authorities; decentralization programs that change the role of local authorities in relation to natural resource management; education or health programs that affect local behavior).
8. Identify functioning and incipient sustainable financing mechanisms (e.g., trust funds, debt swaps).
9. Identify trends and gaps in conservation funding with respect to the conservation outcomes.
10. Identify principle sources of funding for civil society and trends in their funding since the preparation of the existing ecosystem profile.

This chapter will require an entirely new analysis as data from the existing profile are largely obsolete.

Figure. Breakdown of Conservation Investment

Figure. Conservation Investment by Theme

Table. Protected Area Funding by Country

Table. Active Conservation Trust Funds

Table. Active Water Funds

Table. Active Climate Change Funds

Figure. Conservation Investment by Funding Source,

Table. Conservation Investment by Major Funding Source

Table. Conservation Investment by Multilateral Agencies

Table. Overview of Conservation Investment by Bilateral Agencies

Table. Conservation Investment by National Governments

Table. Conservation Investment by Foundations

Table. Conservation Investment by Other Sources

Table. Overview of Conservation Investment by Country

Figure. Conservation Investment by Country

Figure. Share of Hotspot Conservation Investment by Source and Country

Table. Large Regional Environmental Investments

Table. Conservation Investment in Corridors

Table. Comparison of Funding for Civil Society by Country from Original Ecosystem Profile

Chapter 12 – CEPF Niche for Investment

Based on the preceding description of the conservation outcomes and investment context, this chapter identifies how CEPF investment will complement (and build upon) investments by other funders discussed in Chapter 11 and in relation to the needs and opportunities described in Chapters 4 to 10. The niche frames the investment strategy (Chapter 13) by outlining the types of activities for which grant funding will be provided, the types of organizations to receive this funding and the geographic focus of this work.

This chapter should take into consideration the achievements and lessons learned from the 2015-2020 CEPF investment phase, including but not limited to the results of the mid-term assessment and final assessments, to be made available by CEPF. The CEPF niche itself may be substantively different to that in the existing profile if changes are justified based on the results of the stakeholder consultations.

Chapter 13 – CEPF Investment Strategy and Programmatic Focus

Based on the niche for CEPF investment, this chapter recommends specific investment priorities grouped into broad strategic directions. These are areas where CEPF can add most value or complement existing investments in biodiversity conservation, justified in terms of the current context for conservation, past experience with conservation initiatives, and opportunities to complement and build upon current conservation investment.

This chapter will also identify priority species, sites and corridors for CEPF investment. CEPF will provide the profiling team with prioritization criteria.

Map: Priority KBAs and corridors in the hotspot.

Table: List of Priority KBAs for CEPF Investment

Table: List of Priority Corridors for CEPF Investment

Table: List of Priority Species for CEPF Investment

Maps: Priority KBAs and Corridors by country

Table: CEPF Strategic Directions and Investment Priorities for the Hotspot

This chapter should take into consideration the achievements and lessons learned from CEPF's previous investment phases. The investment strategy itself may be substantively different to that in the existing profile, if changes are justified based on the results of the stakeholder consultations.

Chapter 14 – Logical Framework and Risk Analysis

This chapter will present the logical framework for CEPF investment in the hotspot, incorporating CEPF's global indicators and relevant indicators specific to the hotspot in relation to the strategic directions and investment priorities. It will be a distillation of CEPF's objectives for its grants in the hotspot and is used throughout the five-year investment period as a portfolio monitoring tool. The logical framework will present a negotiated and realistic set of targets in relation to the amount of money allocated by the donor council and other participating funders.

The risk analysis should identify those risks associated with achievement of program objectives and conservation outcomes, the likelihood and severity of the risk, recommendations for mitigation at a program and grant level, and actors responsible for the mitigation action.

Table: Logical framework with top-level objectives, targets, means of verification, and important assumptions and lower-level intermediate outcomes, intermediate indicators, means of verification, and important assumptions.

Table: Risk analysis, including risk, likelihood and severity; mitigation measures; and risk owners.

Chapter 15 – Sustainability

This chapter describes how the proposed strategic directions will result in sustainable conservation outcomes.

References. Include complete citations for all references in the profile.

Appendices. Suggested appendices include:

1. Species outcomes (globally threatened species) in the hotspot
2. Site outcomes (KBAs) in the hotspot
3. Corridor outcomes in the hotspot
4. Biological prioritization (i.e., scoring or ranking) of species, site and corridor outcomes
5. List of relevant civil society groups in the hotspot
6. Current investments in conservation in the hotspot
7. Financing mechanisms with available US dollars for funding
8. Baseline list of existing networks or partnerships
9. List of priority KBA with associated trigger species
10. List of protected area for priority KBAs and corridors by country
11. List of priority species eligible for CEPF funding

Note: Requests to modify the scope of work should be submitted to the CEPF grant director.