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United Nations Development Programme

Annotated Project Document template for nationally implemented projects financed by the GEF/LDCF/SCCF Trust Funds

Project title: Seventh Operational Phase of the GEF Small Grants Program in Ecuador	
Country: Ecuador	Implementing Partner: UNOPS
Execution Modality: Agency-implemented	
Contributing Outcome (UNDAF/CPD, RPD, GPD): Enable community networks to build social, economic and ecological resilience by producing global environmental and sustainable development benefits from bio-enterprises in nine landscapes located in the coastal, highlands and Amazon regions.	
UNDP Strategic Plan Output: 1.1.1 Capacities developed across the whole of government to integrate the 2030 Agenda, the Paris Agreement and other international agreements in development plans and budgets, and to analyze progress towards the SDGs, using innovative and data-driven solutions. 1.4.1. Solutions scaled up for sustainable management of natural resources, including sustainable commodities and green and inclusive value chains.	
UNDP Social and Environmental Screening Category: Moderate risk	UNDP Gender Marker: Gender Rating 2: The document is not specifically dedicated to gender, but gender issues are discussed in all sections of it, with inclusion of sex-disaggregated data where relevant.
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Brief project description: The GEF-7 project in Ecuador will work in the consolidation and replication of results from GEF-6, especially those that involved collective action for adaptive landscape management for socio-ecological resilience. The new phase's main strategy is to work closely with bio-enterprises to reduce habitat fragmentation, enhancing sustainability of agroecosystems in selected territories by partnerships within a multi-stakeholder platform system. The project's emphasis around bio-enterprises will explicitly facilitate development of cross-cutting projects to upscale successful SGP-supported technologies, practices or systems identified from previous phases of the Ecuador SGP Country Program that strengthen the resilience of socio-ecological landscapes. This new operational phase is expected to maintain - in conjunction with the Ministry of Environment - an area under community-based management strategies for the conservation of about 191,488 hectares linked to the participation of the Socio Bosque Program members and PASNAP/MAE protected areas.	

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FINANCING PLAN (USD)		
GEF Trust Fund		1,826,484
UNDP TRAC resources		10,000
(1) Total Budget administered by UNDP		USD 1,836,484
CONFIRMED CO-FINANCING		
Community organizations (In cash)		230,000
Community organizations (In kind)		586,450
UNDP CO (In kind)		215,585
Ministry of Environment (In kind)		586,093
ICCA Consortium (In cash)		200,000
(2) Total co-financing		USD 1,818,128
(3) Grand-Total Project Financing (1) +(2)		USD 3,654,612
SIGNATURES		
Signature:  Mr. Raúl Ledesma, Ministry of Environment, Ecuador	Agreed by Government Development Coordination Authority	Date/Month/Year: 20/11/2019
Signature:  Mr. Edriss Riffat, Manager, GMS, SDC, NYO	Agreed by Implementing Partner, UNOPS	Date/Month/Year: 26 - Nov - 2019
Signature:  Ms. Matilde Mordt, Resident Representative, UNDP Ecuador	Agreed by UNDP	Date/Month/Year: 20/09/2019
Key GEF Project Cycle Milestones: Project document signature: within 25 days of GEF CEO endorsement First disbursement date: within 40 days of GEF CEO endorsement Inception workshop date: within 60 days of GEF CEO endorsement Operational closure: within 3 months of posting of TE to UNDP ERC Financial closure: within 6 months of operational closure		

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II. DEVELOPMENT CHALLENGE

Ecuador is considered as one of the main centers of biodiversity, not only because of its terrestrial ecosystems, but the confluence of regional marine areas. In relation to its territorial extension, Ecuador has more species over hectare than any other country on Earth¹.

Nonetheless, in Ecuador, approximately 47% of the territory suffers from land degradation. The main causes are deforestation of fragile ecosystems for cultivation of new crops or pastures; excessive tillage of soils at planting or harvesting of products; use of fire for land clearing and grassland regeneration; overgrazing; planting on hillsides and slopes; intensive use of agrochemicals; deforestation in water recharge zones and river protection; and inadequate irrigation management².

The main factor of pressure on the flora in Ecuador is the increasing loss and degradation of habitats. The greatest impacts come from deforestation at different scales, being its main factor the change in land use for agricultural activities. Other identified factors are the lack of effectiveness in the territorial planning processes; regulation, control and monitoring of oil, mining and forestry activities; infrastructure development and the introduction of alien species; in the mountains, the increasing incidence of forest fires are also part of the problem³.

The areas for production represent 8.7 million hectares: 45% on the Coast, 36% in the Sierra, and 19% in the rest of the country. Grasslands correspond to 57% of the national total, 15% to agricultural mosaics, 13% to annual crops, 11% to permanent crops (oriented to export)⁴.

2.1. Ecosystem descriptions and threats

2.1.1. Highland region – paramo

Bosque siempreverde montano alto y montano alto superior de paramo

The Paramo ecosystem is found from 3,000 to 4,500 meters above sea level (mamsi), from tree line to the highest rocky slopes and snow-caps. The paramos fulfil important natural, cultural and economic functions, providing multiple ecosystem services related to their ability to intercept, store and regulate surface and underground water flows. The ecosystem hosts about 5,000 different plant species⁵. About 60% of these species are endemic, adapted to the ecosystem's specific physio-chemical and climatic conditions, such as low atmospheric pressure, intense ultra-violet radiation, and the drying effects of wind. The vegetation consists of tussock grasses, ground rosettes, dwarf shrubs, cushion plants and conspicuous giant rosettes such as *Espeletia sp.* and *Puya*.

The highland region is divided into two zones in the SGP Ecuador intervention strategy: the northern area that comprises the middle eastern part of the Cayambe – Coca National Park and the southern zone, adjacent to the Chimborazo National Park buffer zone. These regions comprise two very dynamic landscapes, with changes in coverage and land use caused primarily by rural households, monoculture activities and the recent interest of government in mining activities. The main problems of conservation and poverty in the ecosystem have been recognized for the past century, but only recently has there been an explosion of interest in this ecosystem in ecological and anthropological terms. Furthermore, a growing number of scientific studies suggest that the increase in human activities can significantly alter the hydrological behavior of these ecosystems, directly affecting the water supply function⁶.

In this area, government and local communities have prioritized conservation and sustainable use of water-generation strategies, due to its importance. According to government, the high Andean forests, paramos and wetlands that provide the resource and maintain the ecological flow of streams, rivers, aquifers and springs, are a priority, since they are the main sources for human consumption (including the main cities), irrigation and hydroelectric projects⁷.

The paramos show a remarkable biodiversity at the scale of ecosystems thanks to three main factors: the equatorial location, the presence of the Andes mountain range and other minor mountain ranges, the existence

¹ Ministry of the Environment (2016) National Biodiversity Strategy 2015-2030 (p.87). Quito, Ecuador.

² Ministry of the Environment (2016) National Biodiversity Strategy 2015-2030 (p.179). Quito, Ecuador.

³ Ministry of the Environment (2016) National Biodiversity Strategy 2015-2030 (p.140). Quito, Ecuador.

⁴ Ministry of the Environment (2016) National Biodiversity Strategy 2015-2030 (p.98). Quito, Ecuador.

⁵ Mena Vasconez, P. (2011). Wasteland. Landscape studied, inhabited, managed and institutionalized (p.25). Quito, Ecuador.

⁶ Paramos Ecuador Working Group (GTP). Paramo (p.25-27). Quito, Ecuador.

⁷ Idem.

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of a per humid Amazonian source and several cold and warm ocean currents off the coast. The people of the paramo, in many cases marginalized, very poor and lacking in alternatives, threaten their own survival by pushing the agricultural frontier much higher than what soil aptitude would advise.

The process of natural recovery of the paramos takes a long time, and repeated burning and grazing cause permanent long-term damage, making them more vulnerable than tropical forests, since the paramos can be easily adapted for farming and livestock with only the burning of above-ground biomass.

According to *L'Institut de Recherche pour le Développement*, paramo soils are considered a "sponge" that enhances water retention and buffers the water flow downstream. However, new agricultural practices modify soil properties, altering infiltration and run-off regimes and disturbing the primary hydrological function of the paramos. Therefore, any degradation or inappropriate land use alters these soils with a negative effect on the water availability for a large population living downstream⁸.

2.1.2. Coastal region

Ecuador is also characterized by a high diversity of marine and coastal ecosystems. The country has 24 of the 27 marine and coastal ecosystems recognized globally; these are: 12 coastal ecosystems (coastal wetlands, cliffs, dunes, beaches, mangroves, estuaries, rocky shores, barrier islands, intertidal flats, coastal plains, deltas and alluvial banks) and 12 marine ecosystems (bays, soft bottoms, platform hard bottoms, low rocky, low sandy areas, reefs, islands, outcrops, slopes, canyons, etc.).

Dry forest

Bosque seco pluvioestacional

In Ecuador, dry forests are found in the southwest of the provinces of Loja, Santa Elena, Guayas, Manabí and El Oro. There, the sustainable use of natural resources is promoted among communities, prioritizing the conservation of high forest biodiversity. Dry forest is part of the Tumbes-Choco Magdalena hotspot, which extends from southern Panama in the Darien region, through the western foothills of the Andes mountain range of Colombia and Ecuador to the Tumbesian region of northern Peru. The Choco-Ecuadorian Conservation Corridor also includes the western foothills of the Andes, which are part of the Tropical Andes hotspot. This vast region has been identified as one of the most important areas of the world for conservation due to its great biological diversity and the strong pressures it faces⁹.

The flora and fauna of these forests have acquired certain physiological-adaptive characteristics that allowed them to survive extremes of temperature and aridity. Dwarf and branched shrubs, thickened leaves and thorny plants are adaptations to the harsh conditions of this ecoregion. This evolutionary pressure increases a well-recognized species endemism and this ecoregion is highly vulnerable to human intervention. Approximately 180 tree species have been classified, and it is estimated that about 19% of the region's vegetation is endemic to western Ecuador¹⁰.

This unique ecosystem is found nowhere in the world but southern Ecuador (87,000 ha.) and northern Peru. Important species include trees of the Moraceae family (*Pseudolmedia*), bignonaceas (*Exarata chocoensis*) and several species of Algarrobo (*Prosopis juliflora*); palo santo (*Bursera graveolens*), Barba salvaje (*Tillandsia usneoides*); Barbasco (*Jacquenía pubescens*); Bototillo (*Cochlospermum vitifolium*); Cactus (*Cereus sp.*); and Ceibo (*Ceiba trichistandra*), etc., as well as medicinal products (*Myroxylon peruiferum* and *Bursera graveolens*), animal feed (*Prosopis juliflora* and *Ceiba trichistandra*); fruit (*Malpighia emarginata*), and for fishing (*Piscidia carthagenensis*)¹¹.

106,000 people live in this ecosystem and depend directly on it for survival. The dry forest regulates the hydrological cycle for the coastal region. Dry forests are very fragile and have vanished from a huge portion of their original area, placing them among the world's most endangered ecosystems¹².

⁸ L'Institut de Recherche pour le Développement (2004). Paramos Soils. New York, United States.

⁹ International Conservation Ecuador (2018). Ecuadorian Choco. Quito, Ecuador.

¹⁰ Aguirre, Zhofre & Kvist, Lars & Sanchez, Orlando & Editores, M & Moraes, Romis & Øllgaard, B & Borchsenius, F & Balslev, Henrik. (2006). Bosques secos en Ecuador y su diversidad. Botanica Economica de los Andes Centrales.

¹¹ Idem.

¹² Ministry of the Environment (2016) National Biodiversity Strategy 2015-2030 (p.177). Quito, Ecuador.

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Mangroves

Manglar

Mangroves are key ecosystems because they integrate great biodiversity per square kilometer. They are very peculiar ecosystems: the only forests that grow on saline soils and act as a natural barrier against the effects of climate change and natural disasters. They harbor great biodiversity, provide protection to the coast and store carbon. In addition, they are the area of reproduction and feeding of many species of fish, molluscs and crustaceans of primary importance for nutrition and the economic wellbeing of local communities.

In the last four decades 56,396 hectares of mangrove have been lost in Ecuador. Until 2014, the MAE estimated that there were 157,004 hectares of mangrove in Cayapas, Muisne, Rio Chone, Golfo de Guayaquil and Jambelli¹³.

Over 70% of the coastal mangroves have been progressively eliminated through logging and shrimp farming promoted by the shrimp industry. On the coast, there has been an over harvest of the products provided by mangroves, including timber, firewood, fish, and crustaceans. To protect the mangroves, the Ministry of Environment (MAE) has implemented Socio Manglar (Mangrove Partner); this initiative encourages the conservation of these ecosystems. Currently, more than 23,000 hectares of mangrove are part of "Socio Manglar".

For the state, the challenge has been that it has not been possible to develop tourist clusters in the coastal strip, and the investment that is developed is basically residential real estate. Marine coastal protected areas still have little relevance as tourist destinations. There has been a lack of coherent proposals to promote sustainable community tourism for the coastal strip, as well as studies of acceptable carrying capacity on the beaches of the continental coast.

During SGP implementation in GEF5, two projects worked in the coastal region on the recovery of the mangrove crab (*Ucides occidentalis*) and conch (*Anadara tuberculosa*), with 11 communities and 105 families. Among the inhabitants of these communities, the care of the mangrove was promoted and accepted because it is part of their resource collection livelihood.

2.1.3. Amazon region

Bosque siempreverde de la penillanura del oeste de la Amazonia

Ecuador's Amazon rainforest covers 30% of the country's total land area (13,909 km²), making it the country's largest bio-geographical region and one that has been characterized as "hyper-diverse", where there are more than half of the known animal and plant species in Ecuador. In tropical moist forests there are multiple benefits for living beings, especially for humans including food, medicines and even industrial products.

In this region live 245,014 people belonging to indigenous groups over an area of 1,569,000 hectares. The largest number of indigenous peoples and nationalities live in the Ecuadorian Amazon, cultures that possess knowledge and ancestral practices strongly linked to the jungle and its biodiversity. There are also large oil and mining interests and strong impacts produced by livestock, which have led to the loss of thousands of hectares of forests¹⁴.

According to the National Strategy for Biodiversity, in the scenario estimated for 2020, the risk of deforestation rises in the zones of ancient colonization in the north and in the indigenous territories of the middle-Amazon (Achuar, Shiwiar and Kichwa) and south (Shuar and Saraguro).

It is also possible to recognize the Amazon region as a continuation of historical processes of land use conversion, both in the north, around the area of oil influence near Lago Agrio-Coca-Shushufindi-Tarapoa, and in the Amazon South, around on the Gualaquiza – Macas - Puyo axis along the foothills of the Eastern Cordillera. At least 11 species of fish are threatened, seven Endangered and four Vulnerable, all of them important both to subsistence fishing and commercial fishing. Among the main threats to the conservation of fish in the Amazon region are: i) pollution of rivers by oil spills, by leaching chemicals used in monocultures and by discharging wastewater from local populations¹⁵. In response to this problem, the MAE, through the Socio Bosque Program, conserves around

¹³ Early Warning System (2015). Ecuador: manglares gestionados a través de concesiones comunitarias.

¹⁴ Victor Lopez A., Fernando Espindola, Juan Calles L. y Janette Ulloa (2013). Amazonia ecuatoriana bajo presion. Quito, Ecuador.

¹⁵ Ministry of the Environment (2016) National Biodiversity Strategy 2015-2030 (p.133). Quito, Ecuador.

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888,000 hectares of tropical rainforest benefiting about five thousand citizens with the economic incentives provided by this program for its maintenance¹⁶.

On the other hand, the Ministry of Agriculture (MAG), through the National Program of Participatory Technological Innovation and Agricultural Productivity (PITPPA from its Spanish acronym), plans to consolidate and diversify production of peasant family agriculture by implementing an agroecological proposal in the highlands and the Amazon¹⁷.

2.2. Main threats

General threats to biodiversity in the Paramo, coastal dry forest/mangroves, and the Amazon forest are wholesale forest and grassland conversion to other uses, ecosystem fragmentation across the landscape, and generalized ecosystem degradation from unsustainable harvest of timber and non-timber forest products, overgrazing, maladaptive agricultural practices, and invasive alien species. While some threats are driven by development of large unsustainable commercial enterprises and unsound infrastructure development decisions, many others stem from the aggregate effects of more small-scale production activities that are defined by limited opportunities, incentives, knowledge, capacities and resources that could enable smallholder communities to adopt and implement sustainable production practices.

The primary cause of deforestation and land conversion in these ecosystems is land clearing for agriculture, forestry or aquaculture, including plantations of oil palm (coast and Amazon regions) and pine (Paramo), as well as shrimp farming (mangroves). Land clearing for livestock is also a driver of deforestation in the Amazon and the dry coastal forests but also, on a lesser scale, in the Paramo.

As farmers clear land for agriculture or other uses, forest and/or other patches of natural vegetation are left standing as islands in a sea of land uses that are generally incompatible with long-term conservation and landscape resilience goals. Forests become drier and hotter, and with nothing to break air flow, wind speeds accelerate leading to ideal conditions for the spread of fire. When used as a tool to clear biomass prior to planting, fire may escape the control of farmers and spread to nearby forest or grasslands, reducing valuable habitat for biodiversity, diminishing valuable ecosystem services, generating huge volumes of greenhouse gases and leading to permanent conversion of natural habitat to other uses.

Another driver of forest and grassland fragmentation is the ongoing subdivision of communal lands in the three regions, under the responsibility of the Communes to provide new lands to young landless families, as well as due to the growing land market in which the Communes are pressured to sell to private owners (dry forest/mangroves), and permit colonization and settlement (Amazon).

With the loss of biodiversity and degradation of ecosystem services, the social and ecological resilience of these landscapes is increasingly compromised. With growing climate change and the weather and climate variability delivered by El Niño, communities must manage their landscapes to increase their resilience to climate and other shocks and pressures.

¹⁶ Ministry of Environment (2015). MAE promueve conservacion y recuperacion de bosques tropicales. Quito, Ecuador.

¹⁷ MAG (2018) Proyecto Nacional de Innovacion Tecnologica Participativa y Productividad Agricola (PITPPA) Quito, Ecuador.

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2.2.1. Barriers

Under GEF-5 and GEF-6, significant steps were taken to enhance socio-ecological resilience in the landscapes of the Bio-Corridors for Living Well, including community bio-enterprise initiatives that supported comprehensive landscape strategies that joined ecological connectivity objectives with sustainable production and social cohesion and inclusion goals. Nevertheless, several barriers remain that make it difficult to successfully establish, strengthen and maintain bio-enterprises as a primary vehicle for achieving the goals and objectives of these landscape strategies.

a) Promising community bio-enterprise initiatives do not yet have full capacities to define and implement viable production and management practices due to weak technical skills and unaccustomed practices

The decline in land and water productivity stems from land degradation, water logging and/or decline in water provision. To mitigate and reverse land degradation, smallholders need to practice an integrated approach to the management of soils, plant nutrients, water, and other inputs, particularly chemical inputs to avoid potential pollution.

Communities must develop the skills and knowledge required to apply agroecological principles to current farming systems and practice with the aim of maintaining or increasing productivity while conserving species and habitats that are important for ecological connectivity and biodiversity conservation, both foundations of landscape resilience. Agroforestry systems and low-input agricultural practices such as multi-cropping, polycultures, composting, fallowing, cover crops, and other soil conservation measures can raise yields through increased soil productivity and maintain them over longer periods, perhaps, even permanently, thereby reducing the need to clear new land for agriculture, as is the case under current systems.

Crop diversification provides farmers with a wider choice in the production of crops in a given area by expanding production related activities for different crops and bringing down the overall economic risk associated with potential crop loss. For example, in dryland areas crop diversification is practiced reducing the economic risk associated with failure of a single crop due to drought. Crop diversification can take place thanks to new governmental policies, market reforms, infrastructure development, government subsidies (e.g. through Socio Bosque), and certain other price-related support mechanisms. Higher profitability and stability in production can also induce crop diversification.

SGP has supported communities to develop systems for successful production practices that benefit the global environment, local sustainable development, and rural livelihoods. These include initiatives related to agroecological production, sustainable production of non-timber forest products, fisheries management, aquaculture, and alpaca breeding. To achieve economic development momentum in the market, these practices must be consolidated, replicated and scaled-up through broader adoption by larger numbers of smallholders and communities.

During GEF-5 and GEF-6, biodiversity conservation was directly linked to a change in production for the communities. A central focus was the development of Products with Territorial Identity (PIT) - products derived from biodiversity and agrobiodiversity that incorporated innovation and creativity from value-added processing so that they could be sold in local and regional markets. Revenue generated from the sales of PITs will provide the economic incentives to smallholders and communities to continue to apply and adapt practices that improve the sustainability of production systems. To successfully market PITs, producers must have enough volumes of high-quality products to meet buyers' requirements.

b) Community groups lack the means and abilities to access new markets for their products.

During GEF-6, SGP supported communities in the different landscapes in the development of *Products with Territorial Identity* (PIT). Nevertheless, these initiatives encountered barriers to successful marketing for several reasons: little knowledge of urban consumers and their tastes and demands, lack of marketing skills, weaknesses in identifying private-sector partnerships, difficulties in achieving production at sufficient scale across landscapes, and an absence of value addition to their raw products.

In addition, some normative barriers include specific requirements for the commercialization of products from the Ministry of Public Health and the Ministry of Agriculture. In the case of perishables, this includes a sanitary registry and for non-perishables, the application of the *Manual of Good Agricultural Practices*. In both cases, small producers - given their economic capacities and production perspectives - often have substantial

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difficulties in complying. Inability to comply with these technical demands contributes to the abandonment of agricultural production, especially by the younger population, and further limits their capacities to create and operate profitable enterprises. At the same time, these low capacities further discourage community enterprises from identifying and developing new products or services that would further landscape resilience and global environmental goals.

In the landscapes where SGP has been supporting communities in developing and implementing resilience-enhancing strategies, communities and their organizations must have proven alternatives for the sustainable use of natural resources that allow them to generate income or achieve food security through innovative products with access to dynamic markets at different levels. Products with limited entry or access to new markets discourage producers from trying new sustainable practices or systems and dissuade new partners from joining the initiative.

The PIT strategy initiated in GEF-5 and further strengthened in GEF-6 has prioritized product value addition and learning about ways to overcome the barriers smallholders face to achieving market access. During GEF-7, the upscaling process conducted via bio-enterprises will ensure that biodiversity-related products meet national norms and regulations, since the SGP will collaborate with the Socio Bosque Program and other national interventions made by the Ministry of Environment, which has already communicated regulations and norms to the direct beneficiaries of the project. Successful community enterprises will be the vehicles by which communities generate global environmental benefits through biodiversity conservation and sustainable use.

c) Community groups lack the means and capacities to plan and coordinate their entrepreneurial activities for conservation and sustainable use of biodiversity among themselves and with other relevant stakeholders

Communities assume a major responsibility for the use and conservation of their landscape's biodiversity. As a strategy for biodiversity conservation, communities need to create strategic alliances and practical partnerships that support their proposals for management of biodiversity for sustainable use and production.

Communities have formal and non-formal mechanisms for communal decision making, as well as local governance. However, these generally lack an explicit strategic vision for landscape resilience and sustainable development. During GEF-5 and GEF-6, SGP promoted the establishment of the Bio-corridor Working Groups (MTB in Spanish), focusing on the development and maintenance of production landscapes as biological corridors. This required a high degree of planning and governance within and between communities, as well as with other relevant stakeholders, based on an agreed strategic vision for landscape resilience and sustainable development, supported by an appropriate policy and incentive framework. This multi-stakeholder management approach has been crucial for communities to speak with one voice with governmental authorities and other interested parties and potential partners.

With central government recognition of the importance of green entrepreneurship in the landscapes based on incentives delivered directly to the stakeholders, it has become clear that community and inter-community coordination can be used to leverage greater economic benefits through scale economies associated with sustainable income generating activities. The ability of communities to collaborate across the landscape in developing complementary production and commercialization activities is crucial to achieving and sustaining biodiversity conservation impacts at the landscape and regional levels.

At the same time, central government institutions and Decentralized Autonomous Governments (GAD) - who must maintain complementary and collaborative relations in the implementation of public policy, aligned with the Development Plans and Zoning (PDOT) - are characterized by a low level of coordination and funding challenges that include weak capacities and high staff turnover in some governmental institutions. It is also important to mention that gender equity-supported activities tend to decline at this level, as technical staff lack the necessary capacities to mainstream gender into local projects.

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d) Absence of incentives for private companies to partner with and support community bio-enterprise initiatives

It is difficult for community bio-enterprise initiatives in and of themselves to fully develop new opportunities for sustainable use of biodiversity or pursue other land-based investments at sufficient scale for successful income generation that motivate the adoption of production systems that support biodiversity conservation. Conventional partnerships between private companies and communities have shown a tendency to mismanage the distribution of resources and knowledge in favor of the first. These problems could well be mitigated by clearly identifying rights and obligations of both parties; nevertheless, communities and local networks do not generally have the capacities to adequately negotiate, implement or monitor fair trade contracts.

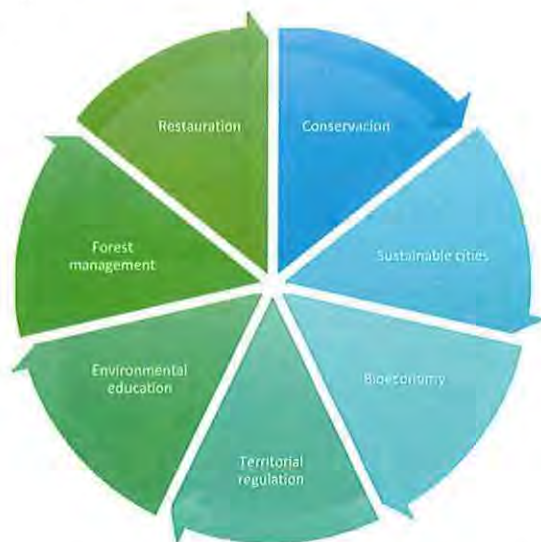
The SGP has sought to strengthen the production components of the initiatives it supports. Considering the legal framework agreements of the United Nations System and the United Nations Development Program (UNDP) in its links with the private sector, the SGP Ecuador Country Program signed agreements in 2005 with private companies such as CORPEI's Biocommerce Initiative, Ecuadorian Ecotourism Association-ASEC, Wong Foundation, Water Fund-FONAG, Kraft Initiative, and Deloitte & Touche. More recently, SGP has developed a crowdfunding platform – GreenCrowds - which, since 2015, has developed alliances with private sector entities to promote campaigns in their networks to generate new donations. Several model coworking spaces, including universities, social media, and entrepreneurship incubators, are supporting GreenCrowds: Working Up, Universidad de las Fuerzas Armadas/Innovativa, *Consejo Empresarial para el Desarrollo Sostenible del Ecuador* - CEMDES, Buen Trip, IMPAQTO, Ecuador, Tierra Incognita, Media Lab UIO, Crisfe Foundation, and Alianza para el Emprendimiento e Innovación - AEI.

In recent years, several social actors and private sector entities have worked together to match communities with interested investors, facilitated by clarification of the rights of and obligations to communities and other stakeholders, and with more clearly defined incentive structures. Recent experience with social investing indicates that Ecuadorian entrepreneurs are increasingly inclined to support sustainable development initiatives, instead of investing in traditional assistance projects. Also, national legislation requires large enterprises to source at least 15% of their inventory from popular economy-related entrepreneurship, such as community or rural biodiversity products. This has generated interest of the private sector as well as motivation to welcome community ventures into their supply chains.

The multi-stakeholder landscape management methodology that SGP advocates and implements will provide significant ongoing monitoring of CBOs, as well as on-going evaluation. Some strategies to mitigate risks include the development of market research partnerships with universities; technical assistance to improve and maintain quality processes in production; multi-stakeholder dialogue with governmental parties, and funding exploratory activities.

2.3. Baseline scenario and associated baseline projects

With the political change in 2017, the Ministry of Environment defined several strategies, including the National Biodiversity Plan, Reforestation and Restoration Plan, and National Protected Areas Program, and in 2018, it launched the "Reverdecer Ecuador" program. This program was established to promote conservation, sustainable cities, environmental education, forest management, land use planning, reforestation, and bio-economic strategies. This program seeks to address the country's socio-environmental problems, to guarantee the rights of nature, and to ensure the living well (Sumak Kawsay) of current and future generations. There are seven key pieces to this program:



The development of biocommerce and green entrepreneurship has been present in the country through initiatives promoted by the public and private sectors, with at least 80 green entrepreneurship registered in the National Sustainable Biocommerce Program that have been supported by the GEF Small Grants Program and the National Socio Bosque Incentive Program, the funding mechanism operated by the SNAP Financial Sustainability Project and the National System of Protected Areas (SNAP) Support Program, all implemented by the Ministry of the Environment.

In March 2018, Reverdecer Ecuador was established in the National Development Plan "Toda una Vida". This initiative promotes citizen participation to guarantee the rational use of resources and the commitment to conserve forests and raise awareness about the negative impact of activities that degrade ecosystems and the expansion of the agricultural frontier.

During 2018, the Ministry of Environment focused its attention on promoting and articulating the development of the bio-economy in the country. It has signed several cooperation agreements with the Technical University of Loja (UTPL), the Alliance for Entrepreneurship and Innovation (AEI), Polytechnic School of the coastal region (ESPOL), among others to strengthen the entrepreneurship and innovation network in Ecuador. The aim has been to advance in the structuring of territorial clusters of entrepreneurship and innovation, as well as in the conformation of the first center to promote sustainable businesses (bio-businesses), which will promote different initiatives in bio-economy in a systematic way and over the long term.

Based on these documents together with the national strategies already underway, the Ministry – through the SNAP – seeks to focus on the work of bio-entrepreneurships from a multi-stakeholder perspective. This process has resulted in a request for the SGP to join forces with the Socio Bosque Program, integrating its methodological multi-stakeholder and expenditure-approach experience into the country's bio-commerce policy.

This methodology of articulating stakeholders, biodiversity conservation and bio-commerce within the landscape management approach will be executed in areas jointly selected by the Ministry of the Environment and SGP. The Socio Bosque Program provides financial incentives to community groups for conservation agreements; these can be used as co-financing to SGP grants supporting the economic basis for motivating sustainable production of biodiversity.

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2.3.1. The GEF Small Grants Programme – Ecuador

The Ecuador GEF Small Grants Programme was established in 1994. During its 22 years of operation Ecuador's SGP Country Program has funded 390 projects for a total of USD 26.84 million, of which USD 12.54 million has been GEF funding and USD 14.30 million in co-financing. These projects have addressed all GEF Focal Areas, with most projects in the biodiversity focal area (263 projects). The program has adjusted its strategy overtime to reflect lessons learnt and to adapt to emerging issues and opportunities.

During GEF-5, the Ecuador SGP Country Program adopted an innovative landscape approach modelled on the UNDP ART initiative (Articulation of Territorial Networks for Sustainable Human Development) based on three elements: ecological connectivity; sustainability and resilience of production landscapes; and social solidarity partnerships. This was a strategically important step for the Country Program as it squares with Ecuador's "Organic Code for Territorial Organization, Autonomy and Decentralization (COOTAD)". COOTAD made political and administrative decentralization compulsory and devolved land use planning and decision-making regarding natural resource management to local (provincial, municipal and parish) government levels. Therefore, adopting the landscape approach strategically aligns SGP with the Government's decentralization approach and ensures that SGP works with key decision-makers at both local and national levels responsible for land use planning and natural resource management, and thus those responsible for biodiversity conservation.

In GEF-5, SGP Ecuador developed, adapted and began to implement a participatory methodology (ART/UNDP) that coordinates priorities and activities with local governments, allowing them to link their local development programs with the strategic objectives of the SGP Country Program and community proposals, through Bio-corridor initiatives. SGP Ecuador's Management Strategy has shown very positive results during the implementation of GEF-5 and GEF-6. This was particularly highlighted during the GEF/SGP Upgraded Country Program (UCP) Global Workshop that took place in Quito, Ecuador (15-19 April 2018), where SGP Ecuador shared the results of the landscape approach in the Bio-corridors for Living well with the SGP Upgrading Country Programs from around the world.

The key innovation from GEF-5 was the shift from the traditional allocation of grants based on proposals submitted by individual organizations scattered across the country to a new system based on a landscape approach. Under the previous operation, even when the projects were in prioritized areas, they were implemented by a single organization without major involvement of other neighboring groups. The new landscape approach was defined as "Bio-corridors for Living Well" and addressed this constraint by having the grant-receiving organizations negotiate with and include other organizations in the funding and implementation of the project with the aim of developing working relationships between them and achieving larger landscape level impacts in ecological connectivity, sustainable production, ecosystem resilience, etc.

This innovation is a clear example of how the SGP can overcome the inherent constraints associated with the scale of small grants and, by focusing on a limited geographic area and leveraging ecological and economic synergies among grant projects, can generate larger impacts with significant additional benefits in terms of community wellbeing.

During GEF-6, SGP enabled community organizations in Bio-corridors for Living Well to take collective action for adaptive landscape management for socio-ecological resilience. Community organizations have developed significant progress towards land use changes, biodiversity conservation strategies and social strengthening of organizations. The GEF-5 approaches to implementation were successful because they integrated community participation into landscape planning and management as a strategy to achieve Global Environmental Benefits while improving the beneficiary's quality of life through sustainable production. In GEF-6, SGP Ecuador continued with the guiding principles of ecological connectivity, sustainable production landscapes, and Bio-corridor partnerships across the landscape.

Nevertheless, during GEF-6, to achieve scale across the landscape, activities carried out by community bio-enterprise initiatives needed to be implemented through joint projects that reflected the strategic objectives of establishing and maintaining a Bio-corridor. This also involved co-financing institutions, as GEF-6 continued with a multi-stakeholder approach that provided credibility and popular support to the landscape planning and management process and led to the heightened involvement and commitment of stakeholders in implementation.

During GEF-6, SGP Ecuador supported 270 community organizations who became involved in resilient socio-ecological landscapes for sustainable development and global environmental protection by implementing strategies and activities affecting landscape resilience. Ten geographically defined Bio-corridors for Living Well were selected to increase and reinforce the initial impacts from GEF-5 initiatives in support of implementation of conservation strategies at community level for globally important ecosystems. This process was led by ten management committees responsible for participatory processes that oversaw the implementation of the projects in the ten selected landscapes.



During GEF-6, SGP strengthened ten farmers' organization and 26 indigenous organizations linking 226 communities. At the same time, indigenous communities, farmers' organizations and community organizations implemented their projects through their Management Committees and met quarterly in Bio-corridor multi-stakeholder platforms for discussion and decision-making regarding the development of Bio-corridor projects, providing indigenous and farming groups with a safe environment for sharing their concerns and problems. SGP Ecuador worked with the following indigenous communities and organizations in these territories:

Andean Region from the Quechua People: Asociacion Regional de Soberania Alimentaria del Territorio Kayambi, Fundacion Kawsay, Grupo de Mujeres Mushuc Yuyay de la Unocc, Union de Organizaciones Campesinas de San Juan, Kamach, Union de Comunidades Indigenas de Gonzales Suarez, Productores Agroecologicos el Buen Vivir de Pedro Moncayo, Sumak Pacha, Asociacion de Campesinos Agroecologicos de Intag, Asociacion de Trabajadores Agricolas la Esmeralda Chica Cebada Loma, Comuna Altar Curiacu de Cubilan, Comuna Caguanapamba, Asociacion de Productores Agroecologicos Qhapaq Ñan, Asociacion Artesanal Flor Andina, Comite de Gestion Ambiental Tambo-Burgay, Asociacion de Productores Agroecologicos Sumak Mikuna, Zhamuy (Zhud Ayllu Muyunti Mushuk Yuyaita Yanapak), Union de Organizaciones Comunitarias y Sociales de Santa Isabel, Asociacion de Productores Agropecuarios Yanuncay.

Amazon communities from the Kichua, Waorani and Shuar peoples: Alto Tena, Santo Domingo, Waysa Yaku, San Jose, Santa Rita, Wambula, Manduro Yaku, Shandia, Runashitu, Raya Yaku, Selva Viva, Amanecer Campesino, Runashito, Selva Viva, Rayayaku, Anwae, Tsatsayaku, AMWAE, Taisha and Territorio Shuar Arutam.

Coastal Indigenous People: Pueblo Manta

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2.3.2. GEF-6 stakeholders and partnerships

During GEF-6 the SGP Country Program collaborated with 42 decentralized autonomous governments (GAD), eight Governmental Organizations (including the Ministries of Environment, Agriculture, and Tourism, among others), 11 universities, 12 NGOs and additional actors involved in this process. Through these meetings, more than USD 1,388,345 (cash and in-kind) were raised as counterpart resources, benefiting 270 communities and 511 families directly and indirectly from SGP initiatives.

During 2017, work began on strengthening, replicating, scaling up and consolidating good practices and lessons learned from GEF-5. During GEF-6 the co-financing achieved from Bio-corridor projects is USD 1,495,523. There are other projects that have contributed to co-financing: ICCA/GSI (USD 50,000), UNDP (USD 66,000), COMDEKS (USD 65,000); funds for the earthquake emergency (USD 76,000). Co-financing reported till now is: USD 1,752,523. These organizations are SGP partners and support projects technically and operationally. They operate in all Bio-corridors.

At national level, a key strategy for SGP Ecuador has been to support the Global Initiative to Support Indigenous Peoples and Areas Conserved by Local Communities known as ICCA-GSI. This project was developed to broaden the range and quality of diverse governance types in recognizing ICCAs and achieving the Aichi 2020 targets. ICCA-GSI's objective is to improve the recognition and overall effectiveness for biodiversity conservation, sustainable livelihoods, and resilience to climate change of territories and areas conserved by indigenous peoples and local communities.

Ministry of Environment (MAE)

The Ministry of Environment (MAE) was a primary partner supporting Bio-corridor projects in strengthening ecological connectivity. In GEF-5, the Ministry contributed USD 651,084 and in GEF-6, USD 557,440 along with stand-alone financing of three Bio-corridor projects and three mainstreaming projects (participatory mapping for Bio-corridors and development of Products with Territorial Identity). MAE has also been a member of the SGP National Steering Committee and provided significant support to the implementation and sustainability of the GEF-6 projects, as they have been involved in project approvals as well as in the evaluation and monitoring processes.

On April 18, 2019 Ecuador submitted the 034 Ministerial Agreement, related to the guidelines to develop bio-enterprises as a mechanism for the sustainable use of biodiversity. This instrument will serve as a guide for the Bio-enterprise selection during the OP7 implementation. This document has specific guidelines (environmental, economic and social), advantageous to harmonize the management plans from the Socio Bosque partners with the Bio-enterprise proposal from the SGP, involving the framework of bio-enterprises and circular economy.

Support to the National Protected Areas System – PASNAP/MAE

The Program to Support National Protected Areas (PASNAP/MAE) aims to strengthen prioritized National Protected Areas by incorporating regional and local stakeholders into its management. The PASNAP/MAE's mission is to ensure efficient environmental management that guarantees a harmonic relationship between the country's economic, social, and environmental strategies, and the sustainable utilization of the country's strategic natural resources to achieve Living Well.

In GEF-5, PASNAP/MAE and SGP Ecuador signed an inter-institutional cooperation agreement for implementation of the connectivity management policy for conservation. The Ministry of Environment awarded SGP Ecuador financial and technical resources to implement selected projects in geographical landscapes of common concern. This step shaped PASNAP/MAE into a strategic partner for SGP Ecuador, with a key focus on biodiversity conservation.

During GEF-6, PASNAP/MAE financed six SGP projects, as described above: three Bio-corridors and three mainstreaming projects that focus on restoration, recovery, and articulation of remaining prioritized landscapes in Ecuador. This partnership has strengthened the connectivity approach in the Bio-corridors by producing landscape mapping and cartographic information in GEF-5 and GEF-6.

Socio Bosque Program/MAE

The Government of Ecuador, in compliance with the National Development Plan, established a goal of 50% reduction in the deforestation rate. The main objective of Socio Bosque, a program that has been in operation since 2008, is the conservation of native forests and paramos. Socio Bosque provides economic incentives to peasants and indigenous communities who voluntarily commit themselves to the conservation and protection of their native forests, paramos, or other native vegetation. After initial socialization, consultation, and confirmation of their nationality, the owners sign a conservation agreement with the Ministry of Environment

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(MAE) for a duration of 20 years, after which the Ministry transfers an economic incentive for each hectare to the owners.

This incentive program gives owners the possibility of a permanent source of revenue. The delivery of this incentive is conditional, based on the protection and conservation of forests. This means that owners receive the incentive once they have complied with the monitoring conditions that are determined by the agreement with the Ministry of Environment.

Between September 2008 and December 2015, Socio Bosque registered 2,775 agreements, benefiting more than 187,000 people from grassroots organizations and indigenous communities such as Ai Cofan, Andwa, Awa, Achuar, Chachi, Kichwa, Sekopai, Shuar, Shiwar, Sapara, Waorani; Afro-Ecuadorian people, Montubios, and mestizos throughout continental Ecuador, conserving approximately 1,500,000 hectares of forests, paramos, and mangroves. Total investment since its creation reaches \$55.6 million. In 2015, non-reimbursable external cooperation and the Ecuadorian private sector contributions totaled 23% of the annual investment of the Programme.



III. STRATEGY

3.1. Proposed alternative scenario with a description of outcomes and components of the project

In Ecuador, communities have generally seen conservation as running counter to the economic well-being of people living from natural resource commercialization. Since 2012, SGP has responded to this perception with its innovative approach of integrating biodiversity conservation, sustainable production, and social strengthening around the establishment and maintenance of resilient landscapes - Bio-corridors. Stakeholders are motivated to sustain their efforts through increased income from the marketing and sale of *Products with Territorial Identity* that also produce global environmental benefits.

The development of *Products with Territorial Identity (PITs)* is a process involving many producers in initiatives that demonstrate creativity, innovation and the potential to produce in ways that continue to sustain ecosystem services and biodiversity. Nevertheless, these initiatives find barriers to commercialization resulting from weak marketing strategies and policies by producers' organizations; municipal ordinances that do not recognize agroecological/agroforestry for their positive effects on the global environment; weak knowledge of the supply of PITs by urban consumers; weaknesses in the production at scale in order to sufficiently meet demand in a consistent and predictable way; and low quality of brand development, among other factors.


SGP Ecuador's experience with support to sustainable production initiatives has shown that they can generate income based on the conservation and sustainable use of species, habitats and ecosystems. Nonetheless, to achieve sustainability of production practices and systems that generate global environmental benefits, communities should have enough business planning and management skills to offer enough volume of innovative products of high quality to local, regional and national markets. During GEF-6, SGP Ecuador supported producers' organizations to build their capacities to meet market requirements as well as helped consolidate previously successful interventions that promoted green business development. This benefited from the introduction of the concept of *Products with Territorial Identity* through a comprehensive new strategy called "empowerment methodology" using the experience of the NGO *In Terris/Talent Management* to enhance the PITs and their commercial and ecological sustainability within the framework of the Bio-corridors for Living Well.

This methodology ensures the development of capacities such as entrepreneurial skills, development and operation of contact networks, and the design of business models that guarantee effective commercialization in local, national and even international markets. Capacity building of entrepreneurs includes five areas: financial/legal, entrepreneurial skills, business, networking and emotional. With SGP Ecuador support, this methodology was adopted for continued development of the Bio-corridors for Living Well and has shown that grassroots communities engage more effectively and efficiently in biodiversity conservation if sustainable production and biodiversity conservation is an integral component of a resilient landscape. This concept transforms individual communities across a defined landscape into physical networks that collectively become and act as bio-enterprises. This innovation is a result of the experience of GEF-6.

3.1.1. Bio-enterprises in GEF-7

The GEF SGP Ecuador Country Program will tackle the root causes of biodiversity loss in three key biodiversity areas of Ecuador: Highlands (Paramo) north and south, Coastal region (dry forest/mangroves), and the Amazon (tropical forest). In GEF-7, SGP Ecuador will continue to adapt and improve the innovative landscape planning and management approach developed in GEF-5 and GEF-6 by supporting communities to establish and operate landscape-based bio-enterprises around sustainably produced, biodiversity-conserving *Products with Territorial Identity* - PITs. While these products are currently being produced by communities in their respective landscapes as a result of previous SGP grants, the economic motivation to sustain biodiversity friendly production practices is weak, primarily due to obstacles constraining market access. These barriers include issues of scale (enough volume of high-quality production to meet buyers' requirements), value addition, access to financing, and enabling partnerships with private enterprises and government programs that can provide longer-term support.

To accomplish a standard concept, it is considered that prior accepted proposals reflected a lineal approach for activities implementation. Either as a strategy as it considers the theory of change to plan and implement the necessary activities to achieve environmental benefits with outputs and activities; or as a method that started



with the local identified factors that devices different steps regarding the landscape strategy. The bio-enterprise methodology combines them both as it proposes an innovative landscape approach linked with a multilayer proposal – multistakeholder and multilevel, replicating the systematic implementation process from the OP5 and OP6.

In short, the **bio-enterprise concept combines both strategy and methodology** to achieve global environmental benefits by providing enough economic incentives for producers to adopt sustainable production practices/systems. The economic incentives are provided by markets for goods produced through conservation and sustainable use of biodiversity and ecosystem services. Access to emerging markets for these kinds of products is difficult for individual smallholders given the scale of their production systems, their weak abilities to assume risk, and the demands by buyers for consistency in volume and quality. The landscape level bio-enterprise is aimed at bringing together multiple producers in specific value chains with other stakeholders, including buyers, government agricultural experts, NGOs, input providers, and others. These multi-stakeholder bio-enterprises can organize and support production of PITs that enhances landscape level socio-ecological resilience and global environmental benefits - sustained over time by producers motivated by the incentive of enough income generation.

Bio-enterprise concept		
Methodology	Strategy	SGP proposal
	<i>Specific actions/techniques taken to achieve the proposed intervention goals related to the sustainable development of communities</i>	SGP's project outputs are designed to achieve successful bio-enterprises in each landscape
<i>Successive steps based on a landscape strategy to support communities in rural areas generating global environmental benefits</i>	They seek to change the determinants/factors that affect local sustainable development while accomplishing global environmental benefits	The proposal is based on the hypothesis that people's quality of life will be improved through their participation in effective bio-enterprises
The bio-enterprise methodology is built upon SGP experience and the diverse roles taken by the different stakeholders. At the same time, it considers the MAE guidelines for Bio-enterprises characterization.	The activities carried out by the communities with the support of SGP in selected landscapes hinge on the design to create/strengthen a bio-enterprise	

The project proposed here pursues a suite of outputs related to bio-enterprise establishment and operations, with a central focus on biodiversity conservation and the aim of enabling community networks to build social, economic and ecological resilience in nine landscapes located in the coastal, highlands and Amazon region through bio-enterprises for global environmental benefits and sustainable development.

Areas of intervention

During GEF-6, the SGP Country Program and the Ministry of Environment (MAE/PASNAP) generated maps with information on land use and vegetative cover in Bio-corridors. These indicated the activities carried out during GEF-5 to identify the proposed long-term impacts of SGP support in each Bio-corridor.

During consultations in the planning stage for the project proposed here, SGP Ecuador worked closely with the Socio Bosque program to define the key activities for replication and upscaling based on the results achieved in GEF-6; these would include components of conservation and integration with the policies and programs of the Ministry of Environment. At the same time, SGP Ecuador aims to leverage financial support from important institutions and stakeholders at national and landscape levels, where working together will be crucial with the support of the Ministry of Environment (MAE), as the government agency for conservation policy.

The MAE (through PASNAP/SBP) and the SGP identified the landscapes and areas for support in GEF-7 guided by the successful outcomes of previous SGP Operational Phases in Bio-corridors, the GEF-7 guidelines for biodiversity (core indicator 1.1), and the Convention on Biological Diversity (CBD) for the adoption of measures that prevent or minimize the risk of considerable reduction or loss of biological diversity, among other sources. As well, the pragmatic approach to be applied in this project of conserving biological diversity through

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sustainable production for market by landscape level bio-enterprises requires substantial investments. These are expected to generate considerable economic and social benefits. Indeed, the premise of this project is that these will provide substantial motivation to producers to adopt and apply new biodiversity and ecosystem friendly production practices into the foreseeable future. This proposal follows national guidelines in the National Development Plan (*Plan Toda una Vida*) and the Inter-ministerial Environmental Agenda¹⁸.

Nine landscapes were carefully chosen based on an analysis of the areas that overlap the Bio-corridors for Living Well (SGP GEF-5, GEF-6), the National System of Protected Areas (SNAP), and communities as well as individual conservation areas of the Socio Bosque Project, with special emphasis on areas where the landscape bio-enterprise strategy will have a positive impact for conservation and sustainable development. This new strategy promotes maintenance of the natural forest of Ecuador by a) protecting it from land use changes such as the expansion of the agricultural frontier or other human pressures that reduce habitat and populations of key species or result in land degradation; and b) simultaneously presenting livelihood options for forest dependent peoples. Another variable considered was the existence of potential bio-enterprises and consolidated areas providing a framework for success in conservation projects and sustainable development.

Nine maps were developed, identifying key project areas according to their biodiversity importance (hotspots), presence of bio-enterprises, and proximity to protected areas (Bio-corridor landscape approach), where focused support could prove beneficial for local development and maintenance of the biodiversity of these globally significant landscapes.

- In the Highlands, the SGP Ecuador Country Program will prioritize bio-enterprises chains in the buffer zones of Cayambe-Coca National Park, the north Andes region and the north-east area of the Chimborazo National Park buffer zone.
- In the Coastal region, the SGP Country Program will prioritize bio-enterprises chains in the buffer zones of Santa Elena province area, next to the Chongon-Colonche Bio-corridor, as well as within the Chongon-Colonche conservation area itself.
- In the Amazon region, the SGP Country Program will prioritize bio-enterprises chains in the buffer zones of the Sumaco - Napo - Galeras National Park region, the north-east zone of the Yasuni, working directly with the Waorani communities and the south-east region of Morona Santiago province, in Taisha.

¹⁸ Ministry of Environment, and United Nations Development Program - UNDP, 2018.



The selected areas are as follow:

Landscape	Partners (Socio Bosque)	SNAP	SGP Ecuador	Total Area (hectares)
Cayambe-Zuleta	Zuleta, Gallo Rumi	Cayambe-Coca	Bio-corridor Cayambe-Coca	13,917
Chimborazo	San Rafael de Chuquipogio, Pulingui San Pablo, la Silveria, Casaiche Arenal, Chorrera mirador alto, Ganquis Cuquiiloma; (Cañar: cooperativa San Andres de Malal)	Buffer zone Chimborazo	Bio-corridor Chimborazo	10,288
Condor Chuquiragua Cañari	Cañari people	Buffer zone of Sangay National Park	Cañar – Alpacas, agroecology and food products	7,350
Chongon-Colonche	Salanguillo, Sinchal, Barcelona, Febres Cordero, Dos Mangas, Loma Alta, Olon, Las Balsas	National Park Machalilla	Chongon Colonche Bio-corridor (GEF-6)	46,757
Jipijapa	Sancan Cantagallo	Bosque Protector Sancan Cantagallo	Portoviejo Bio-corridor (GEF-6)	2,256
Choco-Esmeraldas	Comuna Playa de Oro	Cotacachi-Cayapas	-	20,582
Taisha	Taisha	Bosques Protectores de la provincia Morona Santiago de la Cordillera del Kutuku y Shaimio	-	13,890
Sumaco – Yaku Samay	Pucunu Chico, Avila Viejo, Guacamayos, Rucullacta, Wamani	Sumaco Napo-Galeras	Yaku Samay (GEF-5 Bio-corridor)	34,170
Worani	Worani communities	Yasuni	Aklak Sacha- GEF-5 Bio-corridor	42,695

The main concept under which the SGP will work is the consolidation, replication and upscaling of results from GEF-6, particularly those involving collective action for adaptive landscape management for socio-ecological resilience. Consolidation considers strengthening involvement of the most representative stakeholders in the landscape. Upscaling will occur through the organization of multi-stakeholder, landscape level bio-enterprises around particular value chains for products (PITs) that conserve biodiversity and ecosystem services within a landscape resilience strategy. Community organizations have developed significant progress as a result of SGP support in GEF-6, and SGP will continue strengthening their capacities to lead the process.

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3.2. Outcomes and Outputs

To comprehensively achieve the project objective and outcomes, in accordance with GEF-7 programming directions, SGP works under the bio-enterprise methodology with a multi-stakeholder approach in the selected areas.

GEF-7 programming directions	Component of the project	Project Outcomes
Ecosystem restoration that reduces the causes of decline and improves basic functions of the bionetworks	Develop community bio-enterprise initiatives through capacity building, knowledge management and upscaling in resilient socio-ecological landscapes for sustainable development and global environmental benefits	Community bio-enterprise initiatives are strengthened in the targeted landscapes of four globally important ecosystems - Andean Paramo, Mangrove, Coastal dry forest, Tropical rainforest - with improved market access
Ecological restoration that enhances native habitats, sustains ecosystem resilience, and conserves biodiversity		Multi-stakeholder bio-entrepreneurship networks established and operational for effective governance of selected landscapes and coordinated market access

Outcome 1: Community bio-enterprise initiatives are strengthened in the targeted landscapes of four globally important ecosystems - Andean Paramo, Mangrove, Coastal dry forest, Tropical rainforest - with improved market access

This new operational phase is expected to maintain - in conjunction with the Socio Bosque Program and PASNAP/MAE - an area under community management strategies for conservation of about 191,488 hectares linked to community participation in the Socio Bosque Program and other initiatives implemented by MAE in the prioritized landscapes. The strengthening of bio-enterprises will focus on local priorities such as food security, income generation, and the development of social solidarity partnerships. The project's emphasis on multi-stakeholder partnerships around these bio-enterprises will explicitly facilitate development of cross-cutting projects to upscale successful SGP-supported technologies, practices or systems identified from previous phases of the Ecuador SGP Country Program that strengthen the resilience of socio-ecological landscapes such as soil conservation practices, agroecology-agroforestry for coffee and cacao, CC mitigation via alternative energy efficiency technologies and short commercialization circuits related to sustainable use of trees-outside forest areas.

Three Outputs will contribute to achieving this Outcome:

- Output 1.1 Community bio-enterprise initiatives promote improved agroecological land management practices and conservation in targeted landscapes
- Output 1.2. Community bio-enterprise initiatives conserve and add value to biodiversity resources through the development of innovative products
- Output 1.3. Innovative financial mechanisms, like crowdfunding, strengthen community bio-enterprise initiatives and engage new partners

Output 1.1 Community bio-enterprise initiatives promote improved agroecological land management practices and conservation in targeted landscapes

The main strategy for the SGP Ecuador - GEF-7 is to support community bio-enterprise initiatives that reduce habitat fragmentation, enhance sustainability of agroecosystems, and address the identified barriers to biodiversity conservation and sustainable use in each landscape through partnerships within a multi-stakeholder platform. This strategy involves civil society organizations, public institutions, academic institutions, CBOs and CSOs, the private sector and local governments who come together to develop and implement a landscape management strategy that prioritizes socio-ecological resilience based on global environmental benefits generated through socio-economic incentives to producers and community groups.

For GEF-7, sustainability of agroecological production through Community-Based Natural Resources Management strategies will be an essential criterion in selecting the products on which the larger scale bio-

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enterprises will be established and operationalized. These strategies will be developed and implemented with the support and collaboration of the Socio Bosque Program or with new donors interested in investing in sustainable agroecosystem management practices and production systems. Traditional knowledge of agroecosystem production and management systems will be an important source for identification and development of innovation processes. Practices and systems may include agroforestry systems, improved grazing systems, cut-and-carry livestock feeding, multi-cropping, composting, green manures, cultivation of underutilized crops important to crop genetic resource conservation, contour farming and soil conservation measures (bunds, gully plugs, gabions, etc.) and other low-input agricultural practices.

The following traditional but declining species of Andean crops will be promoted: nasturtiums, quinoa, melon, oca, beans, several varieties of potatoes, medicinal plants as well as other native species such as Huarango () ie. With ongoing technical support to sustainable harvesting, communities can derive tangible benefits from the services provided by forests (e.g. firewood, timber, oil, food, resins) without exhausting the ecosystem. The diversification of production benefits families by providing employment and income generating opportunities for youth and women. Increased vegetative cover generates multiple environmental benefits: stabilization of watersheds, carbon sequestration, soil conservation, habitat for wildlife, improve moisture retention and microclimates. The community agreements for native forest conservation originating in the Community Based Natural Resources Management strategies have the potential to prevent the expansion of the agricultural frontier, which is one of the most serious threats to native forests and biodiversity in Ecuador.

Forest landscape restoration or reforestation and agroforestry initiatives will emphasize increasing tree cover in production landscapes. These would include those initiatives that generate income through agricultural production, such as fruits and nuts, vegetables, cocoa, coffee, or cinnamon. In the landscapes of the mountains and coast, the SGP Country Program will support strengthening and increasing the areas of agroforestry cultivation of coffee, use of mangrove sustainable products, and several agricultural products related to prevention of degradation of arable land. The SGP will focus on working with the enhancing of bio-enterprises chains associated to the characteristics of the zone such as palo santo (*Bursera graveolens*). In the Amazon SGP will support communities in sustainable management of orchids, Chambira palm (*Astrocaryum chambira*) to produce handicrafts, species that allows the production of oils and scents in addition to sustainable forest management systems.

Other sustainable production practices and systems that will be promoted also include artisanal fishing and shellfish harvesting in mangroves, which have been tested in previous Operational Phases and are ready for broader dissemination and adoption. Fish pools operated sustainably by communities in the Amazon landscape will also be supported based on native fish, particularly the cachama species (*Piaractus brachipomun*).

The basis for this support is the projects carried out during GEF-6 that produced these results:

- Coast Region (seven projects) implemented agroforestry system, agroecological production, artisanal fishery (black shell and blue crab - *Callinectes sapidus*), and aquaculture (chame - *Dormitator latifrons*).
- Amazon region (five projects) implemented agroforestry farms (chakras) with new aquaculture practices (native recovery species, cachama - *Piaractus brachipomus*).

In GEF-6, SGP Ecuador initiated implementation of a project to support Indigenous and Community Conservation Areas (ICCA) whose objective was the self-strengthening of existing or potential ICCAs and the promotion of their recognition at local and national levels regarding a broad vision incorporating well-being, conservation, sustainable livelihoods and rights. The project provided funding to indigenous peoples and local communities to identify eight to ten "emblematic" ICCAs, two in each of the SGP working landscapes in Ecuador. The lands identified possess the characteristics of ICCAs or have important potential to evolve as such. Therefore, during GEF-7 this work will be continued and strengthened, and SGP Ecuador will promote bio-enterprise projects regarding natural resources use and conservation in ICCAs. Community elders will be encouraged to transfer traditional knowledge to younger people as part of SGP support to ICCAs. With the support of SGP, the ICCA project will carry out workshops on "Strategic support to territories and areas conserved by indigenous peoples and local communities" based on collective and nature rights.

Through implementation of this output at least 2,500 hectares of agricultural land will be used sustainably and productively through implementation of Community-Based Natural Resources Management strategies developed to optimize the sustainable use of biodiversity related products through a bio-enterprise approach.

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Activities include:

Activity 1. Communities in the landscape adopt new agroecological and agroforestry practices to optimize ecosystem function and conserve biodiversity on farm and in the overall landscape while producing products for market with a bio-enterprise perspective.

Adopting a landscape approach—which is strategically aligned with the SGP methodology regarding the Government's decentralization sectors—would ensure that the SGP is working with those decision-makers at both local and national levels responsible for land use planning and natural resource management including biodiversity conservation. In the following table, the GEF strategy of implementation is directly connected to the project component and outcomes to ascertain the reliability of the project proposal in the achievement of the proposed scenario.

Products

- 1 CBNRM strategy is developed by the bio-enterprise support team with the support of the M&E NGO and SGP team¹⁹.
 - Adoption and implementation of agroecological practices – based on vulnerability assessments - on farms to enhance conservation of soils, water, and remnant native forests at landscape scale.
 - At least two bio-enterprise projects will specifically include activities to promote sustainable crops and maintain their crop species.
 - Two bio enterprises will work on the recovery of indigenous and local seed varieties and exchange programs.
 - Conservation of traditional agroecological production systems that safeguard the genetic heritage that has global importance
- Technical assistance and training to local communities
- Landscape management practices are integrated at Community level based on gender needs

Activity 2: Bio-enterprises will carry out their productive activities in a sustainable way, especially regarding harvesting and production to preserve emblematic species from each agroecosystem. Overexploitation of selected species and monoculture have proved to be the main cause for habitat destruction and species decline in many instances. Utilization of biodiversity products should follow special regimes focused on maintaining or improving the quality of habitats in the selected landscapes. Maintaining the habitat and original landscapes while improving the production techniques is a priority for this new operational phase.

Products

- 12 emblematic species from the diversity are maintained in the selected landscapes to enable its conservation and sustainable use. These species will be the focal points in the global strategy of bio-enterprises to achieve ecological connectivity. The MAE/PASNAP strategy for ecological conservation based on the conservation-object identified will be used.
- Advice on the agricultural potential, handicraft, forestry and adding value to the market (examples: cosmetics, medicinal products, essences, fruit pulp, jams, etc.)
- At least 1 document with soil improvement practices are designed and approved participatory manner.

Activity 3: Indigenous knowledge is recognized and encouraged as a source of participatory innovation development for natural resource conservation across the landscape.

The ICCA project's objective for GEF-6 was the self-strengthening of existing or potential ICCAs and the promotion of their recognition at the local and national level from a broad vision that incorporates well-being, conservation, sustainable livelihoods and rights. Its axis of articulation is the indigenous peoples and local communities and their linkage with territories located in the Bio-corridors for Living Well and in the territories of work of the SGP.

Across the landscape, from 8 to 10 "emblematic" ICCAs were identified, two in each of the SGP working territories in Ecuador. This means that the territories identified have the characteristics of ICCA or an important

¹⁹ Output 2.2 – product 6.

potential to evolve as such. Therefore, during OP7 this work will be continued and strengthened, according to the ICCA initiative proposal.

Products

- With the support of SGP, the ICCA project will carry out workshops on “Strategic support to territories and areas conserved by indigenous peoples and local communities” based on collective and nature rights.
- Indigenous and technical knowledge of natural resources is encouraged in the landscape with at least 1 workshop integrating data gathering.
- SIMONAA implements a tool to recollect information from indigenous leaders and community records are used in natural resource activities, especially those aligned with knowledge management and replication

Activity 4: At least two marine species are sustainably managed by local coastal communities using environmentally friendly practices to improve mangrove conservation areas. Communities whose livelihoods depend on the mangrove and dry forest ecosystem have lived in the area for generations and are mostly artisanal fishermen and farmers. In OP6, SGP identified viable sustainable use practices to reduce pressure on the remaining mangrove ecosystem and dry forest. These activities will be complemented by initiatives of community ecotourism managed by the communities themselves (see output 1.2, activity 4). The communities will work within the framework of existing management plans for mangrove and dry forest conservation with the SNAP/Socio Bosque/MAE.

Products:

- 2 marine species managed sustainably by local communities and maintains environmentally friendly practices to improve mangrove conservation areas.
- Technical assistance and training to local communities

Output 1.2. Community bio-enterprise initiatives conserve and add value to biodiversity resources through the development of innovative products

Community bio-enterprise initiatives supported under Output 1.1, above, will produce a variety of goods and services that need to be transformed under Output 1.2 through value addition to meet market demand in terms of volume and quality. The products to be supported with SGP and co-financing resources have been produced in quantities of variable sizes during previous GEF Operational Phases and with increasing quality and have been assessed as viable candidates for upscaling through landscape level bio-enterprises.

While the raw materials are being produced or harvested using methods, practices and systems that promote the sustainability of ecosystem services and biodiversity, the economic incentive to continue these practices and systems lies with the revenues generated by the sale of goods and services produced by the community and producers' groups involved. To maximize the revenues obtained by their sale, community bio-enterprise initiatives must learn to add value to the raw materials they produce.

This will require training and capacity development for different producers' and community groups across the landscapes to understand market demand, basic business principles and business planning, legal and sanitary regulations, processing, preservation, packaging, branding and other aspects.

For those products with less experience of value addition, longer-term strategies will be developed by bio-enterprises to broaden their markets, including possible gastronomic development with local/national chefs and limited local supply contracts.

SGP Ecuador will strengthen communities' and family's capacities to develop and implement ecotourism activities with a microbusiness perspective. Ecotourism has the potential to help in establishing links between different communities in a landscape, for example, by creating a local market for sustainably produced agricultural products and handicrafts. Individual ecotourism initiatives can be linked in wider networks to increase the “supply” of ecotourism services with the aim of prolonging the average ecotourist stay in country.

Over the last two GEF Operational Phases, SGP Ecuador has developed close collaborative relationships with universities, NGOs, government technical institutes and others to channel their expertise and resources to help community groups address the challenges of sustainable production, including product system improvement, new production techniques, effective and efficient business management, understanding national norms and

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standards, etc. Communities in the selected landscapes will receive technical support for packaging, labelling designs and marketing strategies from these partners. These partners will also be instrumental in providing youth and women in communities with capacities to produce adequate volumes of high-quality conservation-compatible products, add value, and introduce them to market. This includes capacities to plan and manage land use coherent with the conservation objectives of protected areas and biological corridors, as well as business management skills and abilities.

As a result of this output at least 16 innovative products will receive value-addition in preparation for market access and sale. The Bio enterprise concept is designed such as the markets will incorporate the final PIT in their inputs, such that the initiatives will be profitable and sustainable for the long term. The prioritized products are as follows:

Amazon region	Yaku Samay / agroforestry production – orchids, essential oils
	WAO territory / agroforestry production – cacao, chambira, fibers
	Taisha / agroforestry production and mushrooms
Coastal region	Chongon-Colonche / agroforestry production – guadua – bamboo
	Portoviejo / agroecology production and marine production (mangroves) coffee, honey, essential oils - Palo santo (<i>Bursera graveolens</i>) and others)
	Choco / agroforestry production – palma de fibra de escoba (<i>Leopoldinia piassaba</i>); Coconut fiber.
Highlands region	Zuleta / Mortiño (<i>Vaccinium meridionale</i>), Andean native tubers and cereals (potatoes, oca, mashua, quinua, amaranto, etc)
	Chimborazo – huarango (<i>Prosopis pallida</i>) and andean native tubers and cereals
	Condor / agroecology production and handicrafts

Activities include:

Activity 1: Community groups producing food products learn appropriate value addition methods and practices, including understanding the relevant legal and sanitary regulations, business planning and management, processing, preservation and packaging, branding, and other aspects.

The prioritized products will be: Mortiño (*Vaccinium meridionale*), huarango (*Prosopis pallida*) and native Andean tubers and cereals such as Mashua (*Tropaeolum tuberosum*). The commercial strategy implemented will consider the “agroecological baskets” commercial approach (seasonal variety of products delivered on an agreed schedule, like Community Supported Agriculture in the US and Europe).

Products:

- 2 bio-enterprise projects identify at least 1 (per project) innovative product of sustainable management and agroecological practices in the highland’s region
- Technical assistance and training to local communities

Activity 2: Community groups producing handicrafts learn appropriate value addition methods and practices, including understanding the relevant legal regulations, business planning and management, processing and packaging, branding, and other aspects. These bio-enterprises will work under the Circular Economy approach (CEA), in the Waorani and Choco territories specifically. Supplementary information for the CEA during OP7 is detailed in the page 36.

Products:

- At least 2 bio-enterprise projects focused on increase production of timber and non-timber related products, handicraft, forestry and adding value to the market (examples: cosmetics, medicinal products, essences, fruit pulp, jams, and fibers)

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Activity 3: Community groups harvesting Mangrove crab (*Ucides occidentalis*) and Black shell (*Anadara tuberculosa*) learn basic food preparation and preservation techniques, are linked to the wider gastronomic and culinary community and receive simple business planning and management training.

Products:

- 1 bio-enterprise project focused on artisanal fisheries and mollusk collection products.
- Technical assistance and training to local communities

Activity 4: Community groups developing ecotourism in conjunction with SNAP/MAE – Socio Bosque/MAE initiatives learn hospitality skills (including awareness raising regarding biodiversity, ecosystem services, etc.), business planning and management, and relationship building with local providers of sustainably produced goods and services.

According to the National Diversity Strategy (2018), the tourism in the SNAP generates annual revenues of around USD 527 million, which constitutes at least 35% of the total share of the tourism chain in GDP (5.3%). Additionally, the approximate contribution of the entire continental SNAP would be at least 15% of the total tourist income of the country, while the contribution of the Galapagos protected areas borders 20%²⁰.

Revenues generated from ecotourism in SNAP/MAE – Socio Bosque/MAE areas, which requires conservation of the pristine and beautiful ecosystems that attract tourists, should be a strong incentive to migrate from non-prioritized or traditional activities. Ecotourism also has the potential to help establish links between different communities and their sustainably produced goods and services, for example: by creating a local market for agricultural products and handicrafts. This product will generate many local benefits by generating income for local population. These bio-enterprises will work under the Circular Economy approach

Products:

- At least 2 bio-enterprise projects focused on increase ecotourism activities in the selected landscapes in conjunction with SNAP/MAE – Socio Bosque/MAE.
- National meetings with MAE/PASNAP to boost and prioritize bio-enterprises with potential to increase their market perspectives
- Assessments of community ecotourism potential in each of the targeted landscape and services proposals will be strengthen through technical assistance and monitoring.
- Marketing strategies to promote community tourism services in SNAP/MAE and Socio Bosque/MAE areas.
- Establishment of partnerships with local government entities, tourist operators, and organizations in the national tourism sector.
- Partnerships among communities and public and private entities will be strengthen with networking and social involvement during workshops at the national level.

Activity 5: Universities, NGOs and government institutes establish collaborative relationships with distinct community bio-enterprise initiatives to improve production and value-addition methods, practices and systems.

Communities in the selected landscapes receive technical support for packaging, labelling designs and marketing strategies from Universities/institutions, , focusing on the use of biodiversity products as substitutes of one-use plastics or that promotes reuse or recycling of waste in order to transform them to new products.

This product will also serve as a mean to provide youth and women in communities with capacities to produce adequate volumes of high-quality conservation-compatible products, add value, and introduce them to market. This implies capacities to plan and manage land use that is coherent with the conservation objectives of protected areas and biological corridors, as well as business management skills and abilities.

Products:

- 24 university students in final year of their careers support each bio-enterprise in alliance with their respective institutions. Practices of circular economy are directed to the innovation of the prioritized products that the students will work on.

²⁰ Ministry of the Environment (2016) National Biodiversity Strategy 2015-2030 (p.108). Quito, Ecuador.

- A scholarship fund will serve to develop micro projects as an innovative hinge tool to boost bio-enterprise initiatives.

Activity 6: Collaboration between bio-enterprises, NGO, Academia, SGP, and government agencies is bolstered regarding management of natural resources in the selected landscapes.

Government and other territorial partners including media and non-governmental institutions are sensitized on international concerns about natural resource management and they receive the methodology for bio-enterprise methodology regarding this concept and proposal.

Products:

- Networking and in-situ promotion with media partners and UNDP office to promote the impact and evolution of the bio-enterprises.
- At least 1 in-situ visit to each bio-enterprise region (4 regions) with the selected stakeholders and guests/media.

Output 1.3. Innovative financial mechanisms, like crowdfunding, strengthen community bio-enterprise initiatives and engage new partners

SGP and the co-financing partners in this project are only initial investors in community bio-enterprise initiatives. To sustain the new and innovative practices adopted by communities as a result of their implementation of community bio-enterprise initiatives will require continuous access to enough capital to re-invest in biodiversity friendly production, particularly in adapting periodically to dynamic environments of social, economic and ecological change. Most community bio-enterprise initiatives are perceived as too risky for standard banks and other financial institutions, so they are dependent over the short term on more innovative instruments and mechanisms. This risk will decline over time due to the growth in community capacities, experience and organizational and business expertise, when they will have a more viable profile for access to production credit. The financial mechanism proposed here – crowdfunding – is a first step in leveraging greater and more sustained funding, as well as developing partnerships that will benefit community producers strategically.

Crowdfunding lets any individual contribute to the financing of a project. It was created to fill the gap when banks stopped financing small businesses during the recent worldwide recession²¹. Crowdfunding is a medium in which projects are funded through private contributions from credit cards or bank accounts. Crowdfunding works to fund ideas, initiatives, and projects that are technically viable, but that lack funds for development.

Nonetheless, crowdfunding is not simply a mechanism to raise funds, but rather exists as well to launch products to the market, measure audience interest, and create an initial support community. The collected money is a by-product of the company's success in finding an initial audience for their offer. In other words, crowdfunding offers a boost of initial validation that the entrepreneur can use to start in taking steps towards the next stage of growth.

To take advantage of these opportunities, SGP has been implementing a digital platform – GreenCrowds – since 2015 for the collaborative funding (crowdfunding) of community bio-enterprise initiatives focused on generating global environmental benefits by improving the socio-economic status of local communities through innovation in production practices.

The activities funded via crowdfunding to date effectively show how they contribute to biodiversity conservation. SGP has considerable experience in funding successful community bio-enterprise initiatives and the capacity to promote projects for alternative financing. A primary outcome of this project will be the upscaling of GreenCrowds to include the MAE/PASNAP communities under Socio Bosque. At the same time, the private sector as well as social groups interested in joining this process will become members of this community, helping GreenCrowds to become self-sustainable over time. GreenCrowds works as an alternative finance service for small-scale initiatives and other enterprises, while capitalizing on SGP's knowledge and expertise and creating shortcuts to reach new markets.

This Output will support sustainable community entrepreneurship by building their capabilities to engage and sustain new partnerships as steps towards greater financial and commercial viability. This Output will improve the skills and competencies of selected community groups to prepare them to take advantage of crowdfunding instruments. These community groups will learn how to market their initiatives as investments or attract donors to become potential crowdfunding partners, learn monitoring and reporting methods and other essential skills

²¹ Holstein, W. (March 2014). Micromecenazgo. Obtained from <http://compassmag.3ds.com/es/3/Negocios/MICROMECAZGO>

to attracting and maintaining productive partnerships. At the same time, SGP will support the development and implementation of crowdfunding campaigns to interest and engage potential donors and investors.

Activities include:

Activity 1: Selection and preparation of selected community bio-enterprise initiatives for participation in crowdfunding campaigns, along with the design of a stakeholder articulation strategy. This product will try to impact no less than 600 (Approx. 150 per project) families in the coming years, positively affecting the lives of hundreds and generating a compendium of stories, lessons learned, and wisdom leading to capacity building, environmental protection, communitarian work and retrieval/preservation of ancestral knowledge.

Pre-campaigning stage products:

- Identify at least 2 bio-enterprises (per period) during M&E visits/reports with a clear prospect to run a crowdfunding campaign.
- 1 local workshops (1 per territory) with communities and social actors to start the crowdfunding initiatives
- 4 network mapping documents (1 per territory)
- 1 private sector strategy disseminated regarding the integration of communitarian and social partnership products.
- Marketing tools and practices designed for each project, to replicate and guide local campaigns (matching funds and other crowdfunding strategies to engage communities and social participation)

Activity 2: Preparation and implementation of crowdfunding campaigns for GreenCrowds, including marketing campaigns and communication strategies.

Campaigning stage products:

- 4 campaigns run for 6 months each. During this time, initiatives implement activities regarding generation, engaging and updating the crowdfunding project.
- 4 campaigns process and summarize their crowdfunding projects.
- 4 communitarian products linked to crowdfunding dissemination strategies. This will include the design an appealing communication campaign and Promotion and Marketing strategy, in order to spread the GreenCrowds platform through social networks, magazines, written press, blogs, etc.

Activity 3: Technical assistance and M&E of selected community groups in monitoring, reporting, marketing and other relevant aspects for GC campaigns implementation.

Intervention and post-campaigning stage products:

- Technical assistance: to crowdfunding participants with a methodology (monitoring and Accompaniment of the preparation of campaigns). The M&E tools shall be filled by the local technical team.
- M&E tools for crowdfunding monitoring implemented in the SIMONAA to track the proposal's activities development

Outcome 2: Multi-stakeholder bio-entrepreneurship networks established and operational in the target landscapes for landscape governance and coordinated market access

During GEF 5 and 6, SGP Ecuador supported the formation of multi-stakeholder Landscape Working Groups comprised of local CSOs and government authorities, NGOs, and others, whose overall objective was the management and governance of their socio-ecological landscapes. These groups participated in the development of landscape management strategies aimed at encouraging behavior and production practices and systems that would enhance resilience to ecological and economic shocks and pressures. These strategies thus functioned as broad programming frameworks for community bio-enterprise initiatives that were financed by SGP and co-financiers.

These Working Groups have been significant in their abilities to bring disparate stakeholders together to discuss long-term trends in socio-ecological resilience, relating their economic production systems to the conservation of biodiversity and optimization of ecosystem services through sustainable land management. These Groups have slowly built consensus around the need to innovate production practices and systems to achieve both higher productivity and greater sustainability. The innovations proposed by community groups during GEF 5 and 6 reflect this. Community implementation of initiatives has strengthened their technical, analytical and organizational capacities, while producing a growing set of innovative products.

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To achieve positive behavioral change, it's necessary to reinforce the links between implementation of biodiversity friendly production practices and the economic incentives required to sustain them over time. While community groups have become more adept at generating biodiversity friendly products, access to markets has been difficult given the need to meet consumer demand at the scale, timeliness and with the quality required. At the same time, demand for some biodiversity friendly products needs to be stimulated through marketing campaigns highlighting their environmental benefits, as well as their health, economic, lifestyle and other advantages.

Different landscapes tend to produce different products that are specific to the ecological and social conditions of that landscape. These products can be branded and marketed as Products with Territorial Identity (PITs) if the different producers in the landscape adhere to a common set of production, processing and marketing standards. To achieve acceptance of and compliance with these standards, multiple producers need to cooperate. This is especially true if producers hope to reach the scale, timeliness and quality that the market demands, and in the context of biodiversity conservation and optimization of ecosystem services.

As such, this Outcome will build on the experience, structure and best practice of the landscape working groups to support the establishment and operations of landscape level bio-enterprises for the coordinated production, marketing and sale of Products of Territorial Identity (PITs). Three Outputs will contribute to achieving this Outcome:

Output 2.1: Multi-stakeholder bio-enterprise networks established and operational in the nine target landscapes.

Output 2.2: Bio-enterprise networks develop value chain strategies that promote and articulate biodiversity conservation and sustainable production practices across the nine target landscapes.

Output 2.3: Bio-enterprise networks implement value chain strategies to access new markets within and across landscapes and at regional and national levels.

Output 2.1: Multi-stakeholder bio-enterprise networks established and/or strengthened in selected landscapes

Under this Output, the SGP Country Program will support emerging networks of community groups producing prospective PITs in the selected landscapes together with the landscape working groups from GEF 5 and 6 to form bio-enterprises to which all stakeholders in the PIT value chains will be invited to participate. Bio-enterprises will bring together producers, buyers, input providers, technical assistance workers, potential credit providers, and others to coordinate production, processing, marketing and sale of innovative, biodiversity friendly products.

Multi-stakeholder bio-enterprises will ensure that community priorities are considered by local governments, national institutions, and universities, and that this is an effective mechanism to bring together stakeholders from throughout the landscape to support biodiversity conservation, agroecological production for sustainable livelihoods, and direct participation of indigenous and peasant organizations with a high involvement of women and young people. Bio-enterprises will be instrumental in formulating, implementing and adapting landscape management strategies for socio-ecological resilience.

A key feature of this approach is the identification of common objectives at the local level, considering ecological, economic and social aspects, which are then specified in local plans (PDOT) through the different government levels. This ensures that SGP support is aligned with the needs, interests and aspirations of GAD and social organizations.

In bio-enterprise meetings, different stakeholders and their proposals are considered. The prospect of financial support to stakeholder proposals motivates the different groups to participate in discussing and addressing common socioenvironmental concerns and interests. The MAE Socio Bosque Program and other local partners will also act as a crucial partner to involve new players and stakeholders. To achieve this output, it is vital that the stakeholders are committed to work in coordination, responsibility and convergence. Differences in their strengths, weaknesses, opportunities and threats need to be considered and addressed through targeted capacity building to avoid imbalances in participation and partnerships within the bio-enterprise.

At the end of GEF-6, the SGP, along with the Ministry of Environment (MAE/PASNAP), generated maps with information on land use and vegetative cover in the selected landscapes (Bio-corridors). Maps of each Bio-corridor were produced identifying the achievements of communities supported by SGP and partners as well as

the replication, consolidation and scaling up initiatives of GEF-6. These maps support the analysis of core areas and corridors comprising ecological connectivity. With these maps, landscape working groups and now bio-enterprises can prioritize and evaluate land management practices and conservation in the targeted landscapes. At the same time, the maps have served to support analysis of the impacts and achievements accomplished through the support from other actors in the landscapes. This has allowed stakeholders to reach agreements on key points of the SGP Ecuador proposal in GEF 7. The key institutions are the GADs, as well as state institutions such as the Ministry of Agriculture and Livestock, Ministry of Environment, higher education institutions, and the different organizations that are present in the area. Their involvement in the landscape working groups and bio-enterprises is vital for the development of the communities because they can provide continuity to the activities of the project until they become sustainable.

This Output will produce:

- Nine multi-stakeholder bio-enterprises in the selected landscapes that are representative of all stakeholders in the selected PIT value chains with special emphasis on gender equality and participation of youth.
- Nine sets of maps with information on land use, biodiversity, vegetative coverage and other factors that identify critical areas for conservation and sustainable use initiatives to be integrated into the bio-enterprises

Activities include:

Activity 1: Surveys and mapping of all potential stakeholders in landscapes and PIT value chains. The nine multi-stakeholder platforms will have governmental representatives, NGOs, university members, technical experts, market operators (private sector) and the accompaniment of the SGP office and Socio Bosque Program.

At the same time, the monitoring and evaluation team will ensure that gender-roles distribution are met in an equitable way, while measuring social participation and the assessment for additional technical assistance operations. It will be desirable that members of the NSC convey with these networks to provide additional assistance and ongoing evaluation.

Products:

- During starting-workshops, participating communities will begin the process to partnership building by mapping actors, barriers, and opportunities; bringing actors together for dialogue and alliances/partnerships and establishing facilitation platforms to define needs and priorities.
- SGP will also advocate value-chain development in sectors with the potential for sustainable and inclusive growth and the generation of global environmental benefits.

Activity 2: Communitarian agreements for the organization of nine bio-enterprises around specific PITs and analysis of capacities. The Socio Bosque Program maintain communitarian agreements with the 30 members of the targeted landscape, this will serve as a basis for actor mapping and initial conversations through a joint agenda.

Products:

- Workshops (1 per territory) to update and ratify Community agreements
- At least one meeting for each platform takes place biannually to promote debate and awareness on sustainable practices.

Activity 3: Legal establishment of bio-enterprises. The bio-enterprise projects sign a MOA document with the UNDP to implement the prioritized activities.

Products:

- At least 5 bio-enterprises are led by a woman leader or woman project manager.

Activity 4: Capacity development of organizational skills, PIT value chains, structures, value addition and flows, etc. This product will increase the competitive capacity of bio-enterprises, improving the business model; productive chains, marketing and distribution circuits, markets, market studies, and links to other actors (private sector, universities, GAD, other community based organizations, international cooperation, etc.) and implementation of original mechanisms (competitions, exchanges of experiences, unconventional marketing, crowdfunding, etc.), quality improvement, and protocolization in production to standardize quality, image improvement and packaging.

Along with the bio-enterprise support team, SGP will provide training and technical assistance in market access and identifying new networks. The methodology implemented by the technical team considers: production improvement, new productions techniques, effective and efficient business management, national norms and standards, design of marketing strategies, promotion of products in new markets and social media, quality improvement and production, application of quality control knowledge, and market diversification at the local and national level.

Products:

- Promote community association for joint production and marketing to boost bio-enterprise intervention
- Gender roles are identified within each production chain in the bio-enterprises.
- Strategies are designed to provide training and technical assistance in activities carried out by women within communitarian projects.

Activity 5: Participatory mapping of land use, biodiversity, etc., in the nine landscapes and identification of potential GEF 7 initiatives. Nine maps are georeferenced with information of land use and coverage. With this product it is expected that local governments including bio-enterprises facilitate and promote the conservation and implementation of natural resource management practices, determining critical areas for future interventions and boost the proposal of Socio Bosque by adding new members or communities that want to form part of the bio-enterprise network.

Products:

- 1 support team is selected to generate the georeferenced maps in the territory
- Workshops are held in the territory to consider stakeholder participation from MAE/Socio Bosque members

Output 2.2. Bio-enterprise networks develop biodiversity friendly value chain strategies to access markets to the scale, timeliness and quality standards required

Each bio-enterprise will develop a value chain development strategy for a selected landscape PIT. By involving all stakeholders in the value chain, the bio-enterprise will increase cooperation and partnership development among the different actors, increase the potential for investment and co-investment in production, processing and marketing, and build the capacities of producers and community groups to innovate biodiversity friendly products with less risk.

Each bio-enterprise will target the commercial sustainability of its biodiversity products by developing a strategy that may include the strengthening of business planning capacities, improving business models, analysis of production chains, and marketing and distribution circuits, market studies, links to other actors (private sector, universities, GAD, community based organizations external to selected landscapes, international cooperation, etc.) and implementation of novel mechanisms (competitions, exchanges of experiences, unconventional marketing, crowdfunding, etc.), quality improvement, and protocolization in production to standardize quality, image improvement, and packaging. Each strategy will reflect the different degrees of experience of the different community groups in the landscapes with some strategies more sophisticated than others in terms of specific needs in relation to production, processing or marketing.

Youth and women in communities will be particularly targeted in strategy development to build their capacities to produce adequate volumes of high-quality conservation-compatible products, add value, and introduce them

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to market. This implies capacities to plan and manage land use that is coherent with the conservation objectives of protected areas and ecological connectivity, as well as business management skills and abilities.

This output will also help to increase Denomination of Origin Processes for PITs, build producer-consumer relationships through new local markets, and augment the interest of private companies to link with communities to operationalize their Corporate Social Responsibility. This process will generate knowledge, provide technical assistance and share good practices in private sector-led skill development.

Strategy development overall will be guided by a bio-enterprise support team, who will provide expert training and technical assistance in market access and identifying new networks. The methodology implemented by the technical team considers production improvement, new productions techniques, effective and efficient business management, national norms and standards, design of marketing strategies, promotion of products in new markets and social media, quality improvement and production, application of quality control knowledge, and market diversification at the local and national level.

To ensure full participation in strategy development, stakeholders will receive initial training in sustainable management of products with value added, improve production and processing techniques, business development and management and the understanding of market demands, quality standards and marketing techniques. Other topics might include landscape management planning, environmental law, biodiversity conservation, sustainable land use, collective rights, socio-environmental conflict resolution, gender or other issues. Other stakeholders from NGOs and Government will be invited to participate in capacity building processes.

This output will guide communities to other linked training processes to manage their sustainable production landscapes and soil management by adopting Sustainable Land Management (SLM) practices, included in the landscape management strategy. For its implementation, SGP - MAE/Socio Bosque have determined several bio-enterprises that share these principles and are ready to strengthen their capacities based on the PIT methodology from GEF 6. At the same time, training programs will be designed and implemented within the scope of the bio-enterprise methodology to improve leadership capacities for youth and women.

This Output will produce nine bio-enterprise value chain strategies corresponding to the selected target landscapes, as well as strengthen the capacities of the community groups and other stakeholders in the bio-enterprises to understand and develop PIT value chains.

Activities include:

Activity 1: Nine workshops (one per bio-enterprise network) where SGP/GEF will support the efforts to strengthen existing weaknesses in the supply-chain approach, specifically by identifying critical points in the process.

This product will increase the competitive capacity of bio-enterprises, improving the business model; productive chains, marketing and distribution circuits, markets, market studies, and links to other actors (private sector, universities, GAD, other community based organizations, international cooperation, etc.) and implementation of original mechanisms (competitions, exchanges of experiences, unconventional marketing, crowdfunding, etc.), quality improvement, and protocolization in production to standardize quality, image improvement and packaging.

Products:

- 1 methodology for bio-enterprise innovative products developed by the support team to be selected. This small team will accompany the bio-enterprise team²².
- 9 workshops (1 per bio-enterprise) where SGP/GEF will support the efforts to strengthen existing weaknesses in the supply-chain approach, specifically the by identifying critical points in the process.
- Promote community association for joint production and marketing to boost bio-enterprise intervention
- Gender roles are identified within each production chain in the bio-enterprises.

²² This activity will be implemented to strengthen the value chain processes and market access, therefore, some of the activities related to outputs 2.2 and 2.3 will be comprised inside this methodology.

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Activity 2: Meetings with government and major actors from across the supply chain to achieve deeper collaboration, coordination, and understanding;

Products:

- Meetings with government and major actors from across the supply chain on multi-stakeholder platforms that achieve deeper collaboration, coordination, and understanding on advancing deforestation-free commodity implementation (in progress). These platforms separate meetings will be defined by each territory.

Activity 3: Capacity building programs during bio-enterprise strategy development to promote a shared-responsibility agenda regarding sustainable use of natural resources.

Products:

- Include in the bio-enterprise methodology Design an improvement plan that includes technical assistance in each of the selected landscapes. The improvement plan must ensure that productive activities include the best practices and principles of the CBNRS strategy to achieve sustainability across the landscapes.
- 1 technical visit (follow up) for each bio-enterprise focused on strengthening and evaluate the impact on biodiversity conservation regarding production and value adding.
- During workshops, at least 1 women leader is identified within each bio-enterprise regarding project sustainability.
- For technical assistance, strategies are designed to provide training and technical assistance in activities carried out by women within communitarian projects. The involved actors will try to facilitate knowledge transfer and South-South peer learning through communities of practice and training on inclusive market and value chain development.

Activity 4: Specific gender-appropriate training and technical assistance to women and youth to participate in bio-enterprises. Training programs will be designed and implemented within the scope of the bio-enterprise methodology to improve environmental and leadership capacities for youth people and women. This activity aims to identify leaders and to include environmental management and leadership topics in each project planning.

Products:

- Promote community association for joint production and marketing to boost bio-enterprise intervention
- Gender roles are identified within each production chain in the bio-enterprises.
- Strategies are designed to provide training and technical assistance in activities carried out by women within communitarian projects.

Activity 5: One national workshop/contest identify initiatives for the development of alternative markets with the support of national stakeholders and MAE Socio Bosque Program and other local actors. During OP6, such an example is *Latitud 0* that involved several high-level chefs to promote agroecology products consumption and the involvement of national partners in the process.

Products:

- Using innovative instruments such as challenge funds, impact investing and development bonds to support value-chain development. Consequently, 1 National workshop/contest is held to identify initiatives for the development of alternative markets with the support of national stakeholders and MAE/PASNAP Socio Bosque Program.

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Activity 6: One strategic project is implemented for the four landscapes selected that will coordinate multi-stakeholder partnership articulation and bio-enterprise strategy. One strategic project for monitoring and technical assistance will be identified. This team will guarantee that bio-enterprise project implementing process is participatory, valid, and effective and that the expected outcomes within the landscape be achieved during the desirable time.

The M&E team must strengthen the bio-enterprise methodology, define joint mechanisms, facilitate and support the bio-enterprise networks, funding some activities, guide training processes, among other activities in the landscape. In this sense, the M&E support is very important to guarantee high quality results and the co-financing expected at a local and landscape level. Monitoring and technical assistance will be implemented along with the Monitoring and Technical Support System - SIMONAA which will be upgraded for the OP7. The Ministry of Environment -MAE has its own M&E system which has global indicators and framework. SGP will adapt SIMONAA to obtain periodical information required by MAE, based on previous revision and mutual agreements. Upon the beginning of the project, MAE will share with UNDP/SGP its monitoring and evaluation matrix.

Knowledge management activities are carried out with the participation of stakeholders and the M&E, through a comprehensive methodology adapted into the SIMONAA system. The M&E team along with the SGP coordination office will organize various activities to gather the information from participants, such as interviews, videos, polls, among others that will not only bring quantitative information, but valuable qualitative measures on traditional local knowledge.

Products:

- One call for proposals at a national level to select the bio-enterprise support team.
- 1 specialized team is selected to strengthen the bio-enterprises in the selected landscapes and to support the community M&E activities in conjunction with the country office.
- One workshop with the National Steering Committee –NSC and SGP to select the M&E team.
- 1 Joint workshop between the NSC and the SGP to select the team at the national level.
- 1 SIMONAA methodology implemented in the selected landscapes²³.

Output 2.3. Bio-enterprise networks implement value chain strategies to access new markets within and across landscapes and at a regional and national level.

Bio-enterprise stakeholders will define and execute a plan for execution of their PIT value chain strategies. This will include participatory identification of specific community bio-enterprise initiatives to manage biodiversity, land and other resources in the landscape that produce global environmental benefits as well as produce increased income. These community-based initiatives will form part of value chain development and will include development of partnerships with other bio-enterprise stakeholders and others, to reduce risk from uncertainty from lack of investment, hesitant purchasing commitments by prospective buyers, weak input supply chains, etc. Other initiatives may address bio-enterprise goals at a broader level, bringing together various community groups in a landscape or around a specific PIT to achieve a larger strategic objective or economies of scale in training, purchasing, marketing, or technical assistance.

Those private businesses, who are stakeholders in the bio-enterprises, will be encouraged by SGP and UNDP to enter formal contractual relationships with producers. Companies may wish to train community organizations to ensure supply and purchase of raw materials, provide initial capital as credit or improve value addition prior to marketing. SGP Ecuador will also work with the private sector to mobilize cash financing to co-finance programs and projects as investors, especially with those companies that promote green activities as social responsibility strategies. The link with the private sector has been strengthened by SGP through the GreenCrowds platform, since the private sector is an important ally to generate contributions from employees and/or from corporate social responsibility strategies.

This Output will produce nine bio-enterprise action plans, community-based initiatives in support of value chain development, contractual agreements between community groups and other bio-enterprise stakeholders, private sector co-financing and lessons learned from the experiences by bio-enterprises of value chain development.

²³ The support team will have its primal functions and activities specified in the MAE/Socio Bosque – SGP/UNDP implementation strategy and the SIMONAA documents.

Activities include:

Activity 1: Workshops to design bio-enterprise action plans, including community-based proposals. The participants of the projects obtain benefits related to the sustainable use of natural resources and the transformation of raw materials. Their main objective for this product will be to increase in the number of communities that generate income from sustainable production practices

Products:

- The methodology strategy for bio-enterprises include an access market strategy to boost economical sustainability across the projects. To measure its impact, the amount of ex ante project and ex post sales to the final evaluation is identified to determine the increase in income generation.
- Facilitating value-chain development in sectors with the potential for sustainable and inclusive growth. This can be achieved by mapping actors, barriers and opportunities, bringing actors together for dialogue and establishing facilitation platforms to define needs and priorities.
- Supporting regional agriculture value chain development through micro-capital grants and other technical and financial support mechanisms. Therefore, at least 2 micro-projects are developed along with universities and foundations/NGOs partners for the expansion of markets and promotion of alternative marketing channels.
- At least 4 short marketing circuits also proposed and supported by local entities such as the Ministry of Agriculture, and its department: General Coordination for Trade Networks. These processes include a direct interaction consumer-producer, additionally the promotion for responsible consumption within the influence areas of the bio-enterprises.

Activity 2: Partnership meetings between private sector entities and producers and community groups. SGP Ecuador will seek to collaborate with the private sector to mobilize cash financing to develop programs and projects. This is also expected to generate cooperation beyond this area since it will be crucial to new bio-enterprises that companies contribute with their expertise in resolving problems related to their business environment. An opportunity directly related with the bio-enterprise methodology is that private sector actors see the SGP/UNDP as a trustful actor that could improve their image around their target consumer pool, especially with those companies that promote green activities as social responsibility strategies.

Products:

- All the key private sector actors are identified through a mapping of actors that is carried out with the delegates of the projects, SGP and the bio-enterprise support team.
- Meeting with private sector actors (national level), either as providers or producers. These catalytic events and action-oriented initiatives will convey for philanthropy actors that bring together stakeholders at the national, regional and global levels for consensus building and advancing philanthropic engagement in the SDGs.

Activity 3: Investment promotion meetings with private sector entities. The link with the private sector has been strengthened from the SGP through the GreenCrowds platform, since the private sector is an important ally to generate contributions from employees and/or from corporate social responsibility strategies.

A common point of interest should be found among the bio-enterprises linked to the SGP, what they seek (conservation, sustainable livelihoods, species recovery, etc.) and what the private sector is looking for. In many cases, some companies seek to train community organizations to ensure suppliers and the purchase of raw materials, but there is no interest in contributing to the development of the enterprises, so they can improve their products and therefore their income.

Products:

- Generating knowledge, conducting research, providing technical assistance and sharing good practices in private sector-led skill development. These include partnership building, transfer of expertise, capacity building (including skills training for women) and facilitating joint action.

- The bio-enterprise methodology will include a research on how to facilitate linkages between impact investors' philanthropic activities and value chains and will include the technical regulations, quality of products and the necessary technical guarantees required by enterprises in Ecuador.

Activity 4: Monitoring and evaluation of value chain strategy implementation and systematization of the different experiences for lessons learned and potential policy dialogues

Products:

- Conducting research on inclusive business and mapping its links with impact investing to demonstrate its impact on the language and collaboration approaches used by philanthropy.
- 1 communication strategy is designed and implemented at the national, territorial and local level.
- Systematization documents for the bio-enterprises are elaborated in conjunction with university partners and other interested actors in the territory.
- 1 document is constructed across the landscapes to systematize the entire process in a participatory process.

IV. RESULTS AND PARTNERSHIPS

4.1. Expected Results

The GEF SGP Ecuador Country Program will tackle the root causes of biodiversity loss in three key biodiversity areas of Ecuador: Highlands (Paramo) north and south, Coastal region (dry forest/mangroves), and the Amazon (tropical forest). In GEF-7, SGP Ecuador will continue to adapt and improve the innovative landscape planning and management approach developed in GEF 5 and 6 by supporting communities to establish and operate landscape-based **bio-enterprises** around sustainably produced, biodiversity-conserving *Products with Territorial Identity* (PITs, for *Productos con Identidad Territorial* in Spanish). While these products are currently being produced by communities in their respective landscapes as a result of previous SGP grants, the economic motivation to sustain biodiversity friendly production practices is weak, primarily due to obstacles constraining market access. These barriers include issues of scale (enough volume of high-quality production to meet buyers' requirements), value addition, access to financing, and enabling partnerships with private enterprises and government programs that can provide longer-term support.

The approach proposed here tackles biodiversity loss through grant support to implementation by communities and producers' organizations of sustainable production initiatives for PITs in selected landscapes in collaboration with the Socio Bosque Program and the Ministry of Environment (discussed below under the Baseline). These partners will provide technical assistance to help communities overcome obstacles to sustainable production and help in engaging new social and political actors.


This partnership between SGP Ecuador, Socio Bosque and the Ministry of Environment will be structured around the creation or strengthening of community bio-enterprise initiatives and their conformation into interconnective networks known as bio-enterprises at landscape level (see below under Proposed Alternative Scenario for more detail). These multi-stakeholder platforms will include all members of the PIT value chains, including producers, buyers, input, technical assistance and financial resource providers, and others with the aim of overcoming barriers to market access that limit the economic incentives for sustainable production.

4.2. Partnerships

SGP/GEF/UNDP beneficiaries have been considered from the training and follow-up workshops through the consulting with *in terris* NGO (GEF-6 PIT proposal) and the monitoring results of the M&E team from GEF-6. In these meetings, as well as from the accompaniment methodology of SIMONAA, the necessary information has been gathered to prepare the intervention strategy of the SGP for GEF-7 to generate a comprehensive strategy of bio-enterprises in accordance with the new policy of the Ministry of the Environment. At the same time, regular meetings have been held with the Socio Bosque Program, both at technical and political level to coordinate efforts to prioritize territories due to their ecological and social importance.

In total, there are 38 groups that belong to Socio Bosque project that are being targeted by the SGP for GEF-7. Alongside this sector, the Program will adhere to the strategy of expanding certification, which is currently hampered by inadequate finance, lack of awareness and under-developed markets. For this, local interventions could include corporate alliances, enabling policy, and capacity building, engaging with private sector actors along the entire value chain. GreenCrowds will be a key factor in a strategy to achieve this goal in less time, giving the bio-enterprises the possibility to have more funds alongside a network of potential costumers/distributors.

The multi-stakeholder platform for bio-enterprise initiatives will also serve to facilitate public-private dialogue that allows the private sector and foundations to take part in policy discussions, budgeting for the future, monitoring, reporting and accountability mechanisms, risk assessments, and advocacy. Inclusive policy dialogue supports the development of business-focused institutions, foundations and beneficiary groups, and ensures their inclusion in national policy making. This will serve to build trust among government, philanthropic organizations and the private sector. With these inputs, base maps were constructed that indicate the selected landscapes, the participating partners of both the SGP and MAE - PASNAP / Socio Bosque Program. Such as: UNDP, NGOs, Universities, International Cooperation and other key actors that also take part in the National Steering Committee of the SGP and that will maintain their role of accompaniment and evaluation during F07. The strategy also identifies ideas for expanded engagement around the Nagoya Protocol (NP), where GEF support is rooted in the vision that obtaining access to genetic resources under the terms of the NP by the private sector can deliver monetary and non-monetary benefits to be shared with the providers of the genetic resources.



At the same time, at a national level, a key strategy for SGP Ecuador has been to support the Global Initiative to Support Indigenous Peoples and Areas Conserved by Local Communities known as ICCA-GSI. This project was developed to broaden the range and quality of diverse governance types in recognizing ICCAs and achieving the Aichi 2020 targets. ICCA-GSI's objective is to improve the recognition and overall effectiveness for biodiversity conservation, sustainable livelihoods, and resilience to climate change of territories and areas conserved by indigenous peoples and local communities.

Private Sector Engagement

As a general strategy, GEF-7 SGP seeks to create policy options for scaling-up existing technologies and good practices that reduce negative externalities along food value chains and for promoting access by land users to inputs and markets for products that drive sustainable production at scale.

The engagement strategy for the private sector will also facilitate crowding-in of private sector investments in land use systems using financial incentives, including non-grant financial instruments that can reduce the risk for investors, and help to create the economic underpinning of required system changes to sustain impact in the long run. Mainstreaming private sector engagement is a long-term priority of the GEF SGP Country Program in Ecuador. Opportunities for engagement of the private sector can benefit from GEF-6 experience, as follows:

Circular economy: mass extraction, industrial production, consumption, and waste are all increasing at an alarming rate, resulting in natural resource depletion, ecosystem degradation, release of hazardous chemicals into the soil, air, water, GHG emissions, and marine debris. The Circular Economy is presented as a system that makes more effective use of resources: it is an industrial economy that is "restorative by intention and design"²⁴. These issues require a circular economy model as a first step in bio-enterprises that emphasizes public-private sector partnerships to catalyze a closed loop approach to production and consumption through improved material use, product design, industrial process change, waste management, and material recovery and recycling. This will create sustainable and inclusive business focused strategies. Sustainable entrepreneurship is focused on the preservation of nature, life support, and community in the pursuit of perceived opportunities to bring into existence future products, processes, and services for gain, where gain is broadly construed to include economic and non-economic gains to individuals, the economy, and society²⁵

The SGP will seek to address issues in national and regional value chains and commodity markets through technical assistance and knowledge sharing to producer organizations. At the same time, it will try to develop community driven supply chains in key sectors such as agriculture, tourism, and retail, incorporating lessons learned from the Supplier Development Programs.

GreenCrowds: Since 2015, GreenCrowds has promoted three campaigns in Ecuador which were able to raise a total of \$34,000. GreenCrowds is a crowdfunding platform implemented to support socioenvironmental projects. GreenCrowds has a strong innovative component, given that crowdfunding doesn't serve just as a mechanism to raise funds, but it also exists to help promote communitarian products in the market, measure audience interest and create an initial investment fund for technological and social innovation, diversification and scaling, thereby improving the entire value chain and reaching new and diverse markets. The collected money is a by-product of the initiative's success in finding an initial audience for their offer.

GreenCrowds' experience demonstrated that private enterprises are interested in joining the platform to support innovative socioenvironmental causes, as part of their CSR approach. Identifying specific potential upscaling opportunities with private enterprise will take place during project inception along with SGP/UNDP and social partnerships relying on this GreenCrowds experience. This serves also to create linkages and facilitate peer-to-peer learning for sustainable and inclusive business across industries and geographic areas.

Furthermore, GreenCrowds has a strong innovative component, given that crowdfunding doesn't serve just as a mechanism to raise funds, but it rather exists to help thrusting communitarian products to the market, measure audience interest and creates an initial investment fund for technological and social innovation, diversification and scaling, therefore improving the entire value chain and reaching new and diverse markets. The collected money is a by-product of the initiative's success in finding an initial audience for their offer.

Amy Cortese, author of *Locavesting: The Revolution in Local Investing and How to Profit from It*, sustains that Crowdfunding will end up being legitimated in many economies. "Crowdfunding will orientate itself overall towards consumer goods," she anticipates. "People want to invest in that which they know and understand."

²⁴ Ellen McArthur Foundation, 2012

²⁵ Idem.

This is an advantage, because companies funded by Crowdfunding will gain a consolidated clientele and brand entrepreneurs. "It's very different from the model of venture capitalism, which is interested only in the rapid expansion of the business."

For this reason, it is important to understand and support the type of proposals which contributes to the strategies of Corporate Social Responsibility (CSR) of the businesses of the country, keeping in mind the impact that all of the aspects of its activities have on its customers, employees, stockholders, local communities, the environment, and the society in general. The activities developed in the framework of CSR must be linked to the basic activity of the company, have a permanent vocation, and involve a commitment of the upper management.

Indigenous people

SGP Ecuador has worked closely with indigenous communities and peasant organizations from the Andean coast and Amazon region. Indigenous and peasant communities play a significant role in biodiversity conservation, rural development, food production, and poverty eradication. They work as guardians and protectors of their ancestral territories. These social organizations work towards food sovereignty, the defense of biodiversity and the recovery of ancestral knowledge as priorities, using the development and implementation of associative projects as important mechanisms. As part of the innovation of Products with Territorial Identity and agroecological production, they held dialogues, meetings, and multiple events for the recovery of native seeds, the recovery of ancestral knowledge regarding land management, and the conservation of Pachamama.

Strategic support to territories and areas conserved by indigenous peoples and local communities

SGP Ecuador prioritizes its work with indigenous and rural community organizations. During GEF-6 this approach was strengthened, especially in the territories and areas conserved by the 'indigenous peoples and local communities (ICCA) project. During GEF-7, this will continue with an ICCA strategic project that considers several outcomes: creating an ICCA working group in the country, design the peer review process and submit candidates for inclusion in international registries. This implies the adaptation and application of appropriate methodologies for the Free and Informed Prior Consent (CPLI in Spanish) to register and design culturally appropriate mechanisms for the effective and efficient monitoring of the ICCA.

During GEF-6 - from November 2016 to December 2018 - and within the framework of the GSI project, the SGP Country Program sought to consolidate the ICCA proposal with the understanding that the ICCA Consortium is a space that articulates local communities and indigenous peoples in processes of recuperation of knowledge and defense of their territories in alliances with a wide range of social organizations and civil society, with a long-term vision that would guarantee sustainability and scale up of the work done in the Bio-corridors (OP6), strengthening strategic support to the territories and areas conserved by indigenous peoples and local communities in Ecuador.

4.3. Risks

Identified risks	Potential consequence	Risk rating L: Likelihood I: Impact	Mitigation measures	Risk category
Multi-stakeholder coordination is weakened by faulty communication and lack of institutional continuity	Maintaining good coordination with the territorial governments is a big challenge. The relationship between government and civil society was weak during GEF-5 and ameliorated during GEF-6 by establishing a direct channel of communication. It is possible that the execution period of the project coincides with the period of regional elections and political parties, and they could fail to maintain previous agreements with the civil society.	L: medium I: high	Strengthen joint projects across communities and landscapes with beneficial effects for all stakeholders. MAE as a key stakeholder for meetings will be crucial in the process Meetings of potentially problematic RWGs or BWGs will be avoided until the electoral period is past.	Programmatic and technical
The development of socio-environmental conflicts in local project areas from negative effects of extractive practices	Extractive activities such as mining in areas such as REDD+ cause high conflict among the communities living there and the government. Furthermore, the Ministry of Agriculture, which regulates agricultural policy in Ecuador, has a conflictive approach to biodiversity conservation, seeking mass production instead of sustainability.	L: high I: medium	Multi-stakeholder landscape bio-enterprises will identify and incorporate necessary mitigation measures when required. SGP seeks to strengthen conservation actions through joint projects with beneficial effects for all stakeholders and strengthen landscape agreements legitimizing interventions with Local Governments and training in communities.	Programmatic
Difficult market access and weak financial sustainability jeopardize adoption of adaptive management practice	Weak development of domestic products and structural difficulties in access to markets by state control and adverse regulations	L: medium I: medium	A strategy to counter this risk is to develop market research partnerships with universities and technical assessment to improve quality processes in production. The new adapted methodology for bio-enterprises will take place during this phase, effectively reducing these risks.	Programmatic and technical
Diminished motivation to execute project activities	Associations lose motivation and enthusiasm because of an economic crisis in the country.	L: medium I: medium	SGP will raise the level of management with youth and women through training processes and complementarity of production projects with international cooperation	Programmatic
Weak process engagement by stakeholders	There could be cases where stakeholders commit to support the process and during its implementation, they do not engage with the activities that are their responsibility. This brings difficulties in co-financing.	L: Medium I: High	Disclosure of information, consultation and participation, monitoring, evaluation and learning throughout the project cycle should address grievances, and on-going reporting to stakeholders through the M&E System and direct contact with the SGP office.	Programmatic and technical

Stakeholder engagement plan:

The SGP stakeholder focus for OP7 is based upon the idea that robust Multistakeholder partnerships can drive successful implementation of SGP projects. Effective multi-stakeholder groups often combine a respect for traditional authorities, participation of government technical agencies and support groups, and the activism and local knowledge of community groups.

In this area, SGP Ecuador has formed well established long-standing relationships with national and community level initiatives and partners (public and private sector), especially regarding local communities and governmental actors during workshop and work exchanges in local areas. These mechanisms contributed to develop an active and fluid relationship between the project and the local organizations providing a strong base for a better engagement of the stakeholders in all project activities.

Since 2010 the Ecuador SGP Country Program adopted an innovative landscape approach modeled on the ART/UNDP, by which it strategically aligned the SGP with the government's decentralization approach and ensured that the SGP was working with those decision-makers at both local and national levels responsible for land use planning and natural resource management, and thus those responsible for biodiversity conservation.

Having full support from national stakeholders, SGP/GEF/UNDP along with Socio Bosque Program and PASNAP/MAE are strengthening the link between the civil society, communities, and private businesses through bio-enterprises networks. This partnership will be held in place via multi-stakeholder groups in the territory where it is demonstrated that community priorities are being considered by local governments, national institutions, universities and that this is an effective mechanism to bring together various stakeholders and support biodiversity conservation in line with national priorities and strategies. The focus of the stakeholder engagement intervention will be divided in three key levels: national, regional and local.

At the national level, SGP Ecuador is working closely with the Ministry of Environment to integrate national policies and goals into a wide-ranging intervention strategy. At the same time, the SGP National Steering Committee (NSC) is a critical player that is comprised of representatives of civil society, government and others who provide essential governance for the Country Program, including selection of grants, strategic guidance, and networking with broader constituencies and institutions in the country.

Adopting a territorial strategy aligned with the SGP approach with the Government's decentralization approach would ensure that the SGP was working with those decision-makers at both local and national levels responsible for land use planning and natural resource management, and thus those responsible for biodiversity conservation.

At regional level, the bio-enterprises networks will provide coverage and engagement of key actors in biodiversity conservation and market access. At the same time, the project coordinates its actions with provincial and municipal governments, as well as with the organizations present in local territories. This level is more focused on project implementation, developing and strengthening associativity and ensuring that bio-enterprises provide biodiversity benefits and social results are achieved.

An important feature is that at this level, the technical assistance team (M&E team) will provide support and monitoring regarding stakeholder engagement and technical assistance. Although one NGO will cover the national level, its focus will be to integrate and create different strategies for each region.

At local level, the emphasis will be focused on direct participation from the targeted groups. This includes indigenous and peasant organizations with a high involvement of women and young people. At the same time, universities, foundations and other local organizations, as well as private enterprises will be invited to join efforts in creating a more inclusive intervention strategy.

At the beginning of the OP7, SGP will work alongside MAE to engage local stakeholders and integrate them in the process. Participatory baseline definition is geo-referenced and contemplates their pertinence and proximity. The stakeholders mapping (identifying ongoing initiatives by other donors) and the stakeholder's commitment to work in coordination with bio-enterprises (responsibility and convergence) will be the base to maximize the strengths, reduce weaknesses, and find new opportunities to suppress the threats through associative schemes and strategic alliances.

Gender equality and Women's Empowerment:

SGP Ecuador has an updated Action Plan and Gender Analysis for GEF-7. The Program also has a mandatory gender approach that has been implemented in project activities since 2000. As a result, gender mainstreaming is considered throughout the project cycle. SGP Ecuador has prioritized gender, interculturality and cross-generational values and approaches.

The grant project application form has indicators that monitor the inclusion of women in the project. Also, the Monitoring, Evaluation and Accompaniment System (SIMONAA) includes specific information for the PIF targets as well as information about equal opportunities. The Systematization Guide implemented during GEF-5-GEF-6 contains specific subheadings regarding gender, intercultural and cross-generational approaches. Therefore, SIMONAA provides the required information for experiential systematization. These methodology documents will be updated for the GEF-7 intervention, regarding bio-enterprise initiatives. Moreover, SGP Ecuador has developed during GEF-4 a guidebook to incorporate the gender approach in community projects which was implemented in all Bio-corridor initiatives. The project strongly believes that having a gender mainstreaming approach is important for strengthening democracy and equity in decision making; women in community-based organization, indigenous and peasant communities have a significant role that they play in biodiversity conservation, rural development, food production and poverty eradication.

By empowering women in the bio-enterprise projects, women become leaders with a power of decision on community agreements. Their involvement contributes meaningfully to the family's economy as they represent a key role in agricultural activities. Therefore, the integration of gender in the new methodology for bio-enterprise products will be a cross cutting approach in community projects. Women have increased their incomes, they have been involved in the activities for the Bio-corridor conservation, and they have involved other women in economic and ecological efforts.

South-South and Triangular Cooperation (SSTrC):

Learning opportunities and knowledge transfer from peer countries will be further explored during project implementation. To present opportunities for replication of SGP UCP lessons and best practice in other countries, the project will codify good practices and facilitate dissemination through global ongoing South-South and global platforms, such as SGP's South-South Community Innovation Exchange Platform launched during its Sixth Operational Phase (OP6). During OP7 this tool will be used to share information and to replicate the knowledge and innovation created, promoted and/or tested by civil society and communities on the ground that could fill critical gaps in national action plans and produce timely and significant results.

In addition, to bring the voice of local communities pursuing landscape resilience to global and regional fora, the project will explore opportunities for meaningful participation in specific events where UNDP could support engagement with the global development discourse on climate change adaptation, biodiversity conservation, integrated water resource management and other topics. The project will furthermore provide opportunities for regional cooperation with countries that are implementing SGP Upgrading Country Programs in geopolitical, social and environmental contexts relevant to the proposed project in Ecuador.

From April 16 to 19, 2018, the Global Workshop for the GEF SGP Upgraded Country Programmes (UCP), funded by the Global Environment Facility (GEF) and implemented by the United Nations Development Programme (UNDP), was hosted by SGP Ecuador in Quito. This was a pivotal space to share and improve the proposal to better acquire and use the best practices and lessons learned about the diverse locally suitable technologies, methodologies, and practices on the ground, which can help inform the design of new initiatives in other partner countries. Some of these key lessons that were shared and discussed during the workshop with regard to specific sectors include: Strengthening participatory landscape governance: Building on local leadership and empowerment of local leaders at the landscape level, as well as recognizing local customary and cultural governance structures, is key to strengthening participatory landscape governance.

Innovativeness, Sustainability and Potential for Scaling Up:

Innovativeness - A key innovation in the Ecuador SGP Country Program has been the shift from the traditional allocation of grants based on proposals submitted by individual organizations scattered across the country to a new system based on a landscape approach. Under previous operations, although projects were in prioritized areas, they were implemented by a single organization without major involvement of neighboring communities. A landscape approach addresses this constraint by having a single grant recipient organization that negotiates with and includes other organizations in funding and implementation with the aim of developing working relationships between them and achieving larger landscape level impacts in ecological connectivity, sustainable production, ecosystem resilience, etc.

In this scheme, organizations must think and plan at a larger scale, taking into consideration the proposals coming from several organizations, primary needs of the Bio-enterprise, and stakeholders. This innovation is a clear example of how the SGP can overcome limited impacts due to the constraints of its small-grant nature and aim to impact larger areas with significant additional benefits in terms of community wellbeing.

This innovation concept developed and implemented in GEF-5 and 6 was taken into consideration by the SGP and the Socio Bosque Program and PASNAP/MAE in reviewing the areas of work for the GEF-7 project. This was important because, in the design process, the Ministry of Environment remarked on the innovative methodology of the SGP in Ecuador in the GEF-6 areas. Therefore, it was requested that other areas be served using the same methodology and taking into consideration the Socio Bosque Program and PASNAP/MAE as a base line. Arguments for expanding multi-stakeholder arrangements include leveraging financing and coordinating functions, as they are considered to contribute to increasing the resources available for action and better policy and operational coherence.

On a local level, the PIT strategy has provided a key milestone for community partnerships and innovation, as Bio-corridor projects required sustainability to consolidate the production process until they achieved commercialization during GEF-5 and GEF-6. Therefore, the upgraded methodology designed during GEF-6 will be used as a basis for the strengthening of bio-enterprises during GEF-7.

Another key component for innovation is the SGP Ecuador crowdfunding platform, GreenCrowds, as it supports sustainable communitarian entrepreneurship by providing them not only with funding but also building their capabilities to set and achieve their own fundraising. GreenCrowds works as an alternative finance service for small-scale initiatives and other enterprises, while capitalizing on SGP's knowledge and expertise, creating shortcuts to reach new markets, leading to a higher level of economic productivity.

Sustainability - The sustainability of landscape management and community bio-enterprise initiatives is based on the principle confirmed by SGP experience that global environmental benefits can be produced and maintained through community-based sustainable development projects.

Sustainability of landscape planning and management processes will be enhanced through the practice established in GEF-5 and GEF-6 - of formation of multi-stakeholder platforms, involving local government, national agencies and institutions, NGOs, the private sector, and others at the landscape level, with the innovative concept of building them around a bio-enterprises network, thus strengthening the actual process and creating the possibility to expand and sustain new shareholders and markets. This secures the areas of conservation while including strategic partners that will provide technical assistance: government, NGOs, universities, academic institutes, and other institutions.

SGP in GEF-7 will support the incorporation of young people and women in the process of strengthening biodiversity sustainability capacities in the communities, to underpin generational change and the incorporation of the interests of these sectors in the decision-making process. At the same time, the ICCA initiative will focus its work on indigenous people and rural areas where the methodology is to be replicated.

During GEF-7, the intervention strategy will focus primarily on bio-enterprise networks, using the incentives of the Socio Bosque Program to establish mechanisms to strengthen them and make them self-sustained. These initiatives will reach out to the central government, local governments, and the private sector for additional financial support and will strategically link with other relevant biodiversity conservation and agroecology initiatives in the country.

Upscaling potential - Building on experiences gained, a primary output of this project is replicating and upscaling GEF-6 lessons and methodologies in other selected landscapes. Some important achievements during GEF-6 are: recovery and conservation of agrobiodiversity species (highlands), recovery and sustainable harvest of mollusks and crustaceans (coast), native fish production (Amazon), agroecological approaches and marketing of surplus production (four regions), handicrafts – chambira, straw shawl, alpaca wool (four regions), community-managed sustainable tourism (four regions), sustainable harvesting and marketing of non-timber forest products (four regions), production, and commercialization of Products with Territorial Identity derived from biodiversity and agrobiodiversity products with added value that contribute to the conservation of these and other products (four regions).

These experiences, along with the upgraded PIT methodology and ICCA concept, will be taken into consideration for replication in the new upscaled initiatives in GEF-7. Identification of projects will take place during project inception, but preliminary possibilities include sustainable use and marketing of crop genetic resources, fish farming with native species, aquaculture, alpaca wool production, agroforestry systems, and sustainable tourism. The premise of upscaling in this context is that the aggregate of community adopters of successful SGP-supported technologies, practices, and systems from previous SGP phases have been slowly acquiring critical mass to reach a tipping point of adoption more broadly by rural constituencies of adaptive practice and innovation.

The innovative approach of the SGP Country Program in GEF 5-6 will be replicated in the selected landscapes that are developing bio-enterprises. This method ensures that new communities that are not already integrated in the consultation stage could join the ongoing process, ensuring the scaling up of the conservation territories and the marketing accessibility. This contributes to the rise of new actors, the transformation of old actors, and the configuration of new alliances in development.



V. PROJECT RESULTS FRAMEWORK

This project will contribute to the following Sustainable Development Goal (s): 1) No Poverty; 2) Zero Hunger; 5) Gender Equality; 8) Decent Work and Economic Growth; 9) Industry, Innovation and Infrastructure; 11) Sustainable Cities and Communities; 12) Responsible Consumption and Production ; 13) Climate Action ; 14) Life Below Water; 15) Life on Land and 17) Partnerships to achieve the Goal

This project will contribute to the following country outcome included in the UNDAF/Country Programme Document: 1.9: Food participation index; 2.1: Proportion of national territory (continental, insular and marine) under conservation or environmental management; 2.3: Percentage of women and indigenous peoples and nationalities representatives that participate in the sustainable planning and management of natural resources and forests, with a landscape approach; 2.7: Progress in achieving the national goals established in accordance with the second Aichi Biodiversity Goal of the Strategic Plan for Biological Diversity 2011-2020.

This project will be linked to the following output of the UNDP Strategic Plan: *Outcome 1: Eradicate poverty in all its forms and dimensions and Outcome 2: Accelerate structural transformations for sustainable development.*

	Objective and Outcome Indicators	Baseline	Mid-term Target	End of Project Target
Project Objective: Enable community networks to build social, economic and ecological resilience by producing global environmental and sustainable development benefits from bio-enterprises in nine landscapes located in the coastal, highlands and Amazon regions	Mandatory Indicator 1: # direct project beneficiaries disaggregated by gender (individual people)	4,855 producers are directly benefiting Socio Bosque Program in the selected landscapes.	4,500 beneficiaries from bio-enterprises in the nine landscapes of which at least 50% are women	At the end of the project, at least 8,533 people are direct project beneficiaries within the landscapes, of which 5120 are women.
	Mandatory Indicator 2: # indirect project beneficiaries disaggregated by gender (individual people)	10,000 people are receiving indirect support from the Socio Bosque/MAE Program in these landscapes	7,910 people receive indirect benefits from the bio-enterprises in the selected landscapes of which at least 50% are women	15,820 people receive indirect benefits from the bio-enterprises in the selected landscapes, of which 9500 are women.
	Mandatory GEF Core Indicators 1-5: Total area under improved management			
	Mandatory Indicator 3: Increased area (hectares) of landscapes under improved practices (GEF Core Indicator 4.1+ 4.3)	Socio Bosque landscapes pre-identified in the nine selected areas: 84,114.54 has.	At least 80,000 hectares are under improved management practices	At least 191,468 hectares of land are under improved management practices
	Mandatory Indicator 4: Increased area (hectares) of marine habitat under improved practices to benefit biodiversity (GEF Core Indicator 5)	Socio Bosque marine landscapes pre-identified in the coastal selected areas: 2366 has	At least 1,100 hectares of marine habitat under improved practices to benefit biodiversity.	At least 2,637 hectares of marine habitat under improved practices to benefit biodiversity.
Outcome 1:	Number of functional community level bio-enterprises in the nine landscapes based on products from biodiversity conservation and agroecological resource management of which at least 50% are coordinated by women	Approximately 30 community level bio-enterprises in the target landscapes Number of bio-enterprises currently led by women	At least 10 additional community level bio-enterprises in the landscapes of which 50% are coordinated by women	20 community level bio-enterprises in the landscapes of which 50% are coordinated by women

Community bio-enterprises are strengthened in the nine targeted landscapes with improved capacities for sustainable production, biodiversity conservation and market access.	<i>Number of innovative value-added products generated by community projects practicing biodiversity conservation and agroecological resource management</i>	<i>Approximately twelve innovative community products exist in the targeted landscapes without classification.</i>	<i>At least eight additional innovative products are developed within the bio-enterprises</i>	<i>At least 16 innovative products are developed within the bio-enterprises</i>
	<i>Number of community bio-enterprises receiving support from innovative financial mechanisms</i>	<i>Around ten community bio-enterprises receive financial support through GreenCrowds platform since its creation in 2015</i>	<i>15 community bio-enterprises receive support from innovative financial mechanisms</i>	<i>20 community bio-enterprises receive support from innovative financial mechanisms</i>
Outcome 2: Multi-stakeholder bio-enterprise networks established and operational in each of the nine target landscapes for improved governance and coordinated market access	<i>Number of multi-stakeholder bio-enterprise networks established and operational in the nine target landscapes</i>	<i>Along with the Socio Bosque Program, 30 community initiatives within the nine target areas are working to enhance landscape resilience</i> <i>Socio Bosque Program maintain communitarian agreements with the 30 existing initiatives in the target landscapes</i>	<i>Five multi-stakeholder bio-enterprise networks established and operational in the nine target landscapes</i>	<i>Nine multi-stakeholder bio-enterprise networks established and operational in the nine target landscapes</i>
	<i>Number of value chain strategies developed for PITs by bio-enterprise networks to promote and articulate biodiversity conservation and sustainable production in the nine target landscapes</i>	<i>One PIT strategy was developed to improve markets and value chain products during OP6.</i>	<i>At least four PIT value chain strategies for products generated by community bio-enterprise networks practicing biodiversity conservation and agroecological resource management</i>	<i>At least nine PIT value chain strategies for products generated by community bio-enterprise networks practicing biodiversity conservation and agroecological resource management</i>
	<i>Number of value chain strategies under implementation by bio-enterprise networks</i>	<i>None at present</i>	<i>At least four PIT value chain development strategies are under implementation</i>	<i>At least nine PIT value chain development strategies are under implementation</i>
	<i>Number of market agreements (e.g. sales contracts, etc.) between bio-enterprise networks and buyers</i>	<i>Products with Territorial Identity (PIT) strategy have been judged as a key tool in product marketing and network strengthening</i>	<i>At least three market agreements (e.g. sales contracts, etc.) between bio-enterprise networks and buyers</i>	<i>At least six market agreements (e.g. sales contracts, etc.) between bio-enterprise networks and buyers</i>

Outputs and Activities

COMPONENT 1: Resilient rural landscapes and seascapes for sustainable development and global environmental protection

Outcome 1: Community bio-enterprises are strengthened in the targeted landscapes with improved market access

Outputs	Activities
1.1. Community bio-enterprise initiatives promote improved agroecological land management practices and conservation in targeted landscapes	<p>1.1.1. Communities in the landscape adopt new agroecological and agroforestry practices to optimize ecosystem function and conserve biodiversity on farm and in the overall landscape while producing products for market with a bio-enterprise perspective.</p> <p>1.1.2. Bio-enterprises will carry out their productive activities in a sustainable way, especially regarding harvesting and production to preserve emblematic species from each agroecosystem.</p> <p>1.1.3. Indigenous knowledge is recognized and encouraged as a source of participatory innovation development for natural resource conservation across the landscape.</p> <p>1.1.4. At least two marine species are sustainably managed by local coastal communities using environmentally friendly practices to improve mangrove conservation areas.</p>
1.2. Community bio-enterprise initiatives conserve and add value to biodiversity resources through the development of innovative products	<p>1.2.1. Community groups producing food products learn appropriate value addition methods and practices, including understanding the relevant legal and sanitary regulations, business planning and management, processing, preservation and packaging, branding, and other aspects.</p> <p>1.2.2. Community groups producing handicrafts learn appropriate value addition methods and practices, including understanding the relevant legal regulations, business planning and management, processing and packaging, branding, and other aspects.</p> <p>1.2.3. Community groups harvesting Mangrove crab (<i>Ucides occidentalis</i>) and Black shell (<i>Anadara tuberculosa</i>) learn basic food preparation and preservation techniques, are linked to the wider gastronomic and culinary community and receive simple business planning and management training.</p> <p>1.2.4. Community groups developing ecotourism in conjunction with SNAP/MAE – Socio Bosque/MAE initiatives learn hospitality skills (including awareness raising regarding biodiversity, ecosystem services, etc.), business planning and management, and relationship building with local providers of sustainably produced goods and services.</p> <p>1.2.5. Universities, NGOs and government institutes establish collaborative relationships with distinct community bio-enterprise initiatives to improve production and value-addition methods, practices and systems.</p> <p>1.2.6. Collaboration between bio-enterprises, NGO, Academia, SGP, and government agencies is bolstered regarding management of natural resources in the selected landscapes.</p>
1.3. Innovative financial mechanisms, like crowdfunding, strengthen community bio-enterprise initiatives and engage new partners	<p>1.3.4. Selection and preparation of selected community bio-enterprise initiatives for participation in crowdfunding campaigns, along with the design of a stakeholder articulation strategy.</p> <p>1.3.5. Preparation and implementation of crowdfunding campaigns for GreenCrowds, including marketing campaigns and communication strategies.</p> <p>1.3.6. Technical assistance and M&E of selected community groups in monitoring, reporting, marketing and other relevant aspects for GC campaigns implementation.</p>
Outcome 2: Multi-stakeholder bio-entrepreneurship networks established and operational in the target landscapes for landscape governance and coordinated market access	
2.1. Multi-stakeholder bio-enterprise networks established and operational in the nine target landscapes	<p>2.1.1. Surveys and mapping of all potential stakeholders in landscapes and PIT value chains</p> <p>2.1.2. Communitarian agreements for the organization of nine bio-enterprises around specific PITs and analysis of capacities.</p> <p>2.1.3. Legal establishment of bio-enterprises</p> <p>2.1.4. Capacity development of organizational skills, PIT value chains, structures, value addition and flows, etc.</p> <p>2.1.5. Participatory mapping of land use, biodiversity, etc., in the nine landscapes and identification of potential GEF 7 initiatives</p>
2.2. Bio-enterprise networks implement value chain strategies to access new	<p>2.2.1. Nine workshops (1 per bio-enterprise network) where SGP/GEF will support the efforts to strengthen existing weaknesses in the supply-chain approach, specifically by identifying critical points in the process;</p>

markets within and across landscapes and at regional and national levels	<p>2.2.2 Meetings with government and major actors from across the supply chain to achieve deeper collaboration, coordination, and understanding;</p> <p>2.2.3 Capacity building programs during bio-enterprise strategy development to promote a shared-responsibility agenda regarding sustainable use of natural resources.</p> <p>2.2.4 Specific gender-appropriate training and technical assistance to women and youth to participate in bio-enterprises;</p> <p>2.2.5 One national workshop/contest identify initiatives for the development of alternative markets with the support of national stakeholders and MAE/PASNAP Socio Bosque Program.</p> <p>2.2.6 One strategic project is implemented for the four landscapes selected that will coordinate multi-stakeholder partnership articulation and bio-enterprise strategy.</p>
2.3 Bio-enterprise networks develop value chain strategies that promote and articulate biodiversity conservation and sustainable production practices across the nine target landscapes	<p>2.3.1 Workshops to design bio-enterprise action plans, including community-based proposals</p> <p>2.3.2 Partnership meetings between private sector entities and producers and community groups</p> <p>2.3.3 Investment promotion meetings with private sector entities</p> <p>2.3.4 Monitoring and evaluation of value chain strategy implementation and systematization of the different experiences for lessons learned and potential policy dialogues</p>

VI. MONITORING AND EVALUATION (M&E) PLAN

The project results as outlined in the project results framework will be monitored annually and evaluated periodically during project implementation to ensure the project effectively achieves these results.

Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the [UNDP POPP](#) and [UNDP Evaluation Policy](#). The UNDP Country Office will work with the relevant project stakeholders to ensure UNDP M&E requirements are met in a timely fashion and to high quality standards. Additional mandatory GEF-specific M&E requirements (as outlined below) will be undertaken in accordance with the [GEF M&E policy](#) and other relevant GEF policies²⁶.

In addition to these mandatory UNDP and GEF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Report. This will include the exact role of project target groups and other stakeholders in project M&E activities including the GEF Operational Focal Point and national/regional institutes assigned to undertake project monitoring. The GEF Operational Focal Point will strive to ensure consistency in the approach taken to the GEF-specific M&E requirements (notably the GEF Tracking Tools) across all GEF-financed projects in the country. This could be achieved for example by using one national institute to complete the GEF Tracking Tools for all GEF-financed projects in the country, including projects supported by other GEF Agencies.²⁷

M&E Oversight and monitoring responsibilities:

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

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

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

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

UNDP Country Office: The UNDP Country Office will support the Project Manager as needed, including through annual supervision missions. The annual supervision missions will take place according to the schedule outlined in the annual work plan. Supervision mission reports will be circulated to the project team and Project Board within one month of the mission. The UNDP Country Office will initiate and organize key GEF M&E activities including the

²⁶ See https://www.thegef.org/gef/policies_guidelines

²⁷ See https://www.thegef.org/gef/gef_agencies

annual GEF PIR, the *independent mid-term review* and the independent terminal evaluation. The UNDP Country Office will also ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality.

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

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

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

Additional GEF monitoring and reporting requirements:

Inception Workshop and Report: A project inception workshop will be held within 60 days of project CEO endorsement, with the aim to:

- a. Familiarize key stakeholders with the detailed project strategy and discuss any changes that may have taken place in the overall context since the project idea was initially conceptualized that may influence its strategy and implementation.
- b. Discuss the roles and responsibilities of the project team, including reporting lines, stakeholder engagement strategies and conflict resolution mechanisms.
- c. Review the results framework and monitoring plan.
- d. Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E; discuss the role of the GEF OFP and other stakeholders in project-level M&E.
- e. Update and review responsibilities for monitoring project strategies, including the risk log; SESP report, Social and Environmental Management Framework and other safeguard requirements; project grievance mechanisms; gender strategy; knowledge management strategy, and other relevant management strategies.
- f. Review financial reporting procedures and budget monitoring and other mandatory requirements and agree on the arrangements for the annual audit.
- g. Plan and schedule Project Board meetings and finalize the first-year annual work plan.
- h. Formally launch the Project.

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

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

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

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

Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information:

To accord proper acknowledgement to the GEF for providing grant funding, the GEF logo will appear together with the UNDP logo, the Ministry of Environment logo and other relevant institutions involved in all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GEF will also accord proper acknowledgement to the GEF. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy and the GEF policy on public involvement. A communication protocol will be developed for the project implementation.

GEF Core Indicators Annex: The Core Indicators Annex will be used to monitor global environmental benefits:

The baseline/CEO Endorsement Core Indicators – submitted as Annex to this project document – will be updated by the Project Manager/Team (not the evaluation consultants hired to undertake the MTR or the TE) (indicate other project partner, if agreed) and shared with the mid-term review consultants and terminal evaluation consultants before the required review/evaluation missions take place. The updated Core Indicators Annex will be submitted to the GEF along with the completed Mid-term Review report and Terminal Evaluation report.

The GEF Core indicators included as Annex will be used to monitor global environmental benefits and will be updated for reporting to the GEF prior to TE. Note that the project team is responsible for updating the indicator status. The updated monitoring data should be shared with TE consultants prior to required evaluation missions, so these can be used for subsequent ground truthing. The methodologies to be used in data collection have been defined by the GEF and are available on the GEF [website](#).

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

The UNDP Country Office will include the planned project terminal evaluation in the UNDP Country Office evaluation plan and will upload the final terminal evaluation report in English and the corresponding management response to the UNDP Evaluation Resource Centre (ERC). Once uploaded to the ERC, the UNDP IEO will undertake a quality

assessment and validate the findings and ratings in the TE report and rate the quality of the TE report. The UNDP IEO assessment report will be sent to the GEF IEO along with the project terminal evaluation report.

The final TE report and TE TOR will be publicly available in English and posted on the UNDP ERC by 31 May 2023. A management response to the TE recommendations will be posted to the ERC within six weeks of the TE report's completion.

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

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

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget ²⁸ (US\$)		Time frame
		GEF grant (USD)	Co-financing	
Inception Workshop	UNDP Country Office	8,500	8,500	Within two months of project document signature
Inception Report	Project Manager	None	None	Within two weeks of inception workshop
Standard UNDP monitoring and reporting requirements as outlined in the UNDP POPP	UNDP Country Office	None	None	Quarterly, annually
Risk management	Project Manager Country Office	None	None	Quarterly, annually
Monitoring of indicators in project results framework	Project Manager	(4,000/year) 14,000	24,000	Annually before PIR
GEF Project Implementation Report (PIR)	Project Manager and UNDP Country Office and UNDP-GEF team	None	None	Annually
Audit	UNOPS	25,000	0	At mid-term
Lessons learned and knowledge generation	Project Manager	18,000	18,000	Annually
Monitoring of environmental and social risks, and corresponding management plans as relevant	Project Manager UNDP Country Office	25,000	30,000	On-going
Stakeholder Engagement Plan	Project Manager UNDP Country Office	12,000	12,000	On-going
Gender Action Plan	Project Manager UNDP Country Office	5,000	5,000	On-going

²⁸ Excluding project team staff time and UNDP staff time and travel expenses.

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget ²⁸ (US\$)		Time frame
		GEF grant (USD)	Co-financing	
	UNDP GEF team			
Addressing environmental and social grievances	Project Manager UNDP Country Office	None	0	On-going
Project Board meetings	Project Board UNDP Country Office Project Manager	3,000	0	At minimum annually
Supervision missions	UNDP Country Office	None	10,000	Annually
Oversight missions	UNDP-GEF team	None	5,000	Troubleshooting as needed
GEF Secretariat learning missions/site visits	UNDP Country Office and Project Manager and UNDP-GEF team	None	0	To be determined.
Terminal Core Indicator Annex to be updated by Project Manager	Project Manager	10,000	0	Before terminal evaluation mission takes place
Independent Terminal Evaluation (TE) included in UNDP evaluation plan, and management response	UNDP Country Office and Project team and UNDP-GEF team	30,000	None	At least three months before operational closure
Translation of TE reports into English	UNDP Country Office	None	0	As required. GEF will only accept reports in English.
TOTAL indicative COST Excluding project team staff time, and UNDP staff and travel expenses		150,500	112,500	

VII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

Roles and responsibilities of the project's governance mechanism:

Implementing Partner: The Implementing Partner for this project is the UN Office for Project Services (UNOPS).

The Implementing Partner is the entity to which the UNDP Administrator has entrusted the implementation of UNDP assistance specified in this signed project document along with the assumption of full responsibility and accountability for the effective use of UNDP resources and the delivery of outputs, as set forth in this document.

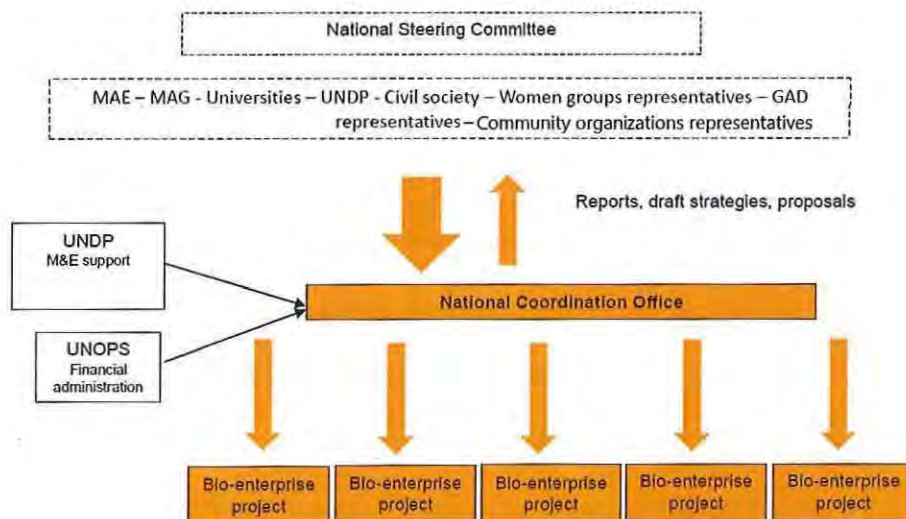
The Implementing Partner is responsible for executing this project. Specific tasks include:

- Project planning, coordination, management, monitoring, evaluation and reporting. This includes providing all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary. The Implementing Partner will strive to ensure project-level M&E is undertaken by national institutes and is aligned with national systems so that the data used and generated by the project supports national systems.
- Risk management as outlined in this Project Document;
- Procurement of goods and services, including human resources;
- Financial management, including overseeing financial expenditures against project budgets;
- Approving and signing the multiyear workplan;
- Approving and signing the combined delivery report at the end of the year; and,
- Signing the financial report or the funding authorization and certificate of expenditures.

See below for further details on UNOPS roles and responsibilities regarding this project.

UNDP: UNDP is accountable to the GEF for the implementation of this project. This includes oversight of project execution to ensure that the project is being carried out in accordance with agreed standards and provisions. UNDP is responsible for delivering GEF project cycle management services comprising project approval and start-up, project supervision and oversight, and project completion and evaluation. UNDP is responsible for the Project Assurance role of the Project Board/Steering Committee.

Please see below for a more detailed description of differentiated UNDP roles and responsibilities.



APR

The diagram above shows the project organizational structure (Fig.2). The roles and responsibilities of the various parties to the project are described in the SGP Operational Guidelines. UNDP will provide overall Programme oversight and take responsibility for standard GEF project cycle management services beyond assistance and oversight of project design and negotiation, including project monitoring, periodic evaluations, troubleshooting, and reporting to the GEF. UNDP will also provide high level technical and managerial support from the UNDP GEF Global Coordinator for the SGP Upgrading Country Programmes, who is responsible for project oversight for all upgraded country Programme projects. The SGP Central Programme Management Team (CPMT) will monitor upgraded country Programmes for compliance with GEF SGP core policies and procedures.

In accordance with the global **SGP Operational Guidelines (Annex H)** that will guide overall project implementation in Ecuador, and in keeping with past best practice, the UNDP Resident Representative will appoint the **National Steering Committee (NSC)** members. The NSC, composed of government and non-government organizations with a non-government majority, a UNDP representative, and individuals with expertise in the GEF Focal Areas, is responsible for grant selection and approval and for determining the overall strategy of the SGP in the country. NSC members serve without remuneration and rotate periodically in accordance with its rules of procedure. The Government is usually represented by the GEF Operational Focal Point or by another high-level representative of relevant ministries or institutions. The inclusion of the Government GEF Operational Focal Point (OFP) as an additional technical support (having a voice) is recommended. The NSC assesses the performance of the Country Programme Manager (formerly National Coordinator) with input from the UNDP RR, the SGP UCP Global Coordinator, and UNOPS. The NSC also contributes to bridging community-level experiences with national policymaking. Please see the TORs for the National Steering Committee annexed to this document.

The **Country Office** is the business unit in UNDP for the SGP project and is responsible for ensuring the project meets its objective and delivers on its targets. The Resident Representative signs the grant agreements with beneficiary organizations on behalf of UNOPS. The Country Office will make available its expertise in various environment and development fields as shown below. It will also provide other types of support at the local level such as infrastructure and financial management services, as required. UNDP will be represented in the NSC and will actively participate in grant monitoring activities. The CO will participate in NSC meetings, promoting synergies with other relevant Programmes, and support the design and implementation of the SGP strategy, etc.

The **Country team** composed of a National Coordinator (also known as Country Programme Manager in CEO Endorsement) and a Programme Assistant, recruited through competitive processes, is responsible for the day-to-day operations of the Programme. This includes supporting NSC strategic work and grant selection by developing technical papers, undertaking ex-ante technical reviews of project proposals; taking responsibility for monitoring the grant portfolio and for providing technical assistance to grantees during project design and implementation; mobilizing cash and in-kind resources; preparing reports for UNDP, GEF and other donors; implementing a capacity development Programme for communities, CBOs and NGOs, as well as a communications and knowledge management strategy to ensure adequate visibility of GEF investments, and disseminating good practices and lessons learnt. Please see TORs for the members of the Country Team annexed to this document.

As GEF Project Agency, **UNDP** will provide overall Programme oversight and take responsibility for standard GEF project cycle management services beyond assistance and oversight of project design and negotiation, including project monitoring, periodic evaluations, troubleshooting, and reporting to the GEF.

UNDP (Headquarters) will also provide high-level technical and managerial support through the Low Emissions Climate Resilient Development Strategies cluster, and from the UNDP Global Coordinator for Upgrading Country Programme, who will be responsible for project oversight for all upgraded country Programme projects worldwide. SGP's Central Programme Management Team (CPMT) will monitor for compliance of upgraded country Programme with the core policies and procedures of the SGP as a GEF Corporate Programme.

Grants will be selected by the NSC from proposals submitted by CBOs and NGOs through calls for proposals in specific thematic and geographic areas relevant to the SGP Country Programme strategy, as embodied in this document. Although government organizations cannot receive SGP grants, every effort will be made to coordinate grant

implementation with relevant line ministries, decentralized institutions, universities and local government authorities to ensure their support, create opportunities for co-financing, and provide feedback on policy implementation on the ground. Contributions from and cooperation with the private sector will also be sought.

SGP utilizes **consultants** for specialized services, mostly for baseline data collection, capacity development activities, business development support, and to assist grantees when specialized expertise is required, or for tasks that require an external independent view such as the mid-term and terminal evaluations. Civil society organization networks may also benefit from SGP grants.

UNOPS will provide Country Programme implementation services, including human resources management, budgeting, accounting, grant disbursement, auditing, and procurement. UNOPS is responsible for SGP's financial management and provides monthly financial reports to UNDP. The UNOPS SGP Standard Operating Procedures guide the financial and administrative management of the project. UNOPS will provide a certified expenditure report as of 31 December of each year of implementation.

A key service of UNOPS is the contracting of SGP staff as needed and required by the Programme, and once contracted, UNOPS provides guidance and supervision, together with the UNDP CO acting on behalf of UNOPS, to the SGP country staff in their administrative and finance related work. UNOPS also provides other important services (as specified in the GEF Council document C.36/4) that include (1) oversight and quality assurance: (i) coordinate with the Upgrading Country Programme (UCP) Global Coordinator on annual work plan activities and (ii) undertake trouble-shooting and problem-solving missions; (2) project financial management: (i) review and authorize operating budgets; (ii) review and authorize disbursement, (iii) monitor and oversee all financial transactions, (iv) prepare semi-annual and annual financial progress reports and (v) prepare periodic status reports on grant allocations and expenditures; (3) project procurement management: (i) undertake procurement activities and (ii) management of contracts; (4) project assets management: (i) maintain an inventory of all capitalized assets; (5) project risks management: (i) prepare and implement an annual audit plan and (ii) follow up on all audit recommendations; and (6) Grants management: (i) administer all grants, (ii) financial grant monitoring and (iii) legal advice.

Under its legal advice role, UNOPS takes the lead in investigations of UNOPS-contracted SGP staff. UNOPS services also include transactional services: (1) personnel administration, benefits and entitlements of project personnel contracted by UNOPS; (2) processing payroll of project personnel contracted by UNOPS, (3) input transaction instruction and automated processing of project personnel official mission travel and DSA; (4) input transaction instruction and automated processing of financial transactions such as Purchase Order, Receipts, Payment Vouchers and Vendor Approval and (5) procurement in UN Web Buy.

UNOPS will continue with a number of areas for enhancing execution services started in the previous the SGP GEF-5, including: inclusion of co-financing below \$500,000; technical assistance to high risk/low performing countries; developing a risk-based management approach; strengthening the central structure to make it more suitable for an expanded Programme; resolving grant disbursement delays; enhancing country Programme oversight; improving monitoring & evaluation; increasing the audit volume and quality assurance work; and optimizing Programme cost-effectiveness. To facilitate global coherence in execution of services, guidance and operating procedures, UNOPS through a central management team and NSC, coordinates primarily with UNDP/GEF HQ respectively.

UNOPS will not make any financial commitments or incur any expenses that would exceed the budget for implementing the project as set forth in this Project Document. UNOPS shall regularly consult with UNDP concerning the status and use of funds and shall promptly advise UNDP any time when UNOPS is aware that the budget to carry out these services is insufficient to fully implement the project in the manner set out in the Project Document. UNDP shall have no obligation to provide UNOPS with any funds or to make any reimbursement for expenses incurred by UNOPS in excess of the total budget as set forth in the Project Document.

UNOPS will submit a cumulative financial report each quarter (31 March, 30 June, 30 September and 31 December). The report will be submitted to UNDP through the ATLAS Project Delivery Report (PDR) system and follow the established ATLAS formats and PDR timelines. The level of detail in relation to the reporting requirement is indicated

in the Project Document budget which will be translated into the ATLAS budgets. UNDP will include the expenditure reported by UNOPS in its reconciliation of the project financial report.

Upon completion or termination of activities, UNOPS shall furnish a financial closure report, including a list of non-expendable equipment purchased by UNOPS, and all relevant audited or certified financial statements and records related to such activities, as appropriate, pursuant to its Financial Regulations and Rules.

Title to any equipment and supplies that may be furnished by UNDP or procured through UNDP funds shall rest with UNDP until such time as ownership thereof is transferred. Equipment and supplies that may be furnished by UNDP or procured through UNDP funds will be disposed as agreed, in writing, between UNDP and UNOPS. UNDP shall provide UNOPS with instructions on the disposal of such equipment and supplies within 90 days of the end of the Project.

The arrangements described in this Project Document will remain in effect until the end of the project, or until terminated in writing (with 30 days' notice) by either party. The schedule of activities specified in the Project Document remains in effect based on continued performance by UNOPS unless it receives written indication to the contrary from UNDP. The arrangements described in this Agreement, including the structure of implementation and responsibility for results, shall be revisited on an annual basis and may result in the amendment of this Project Document.

If this Agreement is terminated or suspended, UNDP shall reimburse UNOPS for all costs directly incurred by UNOPS in the amounts specified in the project budget or as otherwise agreed in writing by UNDP and UNOPS. All further correspondence regarding this Agreement, other than signed letters of agreement or amendments thereto should be addressed to the UNDP-GEF Executive Coordinator and the UNDP Resident Coordinator.

UNOPS shall keep UNDP fully informed of all actions undertaken by them in carrying out this Agreement.

Any changes to the Project Document that would affect the work being performed by UNOPS shall be recommended only after consultation between the parties. Any amendment to this Project Document shall be affected by mutual agreement, in writing.

If UNOPS is prevented by force majeure from fulfilling its obligations under this Agreement, it shall not be deemed in breach of such obligations. UNOPS shall use all reasonable efforts to mitigate the consequences of force majeure. Force majeure is defined as natural catastrophes such as but not limited to earthquakes, floods, cyclonic or volcanic activity; war (whether declared or not), invasion, rebellion, terrorism, revolution, insurrection, civil war, riot, radiation or contaminations by radio-activity; other acts of a similar nature or force.

Notwithstanding anything to the contrary, UNOPS shall in no event be liable as a result or consequence of any act or omission on the part of UNDP, the government and/or any provincial and/or municipal authorities, including its agents, servants and employees.

UNDP and UNOPS shall use their best efforts to promptly settle through direct negotiations any dispute, controversy or claim which is not settled within sixty (60) days from the date either party has notified the other party of the dispute, controversy or claim and of measures which should be taken to rectify it, shall be referred to the UNDP Administrator and the UNOPS Executive Director for resolution.

This project will be implemented by UNOPS in accordance with UNOPS' Financial Rules and Regulations provided these do not contravene the principles established in UNDP's Financial Regulations and Rules.

UNOPS as the Implementing Partner shall comply with the policies, procedures and practices of the United Nations security management system.

Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information:

In order to accord proper acknowledgement to the GEF for providing grant funding, the GEF logo will appear together with the UNDP logo, the Ministry of Environment logo and other relevant institutions involved in all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GEF will also accord proper acknowledgement to the GEF. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy²⁹ and the GEF policy on public involvement³⁰. A communication protocol will be developed for the project implementation.

²⁹ See http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/

³⁰ See https://www.thegef.org/gef/policies_guidelines

VIII. FINANCIAL PLANNING AND MANAGEMENT

The total cost of the project is USD **3,654,612**. This is financed through a GEF grant of USD **1,826,484**, USD **10,000** in cash co-financing to be administered by UNDP and USD **1,818,128** in parallel co-financing. UNDP, as the GEF Implementing Agency, is responsible for the execution of the GEF resources and the cash co-financing transferred to UNDP bank account only.

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

Co-financing source	Co-financing type	Co-financing amount	Planned Activities/Outputs	Risks	Risk Mitigation Measures
CSO	In cash	230,000	<i>Direct Project cofinancing. It will be focused on bio-enterprise creation and market development</i>	<i>Conflicts among stakeholders will reduce cooperation and synergies among bio-enterprises</i>	<i>Conflict avoidance, management and resolution training in communities.</i>
CSO	In kind	586,450			
UNDP	In kind	215,585	<i>UNDP cofinancing to boost inter-agency coordination</i>	<i>Innovation challenges regarding inter-agency coordination</i>	<i>Strengthen joint activities with UNDP – SGP</i>
Government	In Cash	0	<i>MAE/PASNAP – focused on bilateral projects such as georeferencing/bio-enterprises M&E</i>	<i>Partisan political representatives in Multistakeholder groups may create conflicts during meetings and project planning</i>	<i>Inter-institutional dialogue</i>
Government	In kind	586,093			
Donor Agency	In Cash	200,000	<i>ICCA consortium – phase 2</i>	<i>Decrease in the quality of TICCA development due to beneficiary's intervention</i>	<i>Consultation was taken into consideration during project design</i>
Total Co-financing					1,818,128

Budget Revision and Tolerance: As per UNDP requirements outlined in the UNDP POPP, the National Steering Committee will agree on a budget tolerance level for each plan under the overall annual work plan allowing the project manager to expend up to the tolerance level beyond the approved project budget amount for the year without requiring a revision from the National Steering Committee. Should the following deviations occur, the Project Manager and UNDP Country Office will seek the approval of the UNDP-GEF team to ensure accurate reporting to the GEF: a) Budget re-allocations among components in the project with amounts involving 10% of the total project grant or more; b) Introduction of new budget items/or components that exceed 5% of original GEF allocation.

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

Audit: The project will be audited as per UNDP Financial Regulations and Rules and applicable audit policies. Audit cycle and process must be discussed during the Inception workshop. As the Implementing Partner is a UN Agency, the project will be audited according to its applicable audit policies.

Project Closure: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP. On an exceptional basis only, and if there is no increase of the project budget, one extension of the operational closure date beyond the initial duration of the project may be approved by the UNDP-GEF Directorate. However, all costs incurred

to close the project must be included in the project closure budget and reported as final project commitments presented to the Project Board during the final project review. The only costs a project may incur following the final project review are those included in the project closure budget.

Operational completion: The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed. This includes the final clearance of the Terminal Evaluation Report (that will be available in English) and the corresponding management response, and the end-of-project review National Steering Committee Meeting. **Operational closure must happen with 3 months of posting the TE report to the UNDP ERC.** The Implementing Partner through a National Steering Committee decision will notify the UNDP Country Office when operational closure has been completed. At this time, the relevant parties will have already agreed and confirmed in writing on the arrangements for the disposal of any equipment that is still the property of UNDP.

Transfer or disposal of assets: In consultation with the national counterparts and other parties of the project, UNDP Programme manager (UNDP Resident Representative) is responsible for deciding on the transfer or other disposal of assets. Transfer or disposal of assets is recommended to be reviewed and endorsed by the project board following UNDP rules and regulations. Assets may be transferred to the government for project activities managed by a national institution at any time during the life of a project. In all cases of transfer, a transfer document must be prepared and kept on file³¹.

Financial completion: The project will be financially closed when the following conditions have been met: a) The project is operationally completed or has been cancelled; b) The Implementing Partner has reported all financial transactions to UNDP; c) UNDP has closed the accounts for the project; d) UNDP and the Implementing Partner have certified a final Combined Delivery Report (which serves as final budget revision).

The project will be financially completed within 6 months of operational closure or after the date of cancellation. Between operational and financial closure, the implementing partner will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to the UNDP-GEF Unit for confirmation before the project will be financially closed in Atlas by the UNDP Country Office.

Refund to GEF: Should a refund of unspent funds to the GEF be necessary, this will be managed directly by the UNDP-GEF Directorate in New York. No action is required at CO level on the actual refund from UNDP project to the GEF Trustee.

³¹ See

https://popp.undp.org/layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PPM_Project%20Management_Closing.docx&action=default.

IX. TOTAL BUDGET AND WORK PLAN

PIMS No.:	6255
Award ID:	00112385
Project ID:	00110942
Award Title:	PPD 7
Business Unit:	ECU10
Project Title:	Seventh Operational Phase of the GEF Small Grants Program in Ecuador
Implementing Partner (Executing Agency)	UNOPS

GEF component / Atlas activity	Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Year 1 (USD)	Year 2 (USD)	Year 3 (USD)	Year 4 (USD)	Total (USD)	Budget note
1. Community bio-enterprises are strengthened in the targeted landscapes with improved market access. Andean Paramo Mangrove Coastal Rainforest Tropical Rainforest	UNOPS	62000	GEF	77100	Personnel (Staff)	\$7,420	\$76,500	\$77,939	\$78,832	\$240,691	1
				71400	Personnel (SC)	\$2,305	\$46,534	\$46,534	\$46,534	\$141,907	2
				71600	Travel	\$2,650	\$3,710	\$0	\$2,650	\$9,010	6
				72600	Grants	\$0	\$291,500	\$233,200	\$58,300	\$583,000	4
				75700	Training, workshops & conferences	\$0	\$2,650	\$6,572	\$2,650	\$11,872	7
				74200	Audio Visual & Print Prod Costs	\$0	\$5,300	\$0	\$7,040	\$12,340	8
				74500	Miscellaneous Expenses	\$4,463	\$11,340	\$7,328	\$4,375	\$27,506	9
TOTAL COMPONENT 1						\$16,838	\$437,534	\$371,573	\$200,381	\$1,026,326	
2. Multi-stakeholder bio-entrepreneurship platform(s)/networks strengthened/in place for improved governance of selected landscapes to enhance socio-ecological resilience for effective participatory decision making	UNOPS	62000	GEF	77100	Personnel (Staff)	\$6,572	\$75,440	\$75,440	\$75,440	\$232,892	1
				71400	Personnel (SC)	\$2,305	\$46,534	\$46,534	\$46,534	\$141,907	2
				71200	International consultants			\$26,490	\$30,200	\$56,690	3
				71600	Travel	\$0	\$3,710	\$2,650	\$2,650	\$9,010	6
				72600	Grants	\$124,550	\$0	\$99,640	\$24,910	\$249,100	5
				75700	Training, workshops & conferences	\$0	\$1,060	\$0	\$0	\$1,060	7

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to achieve landscape resiliency				74200	Audio Visual & Print Prod Costs	\$0	\$5,300	\$0	\$6,300	\$11,600	8
				74500	Miscellaneous Expenses	\$3,498	\$1,696	\$6,996	\$1,227	\$13,417	9
				TOTAL GEF		\$136,925	\$133,740	\$257,750	\$187,261	\$715,676	
		4000	UNDP	74200	Audio Visual & Print Prod Costs	\$0	\$3,000	\$3,000	\$4,000	\$10,000	8
				Total UNDP - TRAC		\$0	\$3,000	\$3,000	\$4,000	\$10,000	
TOTAL COMPONENT 2						\$136,925	\$136,740	\$260,750	\$191,261	\$725,676	
	UNOPS	62000	GEF	73100	Rental & Maint of Premises	\$530	\$19,610	\$19,610	\$24,910	\$64,660	10
				72500	Office Supplies	\$0	\$212	\$212	\$212	\$636	11
				73400	Rental & Maint of Other Equip	\$0	\$2,650	\$2,650	\$0	\$5,300	12
				74500	Miscellaneous Expenses	\$2,968	\$5,406	\$2,756	\$2,756	\$13,886	9
				TOTAL PROJECT MANAGEMENT		\$3,498	\$27,878	\$25,228	\$27,878	\$84,482	
TOTAL GEF						\$157,261	\$599,152	\$654,551	\$415,520	\$1,826,484	
Total UNDP - TRAC						\$0	\$3,000	\$3,000	\$4,000	\$10,000	
TOTAL PROJECT						\$157,261	\$602,152	\$657,551	\$419,520	\$1,836,484	

**Summary of
Funds:**

	Amount Year 1	Amount Year 2	Amount Year 3	Amount Year 4	Total
GEF	\$157,261	\$599,152	\$654,551	\$415,520	\$1,826,484
UNDP		\$10,000	\$107,792	\$107,793	\$225,585
Government MAE		\$195,364	\$195,364	\$195,365	\$586,093
Community organizations		\$272,150	\$272,150	\$272,150	\$816,450
ICCA Consortium (In cash)	\$192,500	\$7,500			\$200,000
TOTAL	\$349,761	\$1,084,166	\$1,229,857	\$990,828	\$3,654,612

0	The 6% UNOPS fee, and Centrally Managed Direct Costs (CMDCC) are incorporated in each individual budget line.
1	Staff - National Coordinator -Country Programme Manager: Support for technical inputs, monitoring, evaluation and auditing of grantee projects, providing technical assistance to grantees, reporting on project progress and results, and developing related knowledge products. (Year 1 is based on 6 months period, Year 2, Year 3 and Year 4)
	Service Contracts: Programme Assistant - Support for technical inputs, monitoring, evaluation and auditing of grantee projects, providing technical assistance to grantees, reporting on project progress and results, and developing related knowledge products
2	Communication Assistant: support including revision of grantee's financial reports, archiving, inventories, office and equipment maintenance, supplies, minutes taking, workshop preparation and logistics, database update support, managing communication, tools (FB, Twitter, etc.). Monitoring assistants: Support for monitoring, projects, providing technical assistance for reporting on project progress and results, and developing related knowledge products. Driver
3	Audit, Mid-Term Review and final evaluation. It includes travel costs.
4	Financial resources for CBO/NGO grants - Landscape projects and innovative projects to strengthen community bio-enterprises and youth and women participation
5	Financial resources for CBO/NGO grants - strengthening capacities projects for community bio enterprise networks.
6	Inception Workshop, project site visits, monitoring field visits, participation in workshops and local meetings (MTBs).
7	Meetings of SGP's National Steering Committee for the review and approval CBO/NGO grants, workshops within the landscapes and Biocorridors during planning and implementation phase, grantee experience exchange.
8	Production, layout, translation, printing and dissemination of SGP knowledge products and communication materials including audio-visuals (e.g. factsheets, reports, case studies, etc.)
9	Unforeseen Expenses
10	Rental and maintenance of SGP premises, utility costs, communications.
11	Office supplies: paper, ink, CDs, and others.
12	Vehicle maintenance: engine check, oil changes, filter changes, brakes, tires and others. Car Insurance.

X. LEGAL CONTEXT

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of Ecuador and UNDP, signed on 01/20/2005. All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

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

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

XI. RISK MANAGEMENT

UNOPS as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)

UNOPS as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient that is not a UN entity:

- a. Consistent with the Article III of the SBAA [*or the Supplemental Provisions to the Project Document*], the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP's property in such responsible parties, subcontractor's and sub-recipient's custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:
 - i. put in place an appropriate security plan and maintain the security plan, considering the security situation in the country where the project is being carried;
 - ii. assume all risks and liabilities related to such responsible parties, subcontractor's and sub-recipient's security, and the full implementation of the security plan.
- b. UNOPS reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the responsible parties, subcontractor's and sub-recipient's obligations under this Project Document.

UNOPS agrees to undertake all reasonable efforts to ensure that none of the [project funds]³² [UNDP funds received pursuant to the Project Document]³³ are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml.

Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).

³² To be used where UNDP is the Implementing Partner

³³ To be used where the UN, a UN fund/Programme or a specialized agency is the Implementing Partner

The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

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

The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or Programme or using the UNDP funds. The Implementing Partner will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.

The Implementing Partner and UNDP will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement.

Where such funds have not been refunded to UNDP, the Implementing Partner agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to the Implementing Partner for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

Each contract issued by the Implementing Partner in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from the Implementing Partner shall cooperate with any and all investigations and post-payment audits.

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

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

XII. MANDATORY ANNEXES

- A. Multiyear Workplan (see template below)
- B. GEF Core Indicators at baseline
- C. Terms of Reference for National Steering Committee, National Coordinator and other positions as appropriate
- D. Stakeholder Engagement Plan
- E. Gender Analysis and Action Plan
- F. List of people consulted during project development
- G. UNDP Risk Log (to be completed by UNDP Country Office)
- H. Letters of co-financing
- I. UNDP Project Quality Assurance Report (to be completed in UNDP online corporate planning system by UNDP Country Office)
- J. Project Map and geospatial coordinates of the project area
- K. Monitoring Plan (see Section VI Monitoring and Evaluation Plan in this document)
- L. UNDP Social and Environmental Screening



Annex A: Multi Year Work Plan

Output	Indicator	Responsible Party	Year 1				Year 2				Year 3			
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Community bio-enterprises are strengthened in the nine targeted landscapes with improved capacities for sustainable production, biodiversity conservation and market access	Number of functional community level bio-enterprises in the nine landscapes based on products from biodiversity conservation and agroecological resource management of which at least 50% are coordinated by women	SGP Coordination Office	x	x	x	x	x	x	x	x	x	x	x	x
	Number of community bio-enterprises receiving support from innovative financial mechanisms	SGP and bio-enterprise support team			x	x	x		x		x		x	
	Number of innovative value-added products generated by community projects practicing biodiversity conservation and agroecological resource management	SGP and bio-enterprise support team					x	x	x	x	x	x	x	x
Multi-stakeholder bio- enterprise networks established and operational in each of the nine target landscapes for improved governance and coordinated market access	Number of multi-stakeholder bio-enterprise networks established and operational in the nine target landscapes	SGP Coordination Office		x	x	x	x	x	x	x	x	x	x	x
	Number of value chain strategies developed for PITs by bio-enterprise networks to promote and articulate biodiversity conservation and sustainable production in the nine target landscapes	SGP and bio-enterprise support team					x	x	x	x	x	x	x	x
	Number of value chain strategies under implementation by bio-enterprise networks	SGP and bio-enterprise support team					x	x	x	x	x	x	x	x
	Number of market agreements (e.g. sales contracts, etc.) between bio-enterprise networks and buyers	SGP and bio-enterprise support team					x	x					x	x

Annex B: GEF Core Indicators at baseline

Background considerations

According to the GEF/C.54/11/Rev.02 document, the *"GEF-7 results architecture is designed to generate more relevant and more reliable data and information on results, while promoting integration, multiple benefits, and simplification"*³⁴. These considerations fulfill the idea to better capture the values across the GEF portfolio and to receive more systematically information the socio-economic co-benefits of its projects and programs.

On the other hand, the GEF/R.7/19 points out the SGP vital work with indigenous peoples and local communities (IPLCs), as they manage areas that hold 80% of earth's biodiversity. The document also remarks that *"SGP continues to support projects that are relevant, effective and efficient in achieving global environmental benefits, while addressing issues of livelihoods, poverty, gender equality and women's empowerment."*³⁵

Consequently, the Replenishment Programming Directions document provides a clear objective for the GEF/SGP 7th replenishment: "to prioritize critical landscapes/seascapes to focus its programming on globally recognized important ecosystems (including Key Biodiversity Areas)" At the same time, it enquires for SGP's active engagement on knowledge sharing at all levels has enabled mutual learning among its grantees and beyond, as well as replication and upscaling of initiatives.

The GEF Monitoring and Evaluation Policy (2010) is designed under the Result-Based Management (RBM) methodology. This document put partner countries, NGOs, private sector and communities as the primary source of information and responsibility for project indicators, monitoring data gathering and supply of information. RBM allows users to maximize the planification and M&E tools. The Monitoring, Evaluation and Technical Assistance System -SIMONAA in Ecuador uses the same base to trace the project from design to evaluation. It also serves as a foundation for project planning through result-based scenarios and outcomes (from activities to indicators to outputs)

At its most wide-ranging level, the GEF M&E Policy serves as the medium to promote accountability for the achievement of GEF objectives through the assessment of results, effectiveness, processes, and performance of the partners involved in GEF activities. Subsequently, it lists *other stakeholders* as crucial actors that should be involved in the project development and M&E, both as participants and contributors, where "Local stakeholder participation and participatory approaches to M&E are particularly necessary in projects and programs that affect the incomes and livelihoods of local groups". This is an important circumstance for SGP/GEF/UNDP involvement with IPLCs and government institutions.

SGP Ecuador – OP7 MSP development

After the cooperation with the Program to Support National Protected Areas (PASNAP) and the continues partnership towards biodiversity conservation and long-term results with the ecological corridor's landscape strategy (that scaled up to Biocorridor for Living Well in the case of Ecuador, and counted in a three-way impact with biodiversity conservation, sustainable production and social partnership) the Ministry of Environment (MAE for its acronym in

³⁴ Global Environment Facility (2018) Updated Results Architecture for GEF-7. Da Nang, Viet Nam.

³⁵ Global Environment Facility (2018) Replenishment Programming Directions. Stockholm, Sweden

Spanish), in compliance with the National Development Plan, proposed to scale up the SGP intervention with its innovative landscape approach to new territories.

This idea came in a moment when the country is moving towards a new integral development strategy that includes the development of biocommerce and green entrepreneurship. MAE now pursues to boost the work of bio-entrepreneurships from a multi-stakeholder perspective. Thus, the request for the SGP to join forces with the Socio Bosque Program (environmental benefits program from MAE), integrating its methodological multi-stakeholder and expenditure-approach experience into the country's bio-commerce policy. Consequently, building on OP5 and OP6 outputs and activities, SGP will work in OP7 in accordance with the articulation/coordination strategy of the Ministry of Environment, in collaboration with the Socio Bosque Project (SBP) and The Program of Support to the National System of Protected Areas (PASNAP).

Starting process

During OP6, the SGP Country Office and the Ministry of Environment (MAE/PASNAP) generated maps with information about the implemented activities, crossed with the land use and vegetative cover in all Biocorridors. These maps specified the activities carried out during OP5 and OP6 to identify the projected long-term impacts of SGP support in each Bio-corridor. For OP7, during the planning phase the SGP Ecuador worked closely with the Socio Bosque Program to define the key activities for replication and upscaling based on the results achieved in OP5 and OP6; these would include components of conservation and integration with the policies and programs of the Ministry of Environment.

The MAE (through SBO/PASNAP) and the SGP in Ecuador identified the landscapes and areas for support in OP7 guided by the successful outcomes of previous SGP Operational Phases in Biocorridors, the GEF-7 guidelines for biodiversity (core indicator 1.1), and the Convention on Biological Diversity (CBD) for the adoption of measures that prevent or minimize the risk of considerable reduction or loss of biological diversity, among other sources.

To avoid possible conflicts in project planning and M&E, SGP Ecuador follow the GEF/C.54/11/Rev.02 document to identify the areas of intervention, considering the idea of having a way to capture, monitor, analyze and report on results. SGP focus the attention in efficiency and efficacy in the planning process, reviewing the indicators and objectives of the national stakeholders and the SGP/GEF priorities.

In accordance with GEF Monitoring and Evaluation Policy (2010) "*other stakeholders*" role, the SGP Ecuador pursued to include and encourage involvement of other local actors, capturing the possible benefits, involvement and cofinancing that result of them joining the process.

INDICATORS CALCULATION - GEOMAPPING

During mid-2018, in collaboration with the Socio Bosque Program (SBP) and Program of Support to the National System of Protected Areas (PASNAP), the SGP Country Office began preparations to build the MSP-OP7 document. Backed by its experience, SGP included the program approach to be replicated on the GEF-7 strategy with its multi-stakeholder/multi-level strategy.

Initially, SGP received documentation of the priority areas where the SBP and PASNAP intervention overlaps. Additionally, tables with information about bio-enterprises in these areas were considered. Several meetings with

different representants of the Ministry of Environment were held, to extract key information to define intervention areas and possible outcomes (scenarios). At the same time, SBP and PASNAP provided cartographic information of their prioritized areas, which included its partners and local stakeholders.

SGP also received different alphanumeric tables with critical data about the possible beneficiaries' livelihoods, involvement in biodiversity conservation areas (measured via the year of inclusion in the Socio Bosque Program) and conservation area in hectares.

The maps generated during OP5 and OP6 were the base to identify the scaling-up strategy to be used during OP7. Not only this data was strategic to define the landscapes and represent the concept behind the multi-stakeholder/multi-level strategy, but it also contributed to showcase the impact achieved by the SGP during OP5-OP6 in the intervention areas.

Based on these sources, the SGP team cross-matched the MAE polygons with the shapes from OP5 and OP6 (with emphasis on the spatial patterns of ecological connectivity, sustainable productive landscapes results and associativity), the National System of Protected Areas (SNAP), and communities as well as individual conservation areas of the Socio Bosque Project, with special emphasis on areas where the landscape bio-enterprise strategy will have a positive impact for conservation, sustainable development and capacity building. The result was discussed among all participants and was positively approved by the Ministry of Environment, which has used this cross-matching strategy before in order to avoid actions and efforts duplication.

At the same time, SGP Ecuador was very careful to respect and include the guidelines for overlapping and replication from the International Aid Transparency Initiative (IATI). It was specially accounted the task for "Location" and "sub-national geographical identification".

A systematic capture of results data process was reviewed by both parties (SGP and MAE) and resulted in several layers and labels that demonstrated that geo-mapping was effective in define points and polygons in the targeted areas.

Direct impact measurement methodology

Based upon the concept of direct participation towards project design and M&E, the SGP team with MAE decided to better prioritize their intervention upon key vulnerable areas and landscapes.

It was the analysis of stakeholders and beneficiaries who previously showed positive results and impacts in the selected areas. The premise was that they would better respond to the SGP strategy, thus lowering the risks (also marked in the risk analysis). At the same time, the process determined that including some of the previous initiatives as bio-corridors and bio-enterprises, will scale up the concept and methodology of the proposed intervention, because they will serve as replicators and facilitators in the incoming national process.

The landscapes were carefully chosen based on an analysis of the areas that overlap the Biocorridors for Living Well (SGP OP5 and OP6), the National System of Protected Areas (SNAP), and communities as well as individual conservation areas of the Socio Bosque Project, with special emphasis on areas where the landscape bio-enterprise strategy will have a positive impact for conservation and sustainable development. Another fact considered was the existence of potential bio-enterprises and consolidated areas providing a framework in conservation projects and sustainable development.

Core and Sub-Indicators

SGP used several steps to ensure that only direct outputs and outcomes would be considered through Core and Sub-Indicators. Although there was not a direct consultation with the communities in the preparation process, communication and feedback was fluent during this time with a strategic partner as the Ministry of Environment. After the previous analysis, and in compliance with the GEF Strategy, the SGP prioritized the core indicators 4 and 5.

Core indicator 4

In accordance with the GEF/C.54/11/Rev.02 document, key project areas were selected according to their biodiversity importance (hotspots), presence of community bio-enterprises and buffer zones of protected areas (Biocorridor landscape approach), and Socio Bosque areas where focused support could prove beneficial for local development and maintenance of the biodiversity on these globally significant landscapes.

The total areas were measured using cross-mapping references and direct consultations with the Ministry of Environment using official polygons and points measured between SGP (OP5 and OP6 processes) and the local stakeholders. Several alphanumerical tables were used to provide additional relevance to geolocation and creation of polygons.

In summary, the data included the name of the possible beneficiaries of the project, along with their economic activities, conservation area and land-use type. It also included the economic data related to the sustainable use of natural resources (Key to the Community-Based Natural Resource Management Strategy), as well as the number of people who have participated in these activities in its family nucleus, which becomes the indirect information of the project.

Core sub-indicator 4.1 and 4.3

As it was described, the SGP in Ecuador and the Ministry of Environment gather this information during the planning process for the MSP-OP7. This 4.1 sub-indicator captures the final quantification (based upon the analysis of the qualitative data of each possible initiative) and used geolocation to further process it. The CEO request details each of the zones, its importance and areas. To better achieve actual direct numbers, the SGP also used updated information from different sources.

Indicator 4: Area of landscapes under improved practices (hectares; excluding protected areas)

Ha (expected at PIF)	Ha (expected at CEO Endorsement)	Ha (achieved at MTR)	Ha (achieved at TE)
191,468			

Figure at a given stage must be the sum of all figures reported under the four sub-indicators (4.1, 4.2, 4.3 and 4.4) for that stage.

4.1 Area of landscapes under improved management to benefit biodiversity (qualitative assessment, noncertified)

Ha (expected at PIF)	Qualitative description at PIF	Ha (expected at CEO Endorsement)	Qualitative description at CEO ER	Ha (achieved at MTR)	Qualitative description at MTR	Ha (achieved at TE)	Qualitative description at TE
34,170	Amazon rainforest / Yaku Samay/Kamanwy bio-enterprises						
42,695	Amazon rainforest / WAO territory						
13,890	Amazon rainforest / Taisha						
44,120	Dry forest and Montane ecosystems / Chon-Colon bio-enterprises						
2,256	Dry forest and Montane ecosystems / Portoviejo						
20,582	Tropical rainforest / Choco						
13,917	Paramo / Zuleta						
10,288	Paramo / Chimborazo						
7,350	Paramo /Condor						
Total: 189,268							

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4.1 Area of landscapes under improved management to benefit biodiversity (qualitative assessment, noncertified)

The sub-indicator 4.1. specifies that the project should designate the details of management practices. Along with the NMR Strategy, SGP and PASNAP/SBP categorized each of the possible initiatives and detailed its land use systems and management practices.

Beyond this approach, SGP will implement its landscape approach with community bio enterprises focus on better detail the improving practices that create global benefits through sustainable livelihoods. This includes agroforestry and agroecology, as land-use practices, innovative conservation with circular economy, sustainable cities and the ICCA initiative.

The resulting areas were selected using land coverage maps from the Geographic Military Institute of Ecuador, the Ministry of Environment information regarding Socio Bosque and SGP for the areas formerly marked as Biocorridors.

4.3 Area of landscapes under sustainable land management in production systems

Ha (expected at PIF)	Description of Management Practices at PIF
522	Yaku Samay / agroforestry production – orchids, essential oils
75	WAO territory / agroforestry production – cacao, chambira, fibers
316	Taisha / agroforestry production and mushrooms
435	Chongon-Colonche / agroforestry production – guadua – bamboo
58	Portoviejo / agroecology production and marine production (mangroves) coffee, honey, essential oils - Palo santo (<i>Bursera graveolens</i>) and others)
374	Choco / agroforestry production – palma de fibra de escoba (<i>Leopoldinia piassaba</i>); Coconut fibers
360	Zuleta / Mortiño (<i>Vaccinium meridionale</i>), Andean native tubers and cereals (potatoes, oca, mashua, quinua, amaranto, etc)
280	Chimborazo – huarango (<i>Prosopis pallida</i>) and andean native tubers and cereals
100	Condor / agroecology production and handicrafts
Total: 2,220	

Core Indicator 5:

Area of marine habitat under improved practices to benefit biodiversity (hectares; excluding protected areas)

Ha (expected at PIF)	Ha (expected at CEO Endorsement)	Ha (achieved at MTR)	Ha (achieved at TE)
2,637	Coastal Shore/Tropical Forest/Mangroves / Chongon-Colonche bio-enterprises		

SGP Ecuador has worked in the area during OP5 and OP6 and has mapped the landscape. During OP7 it will include the Socio Bosque partners.

Total area under improved management (in PIF and CEO ER Table F)

Ha (expected at PIF)	Ha (expected at CEO ER)
194,105	

Calculate the total by summing Core Indicators 1-5. Ensure that there is no double-counting

Core sub-indicator 11

SGP, SBP and PASNAP cross-referenced this information based on the data generated during field measurements. During consultations, SBP received feedback from the direct beneficiaries of the project, and they showed interest to participate in OP7 proposal. At the same time, the nine generated maps include information in each polygon, and they can be found in the map database.

	Total number (expected in PIF)	Total number (expected in CEO Endorsement)	Total number (achieved at MTR)	Total number (achieved at TE)
Women	5,120			
Men	3,413			
Total	8,533			

Annex C: Terms of Reference

National Coordination

Managerial Functions

- Supervise the national SGP team members and provide necessary guidance and coaching;
- Promote and maintain teamwork within the SGP team, the National Steering Committee members, and with the UNDP CO team;
- Prepare and implement the annual workplan, including strategic and/or innovative initiatives, with set delivery and co-financing targets;
- Set annual performance parameters and learning objectives for the SGP team, assess their performance and provide feedback;
- Build and maintain an effective relationship with key partners and stakeholders, and keep UCP Global Coordinator, UNOPS and UNDP CO informed as appropriate.

Programme/Portfolio Development and Management

- Keep abreast of the national environmental concerns and priorities as well as the socio-economic conditions and trends as they relate to the SGP and assess their impact on SGP's work and Programme.
- Ensure formulation and implementation of the Country Programme Strategy (CPS), and its periodic review and update;
- Manage the SGP grant allocations and country operating budget, maintain the financial integrity of the Programme, ensure most effective use of SGP resources;
- Exercise quality control over the development of a portfolio of project ideas and concepts, and closely monitor the Programme implementation progress and results;
- Organize periodic stakeholder workshops and project development sessions for NGOs, Community Based Organizations (CBO) and local communities, and other stakeholders to explain about SGP, and to assist potential applicants in making the link between local environmental problems and the global concerns of the GEF focal areas and SGP strategic initiatives;
- Work closely with NGOs and CBOs in preparation of project concepts and proposals to ensure that individual projects fit the SGP Operational Phase project document, Country Programme Strategy, and technical guidance notes;
- Authorize and manage project planning grants as required.
- Conduct periodic project monitoring field visits and provide technical and operational support and guidance to SGP grantees as required;
- Plan and serve as secretary to National Steering Committee meetings. Support and closely coordinate with the National Steering Committee and Technical Advisory Group (TAG) where relevant, in the process of project proposal review, selection and approval, especially the initial appraisal of proposals and assessment of eligibility.
- Foster operational and policy linkages between the SGP and the large or medium-sized GEF projects, planned or underway in the country, as well as those of other donors and development partners.
- Report periodically to UCP Global Coordinator on Programme implementation status, including annual monitoring reporting, financial reporting, audit, and update the relevant UNOPS and SGP databases.
- Undertake monitoring and evaluation of SGP Country Programme and projects, and Grantmaker+ initiatives, in coordination with NSC and UCP Global Coordinator

Resource Mobilization and Partnerships

- Establish and maintain close working relationships with stakeholders, advocate SGP Programmes, comparative advantages and initiatives and ensure visibility.
- Assess Programme interest and priorities of key donors and other development partners, and develop/update and implement the SGP
- Resource Mobilization and Partnership Strategy to mobilize resources from and develop partnerships with the Government, donors and other partners to best leverage SGP resources.
- Support SGP grantees in mobilizing co-financing and develop project level partnerships.

Knowledge Management

- Document Programme/project stories, lessons learned, and best practices in SGP Programme/project development, implementation, and oversight;
- Access SGP's and other global and regional knowledge, distill best practices and facilitate their dissemination and incorporation within SGP Country Programmes and projects, UNDP CO, and to counterparts and partners;
- Support capacity building and networking of grantees to facilitate knowledge exchange, and promote uptake through Knowledge platforms, Knowledge fairs etc.

Qualifications and Experience

- *Education:* Advanced university degree in environment or natural resource management, Environmental Economics, Development, Business Administration or similar field.
- *Work Experience:* At least 3 years of relevant experience in environment and development work, which should include programme management, preferably with an extended specialized experience in any of the GEF-SGP thematic areas at the national level
- *Managerial Skills:* Excellent teamwork, people management and interpersonal skills. Excellent analytical, writing, and communication skills. Strong negotiation, conflict resolution and problem-solving skills.
- *Language requirements:* Fluency in the official national language and English is required. Knowledge of other UN languages is considered asset.
- *IT skills:* Proficiency in standard computer software (word-processing, excel, presentations, databases and internet)

Program Assistant

Support for the implementation of the Program

- Contribute daily to support the implementation of the program / project and ensure compliance with the expected results, objectives and work plans.
- Assist the National Coordination in the revision of conceptual notes of projects and project proposals; and evaluate financial aspects of the project proposals.
- Assist the National Coordination in the development and adjustment of forms for applications, management tools, program requirements and other SGP documents.
- Advise potential beneficiaries on topics for the technical preparation of projects and report to the National Coordination and the National Steering Committee on the development of activities, as required.
- Provide ongoing assistance to new projects, projects already approved and executors / participants of the beneficiary projects, as required.
- Assist the National Coordination in the implementation and monitoring of projects, including participation in field visits.
- Organize promotional events, workshops, worktables for the SGP, missions for the National Coordination and other events.
- Maintain contacts with NGOs, governmental institutions, donors, other SGP allies and participate in events to promote information on the PPD.
- Prepare draft progress reports and additional reporting material for the Central Office of the SGP , UNOPS and the UNDP country office; and assist the National Coordination in the preparation of semi-annual and bi-annual progress reports.
- Draft articles, publications, speeches, letters, memos and other documents on behalf of the National Coordination. Respond to inquiries related to the PPD.
- Create and maintain the SGP project and stakeholder database.

- Maintain and update information on the SGP website, the SGP global database, and the UNDP country office website.
- Support and assist the National Coordination as and when necessary.

Financial Management

- Review and process payment requirements by projects and suppliers, obtaining the necessary accreditations and authorizations; guarantee the realization of payments on time.
- Maintain the financial integrity of the program inside and outside the UNDP country office; implement and monitor an accounting system and databases of the national operational budget of the SGP.
- Prepare and maintain a table and a disbursement schedule.
- Review financial reports sent by the projects and advise the National Coordination, as required.
- Make draft proposals of the administrative budget.

Qualifications and Experience

a. Education

- A high school diploma with additional experience is required. University degree, preferably in Business Administration or an environmental science field may be accepted in lieu of work experience. .

b. Work Experience

- At least 5 years of relevant experience in office management, including financial reporting.
- Fluency in the official national language and English is required. Knowledge of other UN languages is considered asset.
- Proficiency in standard computer software (word-processing, excel, presentations, databases and internet)

National Steering Committee

Selection procedure

The delegates will send their CV to the SGP office, that will evaluate the profiles and give a recommendation to the UNDP Resident Representative, who will send the information to the program headquarters. The SGP will announce who is the NSC representative for each territory.

Functions and duties of the NSC

The main functions and responsibilities of the NSC include:

- Approve the National Program Strategy
- Evaluate the work of the National Coordination.
- Review and approve the project proposals associated with SGP by NGOs / CBOs that have been prioritized in the landscapes.
- The members of the NSC are invited to participate actively in field visits and activities in the monitoring and evaluation of the projects, as well as technical assistance and advice to them.
- It is also expected that the delegates of each territory give feedback to the progress of the bio-enterprises initiatives in the selected landscapes.

Term of office and appointment of members of the NSC

- The members of the NSC provide their voluntary support without financial compensation. The SGP may provide reimbursement of travel expenses for distant projects and national meetings.
- The members of the NSC are appointed by the UNDP Resident Representative in consultation with the NC. Appointments to the NSC are subject to ratification by the UNDP / GEF. Members can also be removed from the NSC by the UNDP Resident Representative if there is a cause.
- The SGP National Coordinator serves ex officio in the NSC, participating in the deliberations but without voting in the selection process of the projects. The NC will also act as Secretary of the NSC.
- The duration of each member's appointment to the NSC will be until the end of the OP7. If a member fails to fulfill a full term in its office, a new member must be appointed to the territory.

NSC members Profile

- The NSC should have representatives of the civil society to advise in the project development in the 9 territories for the OP7. The selection of each of the members will oversee UNDP / GEF in a proposal of between 3 and 5 candidates for each territorial landscape.
- Members must represent civil society and must at the same time ensure gender equity and representativeness in the NSC. Therefore, it is expected to have representatives of women's groups, indigenous groups, Montubios, universities, ecologist NGOs, development NGOs, etc.
- Members must provide prove of superior studies and work experience.

Meetings and Rules of the CRC

- The NSC meets at least twice a year, for the selection of projects and the accountability and evaluation of the NC. Some decisions may be made through email.
- For each meeting, the NSC will nominate a moderator from among its regular members. The moderator directs the meetings of the NSC adopted agenda and facilitates the process of consensus in the deliberations of the NSC.
- To the extent possible, the NSC operates based on consensus instead of formal majority selection. Before any deliberation or substantive determination, the NC and the members of the NSC have been proposed and specific rules and procedures have been adopted for the deliberations.
- The NC prepares the minutes of meetings and signatures at the end of each meeting by all attendees.
- The decision of the NSC about each project should be clearly marked, including any reform required before final approval. The list of projects must include the approved budget amount. The minutes must be signed by all the members present of the NSC.
- The NSC should review the proposals for a project to reform or adjust after having been provisionally approved by the NSC, before the UNDP Resident Representative for the signature of the MOA. A formal meeting is not required.

Annex D: Stakeholder Engagement Plan

Output	Activities	Timing	Objective	Location	Stakeholders
	<i>SGP National Steering Committee workshop</i>	At project launch	Present the project outlines and methodology. Grant's selection areas and strategic guidance will be a focus activity	Quito – Ecuador	<i>SGP National Steering Committee and SGP office.</i>
	<i>M&E and SGP workshop</i>		M&E strategy outline.		<i>M&E NGO and SGP office.</i>
	<i>Regional inception workshops</i>	Year 1 – 1 month	Establishment of shared understanding of project objectives, roles and responsibilities. Multistakeholder mapping.	Quito Cuenca Tena Santa Elena	Provincial stakeholders: Ministry of Environment, Socio Bosque Program, private sector and M&E team.
O.1/O.4.2	<i>Land cover mapping and communitarian agreements</i>		SGP with local teams will be georeferencing land cover uses and validating areas for conservation regarding the bio-enterprises engagement plan.	Quito Cuenca Tena Santa Elena	Local stakeholders: Socio Bosque Program partners, new partners, local actors (Universities, private sector, foundations) and technical teams from Decentralized autonomous government.
O.2.1	<i>Bio-enterprises identification</i>		Social enterprises from Socio Bosque Program gather to map the possibilities and barriers for Multistakeholder networks for bio-enterprises	Quito Cuenca Tena Santa Elena	
O.2.2	<i>Bio-enterprises strategy developed</i>	Year 1 – 3 months	A comprehensive strategy is developed in conjunction with national actors and the SGP office that includes the conformation or strengthening activities for bio-enterprises	Quito	Bio-enterprise NGO experts, Socio Bosque Program, SGP office and M&E team.
O.3	Direct consultation and women representation	Year 1	M&E activities as well as an initial direct consultation takes place in the territories to ensure participation and data collection	Quito Cuenca Tena Santa Elena	Local stakeholders: Socio Bosque Program partners, new partners, local actors and M&E team.
O.4.1	Promotion of improved agroecological land management practices and conservation in targeted landscapes.	Year 1	1 Community-Based Natural Resources Management is created and validated in the local intervention landscapes	Quito	Local stakeholders: Socio Bosque Program, M&E team and SGP office.
O.5	Innovative products are determined based on	Year 1	Products from the selected landscapes and identified to be strengthened under the bio-enterprise strategy. These	Quito Cuenca Tena	Bio-enterprise NGO experts, Socio Bosque Program, SGP office and M&E team.

Output	Activities	Timing	Objective	Location	Stakeholders
	communitarian production and initial consultation		products will undergo different processes to ensure innovation in production or commercial areas.	Santa Elena	
O.6	<i>GreenCrowds platform campaigns</i>	Year 1 – 2	Create and carry out an integral strategy to boost 4 campaigns for crowdfunding of social projects to develop new partnerships.	Quito	Bio-enterprises selected during initial consultations and SGP office
O.7	<i>Communitarian based consultations to identify bio-enterprise networks</i>	Year 1	Multi-stakeholder bio-enterprise networks selected with community base consultations	Quito Cuenca Tena Santa Elena	30 associations from Socio Bosque Program, SGP office and M&E team
O.8.1	<i>Value chain strategy developed</i>	Year 2	Launch a strategy that will promote and articulate biodiversity conservation across selected landscapes in consultation with national actors and other network partnerships	Quito	Socio Bosque Program, NGOs, foundations, (Universities, private sector, foundations) and other governmental partners.
O.8.2	<i>Value chains strengthened</i>	Year 2	Value chain strengthening actions take place during project execution to improve bio-enterprise capacities for marketing and biodiversity conservation leading to socio-ecological resilience	Quito Cuenca Tena Santa Elena	Bio-enterprises selected during initial consultations, Bio-enterprise NGO experts, SGP office and M&E team
O.9	<i>Markets identification</i>	Year 2	After the bio-enterprise conformation and value chain strengthening, new markets will be identified for the bio-enterprises in the selected landscapes.	Quito	Bio-enterprises selected during initial consultations, Bio-enterprise NGO experts, SGP office and M&E team

Annex E: Gender Analysis and Action Plan

Project objective: Enable community networks to build social, economic and ecological resilience through bio-enterprises in nine landscapes located in the coastal, highlands and Amazon region for global environmental benefits and sustainable development.						
Outcome 1: Community bio-enterprises are strengthened in the targeted landscapes with improved market access.						
Gender related output: Improving the management and technical capacities of producers, processors and local product formulators with gender mainstreaming focus						
Project output 1: Community bio-enterprises promote improved agroecological land management practices and conservation in targeted landscapes.						
Project-level activity or Gender-related activity	Indicator	Target	Baseline	Data Source/Reporting Mechanism	Timeline	Responsibility
The CBNRM strategy considers gender-related labor responsibilities to ensure women participation and direct benefits from land use and leadership.	Comprehensive socio-ecological baselines completed for each landscape and gender related gaps are identified	1 strategy includes gender-related labor responsibilities	PIT strategy for OP6 includes Gender related responsibilities disintegration	Baseline assessment	1 year	SGP / bio-enterprise support team / M&E NGO
Establish a database of female engineers/technicians. The database could be developed in collaboration with relevant stakeholders, such as associations or governmental parties.	Number of databases in the landscape	1 database for each territory (4 in total)	Socio Bosque Program (SBP) has a partner mapping that includes gender disintegration	SBP information, M&E Reports	2 years	SGP / bio-enterprise support team
Women know the rights over their land and resources and security of tenure. Strong local organizations with a gender approach, such as forest-farmer groups and inter-village networks are strengthened to promote labor efficiency and equity.	Number of women participating in workshops that include rights over land and resources related to CBNRM strategy.	At least 50% of participants are women	Women have an 80% of participation in workshops during OP6	M&E Reports	2 years	SGP / bio-enterprise support team

Project output 2: Community bio-enterprises conserve and add value to biodiversity resources through the development of innovative products						
Integrate gender considerations in trainings and training materials (e.g., through; presentation of sex-disaggregated data and visuals of women and men where applicable; presentation of different effects of chemicals on women and men).	Number of capacity building activities developed integrating priorities and needs of women and youth	At least 1 activity inside the technical assistance strategy is focused on gender related issues	Socio Bosque Program (SBP) has a partner mapping that includes gender disintegration	M&E Reports	2 years	SGP / bio-enterprise support team
Project output 3: Innovative financial mechanisms, like crowdfunding, strengthen bio-enterprises and develop new partnerships						
Integrate gender-considerations in project campaigns, procure the leadership and creation of campaign proposals from women. Advocate among beneficiary companies/bioenterprises for the employment of female engineers/women in technical positions.	Number of campaigns led by women and youth	At least 2 GreenCrowds campaigns are led by women and youth	During OP6, 50% of GreenCrowds initiatives were led by women.	M&E Reports	2 years	SGP office
Outcome 2: Multi-stakeholder bio- enterprises platforms/networks strengthened in place for improved governance of selected landscapes to enhance socio-ecological resilience for effective participatory decision making to achieve landscape resiliency						
Gender related output: Gender is adequately incorporated into bio-enterprises networks, especially directed to improve governance and leadership training for women to improve decision making.						
Project output 4: Multi-stakeholder bio-enterprise networks established and/or strengthened in selected landscapes.						
Women receive support in representing their needs and interests in decision making processes.	Number and percentage of women represented in each platform	At least 50% membership of women in platforms	n/a	Meeting and M&E reports	2 years	SGP / M&E team

Through women inclusive participation in projects' management, this output seeks to raise awareness among communities about gender roles within their landscapes.	Percentage of women and youth participation in bio-enterprises The number of women business associations participating as bio-enterprises	Bio-enterprises have at least 50% women and youth participation At least 2 bio-enterprises were created considering women business	During OP6, women participation and leadership was comprised of 70% of the Biocorridor projects	M&E Reports	2 years	SGP / bio-enterprise support team
Project output 5: Bio-enterprise networks develop value chain strategies to promote and articulate biodiversity conservation and sustainable production across selected landscapes						
Support efforts towards enhancing women's confidence, including engaging in leadership positions. Identifying female role models in the sector will help women, especially young women, to gain more confidence and raise their awareness of employment opportunities in the sector.	Percentage and number of projects led by women and youth	At least 5 bio-enterprises are led by a woman leader or woman project manager	52% of the projects are coordinated by women (bio-corridors)	M&E Reports	2 years	SGP / bio-enterprise support team
To counteract gender-based stereotypes it is important to include material to create awareness with private sector representatives.	Number of good practices/lessons learned considered to implement the private sector strategy (PCS)	At least 2 gender-related practices are included in the PCS	Women participate actively in networking events	M&E reports	2 years	SGP / bio-enterprise support team
Project output 6: Bio-enterprise networks identify and access new markets within and across landscapes and at a regional and national level.						

Expanding local and international markets for bio-enterprise products are aiming to increase the incomes of the population in rural areas with majority of women household leaders. These income generating activities derived from production chains strengthened that promote the participation of women in decision-making.	Number of women benefiting from income-generating activities	80% of women participants report benefits from income generating activities	280 women from all Biocorridors are developing and producing Products with Territorial Identity. 120 women are promoting organic family farms in their projects.	M&E reports	2 years	SGP / M&E team
Drafting and disseminating success stories about women engaged in opening new markets and niches could prove beneficial to engage new women leaders to participate and insert themselves in new opportunities.	Number of media publications created around women bio-enterprise involvement Lessons learned from gender mainstreaming that captured in the analysis	At least 5 media publication are available	Publications and media coverage were held in the social media pages of SGP/GEF	List of media publications	2 years	SGP / M&E team
Outcome 2: Technical assistance and monitoring and evaluation program implemented through regional ONGs						
Gender related output: Participatory monitoring and evaluation that captures gender-related progress/impact on men and women, and respective challenges in quantitative and qualitative ways.						
Project output 4: Technical assistance and monitoring and evaluation program implemented through a regional NGO						
Collect quantitative data in sex-disaggregated format on labor work and in the development of innovative products.	Number of M&E instruments that include sex-disaggregated formats	1 tool is created inside SIMONAA to report quantitative data in sex-disaggregated format	SIMONAA considers gender indicators	SIMONAA document	1 year	SGP / M&E team

Implement efforts towards gender-balance among recruited consultants for M&E purposes.						
Ensure consultants and project personnel engaged in M&E have the required gender competence to reflect on progress and challenges related to gender, and how this connects with achieving the overall project results.	Number of personal engaged in M&E with gender competences	At least 1 member of the M&E team is required to have proved gender competences	M&E teams during OP6 required that teams have gender competences and the gender manual was delivered to them	TORs for the selection process	1 year	SGP



ANNEX F: List of people consulted during project development

Bio-enterprise workshops – Ministry of Environment (MAE)

- Alfredo Lopez - Undersecretary of Natural Heritage
- Santiago Kingman – Socio Bosque Program Director
- Miguel Arias – technical support
- Veronica Quitiguina - Program of Support to the National System of Protected Areas - technical support
- Pablo Andres Drouet Torres- Program of Support to the National System of Protected Areas - Director
- Rene Prieto – technical support
- David Canas – technical Support
- Marcela Torres – technical support
- David Alejandro Veintimilla Yáñez – technical support
- Catalina Tapia - technical support
- Jessica Estefania Coronel – technical Support

UNDP - EC

- Fernanda Gonzalez – Program assistant
- Monica Andrade – Responsible for the Environment and Energy Area

NSC members:

- Maria Andrade, intercultural and gender specialist (2008 – 2018) – Active
- Juan Aviles, Local Government Municipality of Archidona, Amazon Region representant (2012 - 2018) – Active
- Myriam Paredes, FLACSO University representant (2012 – 2018) - Active
- Guillermo Molina, Universidad Estatal del Sur de Manabi, University Representant (2013 – 2018) – Active
- Monica Andrade, Environment and Energy Coordinator, UNDP Ecuador (2017 – 2018) – Active
- Vicente Polit, CEDENMA, Civil Society representant (2017 – 2018) – Active

Other partners

- Jorge Idrobo - Consultant in Markets and Incentives for Sustainable Production for the Ecuadorian Amazon
- Juan Carlos Gonzales - technical support Proamazonia
- Miriam Factos – GIZ

Communitarian consultations through Socio Bosque Program:

Landscape	Individual or communitarian member	Agreement number	Hectares	Beneficiary	People
Yaku samay	I	MAE-PSB-I-2008-C-006-I	17.02	TAPUY VARGAS	5
	C	MAE-PSB-II-2009-C-008	11000	PUEBLO KICHWA RUKULLACTA	100
	C	MAE-PSB-I-2008-C-007	1283.14	COMUNIDAD KICHWA WAMANI	400
	C	MAE-PSB-II-2014-C-011	554.52	COMUNIDAD KICHWA PUCUNO CHICO	140
WAO	C	MAE-PSB-I-2011-C-007	24229.98	NACIONALIDAD WAORANI DEL ECUADOR	150
Taisha	I	MAE-PSB-I-2011-I-138	92.9	QUEZADA CUENCA	4
	I	MAE-PSB-I-2010-I-082	150.07	LEON MOLINA	5
	I	MAE-PSB-II-2012-I-152	87.17	ORELLANA MOLINA	56
	I	MAE-PSB-II-2012-I-153	137.85	ORELLANA MOLINA	8
	C	MAE-PSB-II-2015-C-013	4298.48	COMUNIDAD SHUAR WISUI	50
	C	MAE-PSB-II-2012-C-010	1693.2	KANKAIM SUR	48
	C	MAE-PSB-II-2014-C-023	3867.49	CENTRO SHUAR ACHUAR SETUCH	50
	C	MAE-PSB-II-2014-C-015	4079.3	CENTRO ACHUAR MASHUMAR	50
		TOTAL	51491.12		
Esmeraldas	C	MAE-PSB-I-2008-C-002	7282.77	COMUNA PLAYA DE ORO	250
Chongon	I	MAE-PSB-I-2011-I-019	31.11	BRIONES BAQUE	5

	I	MAE-PSB-I-2010-I-087	21.38	MAGALLAN TOMALA	9
	C	MAE-PSB-I-2013-C-014	572.08	SAN FRANCISCO DE LAS NUNEZ	50
	C	MAE-PSB-II-2012-C-003	1284.94	COMUNA OLON	180
	C	MAE-PSB-I-2011-C-009	2840.01	DOS MANGAS	630
	C	MAE-PSB-I-2012-C-020	1102.67	COMUNA SINCHAL	50
	C	MAE-PSB-I-2014-C-014	1101.57	COMUNA BARCELONA	350
	C	MAE-PSB-II-2010-C-006	3218.58	COMUNA LOMA ALTA	200
Portoviejo Sancan	I	MAE-PSB-I-2011-I-051	221.64	DUEÑAS ARGANDONA	14
	C	MAE-PSB-I-2012-C-009	1549.25	COMUNA BAJO DEL PECHICHE	200
	C	MAE-PSB-III-2009-C-011	1483.57	COMUNA LA PILA	140
	C	MAE-PSB-I-2013-C-004	1299.84	COMUNA BAJO DE AFUERA	200
		TOTAL	22009.41		
Zuleta Sur	C	MAE-PSB-I-2012-C-003	1301.87	ASOCIACION DE TRABAJADORES AGRICOLAS GALLO RUMI	57
	C	MAE-PSB-III-2009-C-007	2387.54	COMUNA ZULETA	600
Chimborazo Sur	C	MAE-PSB-I-2012-C-002	683.68	ASO. TRAB. AUTONOMOS CHORRERA MIRADOR ALTO	65
	C	MAE-PSB-III-2009-C-004	1943.96	ASOCIACION COFRADIA HUACUPAMBA	65
	C	MAE-PSB-II-2012-C-008	316.31	LA ASOCIACION DE TRABAJADORES AGRICOLAS Y	100

				GANADEROS GANQUIS CUILOMA	
Condor	I	MAE-PSB-II-2013-I-053	826.93	CUZCO AGUALSACA	5
	I	MAE-PSB-II-2010-I-364	50.22	OJEDA TAMAY	36
	I	MAE-PSB-II-2010-I-013	40.03	ANGAMARCA	5
	I	MAE-PSB-II-2010-I-345	34.05	ZHIBRI PULI	6
	I	MAE-PSB-II-2010-I-313	35.67	TAMAY	5
	I	MAE-PSB-II-2014-I-174	46.22	ROMERO TENELEMA	12
	I	MAE-PSB-II-2014-I-165	31.35	APUANGO PAUZH	54
	I	MAE-PSB-II-2010-I-363	46.5	OJEDA FERNANDEZ	7
	I	MAE-PSB-II-2015-I-058	49.46	ZUMBA ANGAMARCA	11
	I	MAE-PSB-II-2010-I-362	42.02	SUMBAY OJEDA	2
	I	MAE-PSB-II-2010-I-035	43.65	AVILA AVILA	21
	I	MAE-PSB-III-2009-I-129	57.66	PESANTEZ SINGUENZA	5
	I	MAE-PSB-II-2012-I-050	9.45	CAZHO QUIZHPI	23
	I	MAE-PSB-I-2014-I-014	17.68	OCHOA	12
	I	MAE-PSB-II-2013-I-097	20.12	MUNOZ CARDENAS	21
	I	MAE-PSB-II-2014-I-080	4.47	CALLE GUAMAN	8
	I	MAE-PSB-II-2012-I-210	77.5	ZHININ GUAMAN	16
	I	MAE-PSB-II-2012-I-130	38.25	MAINATO GUAMAN	5
	I	MAE-PSB-II-2012-I-129	76.55	MAINATO CHUMA	5
	I	MAE-PSB-II-2012-I-209	76.17	ZHINN ACERO	5
	I	MAE-PSB-I-2013-I-002	37.83	ACERO GUAMAN	4
	I	MAE-PSB-I-2013-I-073	38.24	GUAMAN ZHININ	21
	I	MAE-PSB-II-2012-I-107	38.17	GUAMAN ZHININ	6

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	C	MAE-PSB-II-2010-C-001	742.54	ASOC. TRABAJADORES CEBADA LOMA	285
	C	MAE-PSB-I-2012-C-025	1499.92	COOPERATIVA SAN ANDRES DE MALAL	44
		TOTAL	10614.01		
Consultation – baseline identification		Total hectares	84,114.54	Total Socio Bosque members	4,855

Annex G: UNDP Risk Log

#	Description	Date Identified	Type of risk	Impact & Probability	Countermeasures / mitigation response	Owner	Submitted, updated by	Last Update	Status
1	Maintaining good coordination with the territorial governments is a big challenge. The relationship between government and civil society was weak during GEF-5 and ameliorated during GEF-6 by establishing a direct channel of communication. It is possible that the execution period of the project coincides with the period of regional elections and political parties, and they could fail to maintain previous agreements with the civil society.	During OP6, SGP project design coincide with the political sectional election, leading to delays in the process.	Political: Political instability	P = 2 I = 4	Strengthen joint projects across communities and landscapes with beneficial effects for all stakeholders. Meetings of potentially problematic RWGs or BWGs will be avoided until the electoral period is past.	Ministry of Environment as a key stakeholder for meetings will be crucial in the process	SGP – national coordination office	January 2019	No change
2	Extractive activities such as mining in areas such as Intag cause high conflict among the communities living there and the government. Furthermore, the Ministry of Agriculture, which regulates agricultural policy in Ecuador, has an opposite approach to biodiversity conservation, seeking mass production instead of sustainability.	During OP5 these areas were identified and prioritized based on the biodiversity importance.	Environmental: Loss of biodiversity and unsustainable use of natural resources	P = 4 I = 2	Multi-stakeholder landscape bio-enterprises will identify and incorporate necessary mitigation measures when required. SGP seeks to strengthen conservation actions through joint projects with beneficial effects for all stakeholders and strengthen territorial agreements legitimizing interventions with Local Governments and training in communities.	SGP office and the M&E team will act as conduits to	SGP – national coordination office	January 2019	No change
3	Weak development of domestic products and structural difficulties in	The OP6 phase included a comprehensive plan	Regulatory: New unexpected	P = 3	A strategy to counter this risk is to develop market research partnerships with	SGP office and bio-	NGO In Terris/Talent Management	February 2019	No change

	access to markets by state control and public adverse regulations.	to promote products with territorial identity. During project design the NGO detected this risk.	regulations, policies	I = 4	universities and technical assessment to improve quality processes in production. The new adapted methodology for bio-enterprises will take place during this phase, effectively reducing these risks.	enterprises support group			
4	Associations lose motivation because of an economic crisis in the country.	2017-2018 was crucial for the political context of Ecuador. New economic decisions were taken to ensure the new development plan for Ecuador.	Financial: External factors	P = 3 I = 3	SGP will raise the dynamics of management with youth and women through training processes and complementarity of production projects with international cooperation	SGP office and the M&E team will act as conduits to	M&E NGOs in the territories	May 2019	Decreasing
5	There could be cases where stakeholders commit to support the process and during its implementation, they do not engage with the activities that are their responsibility. This brings difficulties in co-financing.	OP5 and OP6 worked under a multistakeholder platform that provided accurate information about stakeholder involvement and cofinancing.	Strategic: partnerships failing to deliver	P = 2 I = 4	Disclosure of information, consultation and participation, monitoring, evaluation and learning throughout the project cycle should address grievances, and on-going reporting to stakeholders through the M&E System and direct contact with the SGP office.	SGP office and the M&E team will act as conduits to	M&E NGOs in the territories	May 2019	No change

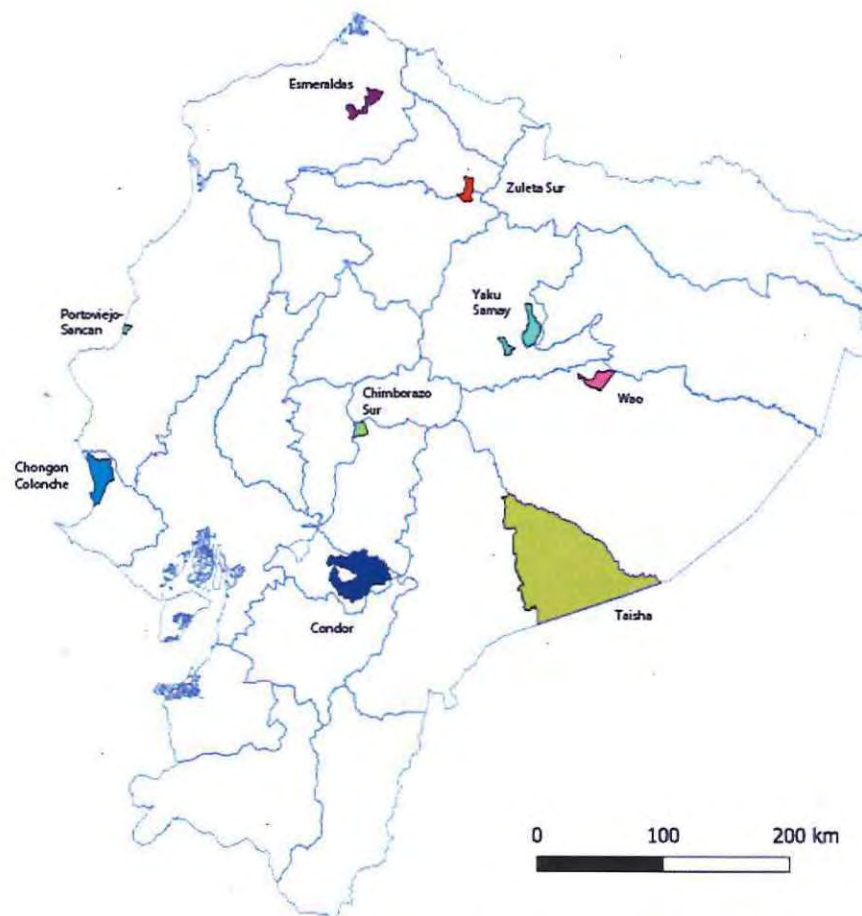
Annex H: Co-financing letters (separate annex)

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Annex I: UNDP Project Quality Assurance Report (to be completed in UNDP online corporate planning system by UNDP Country Office)



Annex J: Project Map and geospatial coordinates of the project area



Seventh Operational Phase of the GEF
Small Grants Program in Ecuador

Project map

Prioritized areas

- Esmeraldas
- Zuleta Sur
- Yaku Samay
- WAO
- Chimborazo Sur
- Taisha
- Condor
- Chongon Colonche
- Portoviejo - Sancan

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Annex L: UNDP Social and Environmental Screening Procedure

Project Information

Project Information	
1. Project Title	Seventh Operational Phase of the GEF Small Grants Program in Ecuador
2. Project Number	6255
3. Location (Global/Region/Country)	Ecuador

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

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

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

The SGP/GEF Ecuador strategy recognizes the key actors for the implementation of the bio-enterprise methodology, considering their own development objectives (at the local, territorial and national level) built upon the multistakeholder approach rather than delivering individual funding. Community level organizations are the key actors for design and implementation of bio-enterprise projects within an overall strategic landscape management framework they participate in developing. This process is monitored, accompanied and evaluated periodically to comply with the proposed objectives and implementation-quality. The project is designed to take into considerations their needs, rights, obligations and knowledge, whereas they systematize this process with the M&E system and communication strategy.

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

Gender has been considered throughout this project's design and will be during so implementation. The project will prioritize work with women's groups and youth for the development of bio-enterprise projects as well as cross initiatives, such as the scholarship funds and GreenCrowds. By empowering women in the bio-enterprise projects, women become leaders with a power of decision on community agreements. Their involvement contributes meaningfully to the family's economy as they represent a key role in agricultural activities. Therefore, the integration of gender in the new methodology for bio-enterprise products will be a cross cutting approach in community projects. Women have increased their incomes, they have been involved in the activities for the Bio-corridor conservation, and they have involved other women in economic and ecological efforts.

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

The premise of the GEF Small Grants Program is that communities will adopt environmentally sustainable practices that lower their additional costs by mitigating possible risks to their current production and livelihood systems. The SGP finances community organizations to design and implement sustainable development bio-enterprise projects under a multistakeholder approach that also produce global environmental benefits.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks?		QUESTION 3: What is the level of significance of the potential social and environmental risks?		QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High
Risk Description	Impact and Probability (1-5)	Significance (Low, Moderate, High)	Comments	Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.
The communities' efforts to conserve biodiversity and manage land sustainably may decline due to prolonged drought and/or severe storms (floods). Extreme weather/climate events can lower their interest in the project's environmental priorities as their top priority is income generation and family care.	I = 4 P = 3	Moderate		SGP's overall objective is to increase socio-ecological resilience in the target land/seascapes, therefore, several activities are designed to improve the health of ecosystems and the adaptive capacity of communities. The risk of severe weather events, in particular long periods of drought, is ever present and SGP will ensure that community project initiatives take into consideration such climate risk-informed and identify the means to mitigate them at the project design stage. Criteria for the formulation of projects will be defined and clearly communicated to prospective proponents to address any latent environmental threat. The SGP will ensure that this commitment is fulfilled during project execution.
Low initial capacity and awareness of local NGOs and CBOs may negatively influence the growth in capacities and sustainability of community organizations.	I = 3 P = 2	Moderate		Risk mitigation systems in place will be strengthened to maintain or improve CBO and NGO capacities. The Ecuador SGP Country Programme works with all grantees to help build capacities by identifying appropriate rates of disbursement, linking grantee partners to learn from each other (peer-to-peer), and working in a flexible manner that responds to the strengths and comparative advantages of grantees. The SGP Country Programme also reduces risk by supporting replication of good practices that have proven to deliver on GEF strategic priorities at the community level. The National Steering Committee (NSC), with representation from civil society leaders, government institutions, and donors, further provides support to community organizations for effective design and implementation of SGP-financed projects. Please see Annex D for the Stakeholder Engagement Plan. SGP conducted a screening process with the principal stakeholders and had access to all the necessary information to determine the focus area of intervention and actor-mapping prior to project design. Working with programs in the field that support communities with incentives and technical assistance to identify the design of the project and monitor progress. SGP will work in this area with communities in a coordination strategy with a multi-stakeholder methodology.
Community-led projects in environmentally sensitive areas could	I = 4	Low	Note that all community projects	All the appropriate stakeholders with technical support and consultation were taken into consideration during project design, but new actors will be called for

lead to biodiversity loss and/or land degradation; these include harvesting of non-timber forest products, reforestation, or harvesting of fish or other aquatic species.	P = 1		are vetted by the SGP National Coordinator and NSC, as well as ad hoc technical experts, as needed	specific activities such as core areas for conservation and sustainable market research.
Indigenous peoples could feel that they have been insufficiently consulted or engaged in development of their projects	I = 5 P = 1	Low	No proposals are accepted or approved without thorough review by the NC and NSC of consultations and participation of proponent organizations and communities. Please see the Stakeholder Engagement Plan in Annex D.	
Multi-stakeholder platforms require a significant investment of time and commitment of all its members to function effectively, prevent elite capture and build social cohesion	I = 3 P = 2	Moderate		The benefits of an effective multi-stakeholder platform will be defined and conveyed to all participants at the programme inception phase, to ensure that they are willing to invest time with programme activities.
Communities may not benefit from CSO-private sector partnerships for upscaling initiatives due to failure to produce equitable benefits for both parties.	I = 2 P = 2	Moderate		SGP will enable continued dialogue between CSOs and the private sector/enterprise and will share positive examples of successful partnerships where both parties benefit. SGP has a mandate that all projects have a counterpart in cash or in-kind for the same delivered amount. SGP is also looking for new kinds of joint programs to adhere to this intervention in Ecuador, such as: PROAMAZONIA, Heifer, CIESPAL and private enterprise with GreenCrowds.
Political instability may have a negative impact on communities, thereby affecting their resource mobilization, the implementation of community activities, and the sustainability of project objectives.	I = 3 P = 2	Moderate		SGP plans to mitigate these risks through the continuous efforts of the NC, NSC members and SGP team to encourage more civil society organizations to be engaged with the Programme due to its significant role in the national development process – in partnership with the state and the private sector – as a result of their experience in welfare and social development programs.
The project could reproduce gender-based discrimination against women assuming leadership or other	I = 3 P = 1	Low	No proposals are accepted or approved without thorough review by the NC and	



important roles during project design and implementation			NSC of the quality of consultations and participation of proponent organizations and communities. Please see Annex E for the Gender Analysis and Action Plan.	
	QUESTION 4: What is the overall Project risk categorization?			
	Select one (see SESP for guidance)		Comments	
	Low Risk			
	Moderate Risk		X	The project builds on more than 25 years of SGP experience in Ecuador and the established programming, governance and operational mechanisms of the Country Program. UNDP sits on the National Steering Committee of the Country Program which reviews the country strategy, project eligibility criteria and proposals for approval. Other NSC members include the Ministry of Environment, academy, civil society organizations, including representatives of indigenous peoples, women and other rural actors.
	High Risk			
	QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?			
	Check all that apply		Comments	
	Principle 1: Human Rights		X	SGP conducted a screening process with the principal stakeholders and had access to all the necessary information to determine the focus area of intervention and actor-mapping prior to project design.
	Principle 2: Gender Equality and Women's Empowerment		X	A specific strategy ensures equitable development and sustainability. The project has a strong gender and generational strategy in place to ensure participation and strengthening of women and youth groups.
	1. Biodiversity Conservation and Natural Resource Management		X	The SGP expressly finances projects to conserve and use biodiversity sustainably. The bio-enterprise projects sign a MOA document where they specifically show that they will not contravene any national or international obligation. At the same time, SGP and the Ministry of Environment will ensure that these communities fulfill these commitments through their own M&E systems called "SIMONAA" that is the monitoring system that procures the examination and evaluation of the process. This system along

			with the georeferenced monitoring in place will ensure that special conservation and mitigation measures are in place where necessary.
	2. Climate Change Mitigation and Adaptation	<input type="checkbox"/>	
	3. Community Health, Safety and Working Conditions	<input type="checkbox"/>	
	4. Cultural Heritage	<input type="checkbox"/>	
	5. Displacement and Resettlement	<input type="checkbox"/>	
	6. Indigenous Peoples	<input checked="" type="checkbox"/>	Priority is given to vulnerable areas with indigenous people. The staff of Socio Bosque has helped with this identification, and it was one of the selection criteria for landscapes in the project. At the same time, ICCA methodology ensures indigenous participation as one of its key principles to mitigate possible risks.
	7. Pollution Prevention and Resource Efficiency	<input type="checkbox"/>	

Final Sign Off

Signature	Date	Description
QA Assessor – Diana Salvemini		UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have “checked” to ensure that the SESP is adequately conducted.
QA Approver – Stephen Gold		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have “cleared” the SESP prior to submittal to the PAC.
PAC Chair – Matilde Mordt		UNDP chair of the PAC. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks	
Principles 1: Human Rights	Answer (Yes/No)
1. Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
2. Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ³⁶	No
3. Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
4. Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	No
5. Are there measures or mechanisms in place to respond to local community grievances?	Yes
6. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
7. Is there a risk that rights-holders do not have the capacity to claim their rights?	No
8. Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
9. Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
Principle 2: Gender Equality and Women's Empowerment	
1. Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No
2. Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
3. Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	No

³⁶ Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

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

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Standard 2: Climate Change Mitigation and Adaptation	
2.1 Will the proposed Project result in significant ³⁷ greenhouse gas emissions or may exacerbate climate change?	No
2.2 Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	No
2.3 Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
Standard 3: Community Health, Safety and Working Conditions	
3.1 Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2 Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.3 Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4 Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5 Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6 Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7 Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8 Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9 Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
Standard 4: Cultural Heritage	
4.1 Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.2 Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No

³⁷ Regarding CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

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Standard 5: Displacement and Resettlement	
5.1 Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2 Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3 Is there a risk that the Project would lead to forced evictions? ³⁸	No
5.4 Would the proposed Project possibly affect land tenure arrangements and/or community-based property rights/customary rights to land, territories and/or resources?	No
Standard 6: Indigenous Peoples	
6.1 Are indigenous peoples present in the Project area (including Project area of influence)?	Yes
6.2 Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	Yes
6.3 Would the proposed Project potentially affect the rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)?	No
6.4 Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.4 Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	Yes
6.5 Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.6 Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.7 Would the Project potentially affect the traditional livelihoods, physical and cultural survival of indigenous peoples?	No
6.8 Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
Standard 7: Pollution Prevention and Resource Efficiency	
7.1 Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
7.2 Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No

³⁸ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

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

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