



United Nations Industrial Development Organization

TERMS OF REFERENCE (TOR)

Title: Development of a methodological framework for incorporating ecosystem-based adaptation in the process of planning and management of protected areas in Peru

CTCN request reference number: 2016000015

Country: Peru

1 BACKGROUND INFORMATION

The Climate Technology Centre and Network (CTCN) is the operational arm of the United Nations Framework Convention on Climate Change (UNFCCC) Technology Mechanism and hosted by the United Nations Environment Programme (UNEP) in collaboration with the United Nations Industrial Development Organization (UNIDO) and supported by 11 partner institutions with expertise in climate technologies.

The mission of the CTCN is to promote accelerated deployment and transfer of climate technologies at the request of developing countries for energy-efficient, low-carbon and climate-resilient development.

These requests for Technical Assistance (TA) are being submitted to the CTCN by the National Designated Entity (NDE) of the respective country. The scope of services under these Terms of Reference shall be executed based on a restricted solicitation process. By mandate, only accepted Members of the CTC Network are eligible to submit proposals and execute the required services to implement the response.

In case you are not a CTC Network member yet, you may bid for implementation of the technical assistance, subject to the condition that you submit your completed application for CTC Network membership before the bid closure and the same is acknowledged by the CTCN. Furthermore, the contract award – should your bid be selected – is conditional to your network membership application having been successfully approved by the Director of CTCN. Should the bidder partner with another institution to deliver the services described in these Terms of Reference, it is expected that the partner institution also joins the CTC Network.

The maximum estimated budget for this contract is USD 213,000 and is subject to a competitive bidding.

2 CONTEXT OF THE ASSIGNMENT

By ratifying the Paris Agreement, Peru made a commitment to implement its Nationally Determined Contribution - NDC, which has a mitigation and adaptation component. The NDC mitigation commitment seeks to reduce 20% of the country's projected GHG emissions by 2030, according to its national circumstances and capabilities. This goal could be increased by an additional 10% if international external financing is available, thus achieving a total of 30% of emission reductions by 2030.



United Nations Industrial Development Organization

Peru's NDC adaptation priorities aim to reduce the vulnerability in 5 thematic areas: water, agriculture, forests, fisheries and aquaculture, and health. For each thematic area, objectives and targets were developed. In addition; five cross-cutting areas where actions must be taken in order to address adaptation effectively were identified: disaster risk management, resilient infrastructure, poverty and vulnerable populations approach, gender approach, and private investment in adaptation to climate change. These adaptation goals seek to increase responsiveness, adaptation and resilience in the population and livelihoods. The Multisectoral Working Group for the implementation of the NDC (MWG-NDC) has approved methodological guidelines to identify gaps, measures, goals and indicators for adaptation in the prioritized thematic areas: water, agriculture, health, forests, fisheries and aquaculture. The process of the NDC implementation guides the understanding and homogenization of a risk management approach in a context of climate change. It also supports the establishment of institutional arrangements for the effective articulation of planning and investment, to improve the interaction with the development processes and climate for the sectors involved in NDC. It also aims to develop a baseline to monitor the implementation of NDCs in Adaptation to Climate Change.

In that context, working with the Ecosystem-based Adaptation (EbA) approach within the Natural Protected Areas (NPAs) is relevant, because it is directly related with the current NDC process being carried out in forests, and agriculture, both for adaptation and mitigation (also refers to water, which applies for adaptation). According to the definition provided in 2009 by the Convention on Biological Diversity, EbA is the use of biodiversity and ecosystem services as part of a broader adaptation strategy designed to help people adapt to the adverse effects of climate change.

The EbA approach is not entirely new in Peru, since EbA approach pilot projects in protected mountain or forest areas have already been implemented or are under implementation. The positive experience generated through the application of this approach has boosted interest and increased the willingness to incorporate the vulnerability and risks associated with climate change into planning instruments for protected areas, as well as to implement EbA strategies and measures in adaptation, recognizing the important role played by the ecosystems contained within NPAs as service providers. Despite the experience developed in Peru of implementing this approach, there is no manual in protected area management plans, that allows to identify and implement EbA measures in those protected areas. By consequence, it is necessary that the country might translate this experience into a systematic methodology with a view to including climate change and to guide their alignment to the NDC process.

The TA to be provided will help the National Service of Natural Protected Areas by the State (SERNANP) implement the EbA approach at the national level through the development of a manual for the consideration and inclusion of the climate change variable in the process of planning and management of NPAs in Peru. The manual will also describe the steps to be taken to identify a whole range of EbA measures. The EbA measures are expected to be aligned with the NDC process as well. For this purpose, a pilot application of the manual shall be carried out in four (4) NPAs along with a national training event on the application with a view to produce a final version of the manual. This manual will be used at the



United Nations Industrial Development Organization

national level in processes to update NPA master plans. The TA will also prepare an action plan for EbA measures in one NPA as a case study for SERNANP's and NPA's managers to eventually incorporate EbA in Peru's priority NPAs. The last output of this TA will be a diagnostic and recommendations in a form of a methodological approach to mainstream EbA in SERNANP's budgeting process.

3 OBJECTIVE OF THE CONTRACT

The aim of this TA is to develop a manual to integrate EbA approach into the management plans (master plans) of NPAs in Peru, aligned to the NDC process. The standardized manual that integrates EbA approach into the strategic, institutional and operational components of the master plans for NPAs and the administration plans managed by SERNANP will be provided.

Specifically, the objectives are to:

- Develop the manual to incorporate the EbA approach into the process of planning and management of NPAs in Peru. This manual must be an operational tool that supports the implementation of forest, agriculture and/or water NDC processes for mitigation and adaptation.
- Test the manual in four (4) NPAs and revise and finalize the manual.
- Integrate EbA measures into the action plan for the Cerros de Amotape National Park.
- Build capacities of NPA managers to incorporate the EbA approach into NPA planning and investment, aligned to the NDC process.
- Provide recommendations in the form of methodological approach on how to mainstream EbA approach into SERNANP's budgeting process.

Scope and activities of the proposed contracted services

Once this contract is signed, the CTCN will organize a kick-off call among all relevant parties involved in the request to introduce the Contractor to the NDE and Proponent, to present the activities, their timeline and clarify roles and responsibilities.

It is mandatory for the implementer(s) to allocate at least 1% of the budget to integrate a gender-approach to the activities. Please refer to the CTCN Gender Mainstreaming Tool for Response Plan Development for guidance at <https://www.ctc-n.org/technologies/ctcn-gender-mainstreaming-tool-response-plan-development>, and it must explicitly contribute to the implementation of the Gender and Climate Change Action Plan available at <http://www.minam.gob.pe/cambioclimatico/wp-content/uploads/sites/11/2015/12/PLAN-G%C3%A9nero-y-CC-16-de-JunioMINAM+MIMP.pdf>



United Nations Industrial Development Organization

The Contractor is expected to undertake the following activities:

Output 1: Development of implementation planning and communication documents

Activity 1.1:

- i) A detailed **work plan** of all activities, deliverables, outputs, deadlines, budget, responsible persons/organizations to implement the Response Plan.
- ii) A **monitoring and evaluation plan** using the CTCN template available at: <https://www.ctc-n.org/technical-assistance/introduction> (in English); including measurable, viable and relevant indicators.
- iii) One page description of intended outcomes and impacts from this TA drafted at initiation of implementation and revised at closure, filling the section 5 of the TA '**Closure and Data Collection Report**' template located at: <https://www.ctc-n.org/technical-assistance/introduction> (in English).;
- iv) A TA '**Closure and Data Collection Report**' using the template available at: <https://www.ctc-n.org/technical-assistance/introduction> (in English).

Deliverable 1:

- i) Work plan
- ii) Monitoring and evaluation plan
- iii) CTCN Impact Description
- iv) Closure and Data Collection report

Output 2: Development of a manual to incorporate the EbA approach into the process of planning and management of NPAs in Peru

Activity 2.1: Review of literature and experiences in planning and development of the EbA approach

Relevant documents to be taken into account for developing the draft version of the manual will be reviewed in this activity, as a conceptual framework. The following sub-activities need to be included, but not limited to, as the literature review:

1. Review of literature and experiences in the planning and development of EbA approaches at international levels
2. Review of the master plans and working documents of NPAs (such as Working document no. 14 "Planes maestros de áreas naturales protegidas que incorporan el factor climático" (NPA master plans incorporating the climate factor) (SERNANP, 2015), along with Working document no. 12 "Análisis de vulnerabilidad de las áreas naturales protegidas frente al cambio climático" (Analysis of the vulnerability of NPAs to climate change)
3. The review of recommendations from the previous experiences of the EbA Mountain and EbA Amazon projects



United Nations Industrial Development Organization

4. Review the value of ecosystem services to be also taken into consideration in Output 1 under the deliverable “CTCN Impact Description” and Output 4 in diagnostic and recommendation in mainstreaming EbA in budgeting processes
5. The review of programs and the planning and management instruments used in Peru’s NPAs and managed by SERNANP
6. Identification of objectives and actions (EbA approach) that need to be incorporated into the master plans of NPAs in response to climate change
7. Review of the operational model of the budget program for NPAs managed by SERNANP.
8. Review of the Gender and Climate Change Action Plan.
9. Review of the National Strategy for forest and climate change
10. Review of planning and public investment documents, which include the risk management under a climate change scenario for public investment projects.
11. Review of the NDC in adaptation and mitigation, to define how to align the EbA approach with the NDC process.

Activity 2.2: Development of draft version of the manual

Based on the results of activities 2.1, a manual on the integration of EbA in the NPAs will be drafted and crosscutting approaches will be included (gender, interculturality and intergeneration).

Activity 2.3: Application of the draft version of the manual

The draft manual will be applied in four NPAs identified by SERNANP in line with the NDC process (Pilot studies). The piloted NPAs will be selected by the Contractor on the basis of recommendation made by SERNANP.

The application shall be carried out by the NPA managers and their teams of experts and park rangers. The Contractor will support them in reviewing the master plans and applying the manual to incorporate EbA approach into the master plans of the NPAs. Feedback from the four NPAs will be used to revise the draft manual, clarify any steps that are not clear enough and add relevant activities, making it as clear as possible, easy to use and effective in the identification of EbA measures

Activity 2.4: Training on the use of the manual

Based on the improved version of the manual, 59 NPA managers will be trained on using the manual proposed. This training will take place in Lima and will last four days (a single phase). During the training, feedback will be noted and taken into account in the revision of the manual. It is important to take note of the experience from different NPA managers and to assess how much the EbA approach is accepted among others. The training will cover the dissemination of knowledge and the contents of the manual as well as experiences from the managers of NPAs in the country to include the crosscutting approaches. It is important to consider the ongoing NDC process to identify synergies between mitigation and adaptation measures.



United Nations Industrial Development Organization

Activity 2.5: Final version of manual

The final version of the manual will be drafted incorporating the results and conclusions from the training.

Deliverable 2:

- i) Review document on the conceptual framework surrounding EbA in Peru's protected areas
- ii) Draft version of the manual
- iii) Report on the pilot implementation of the draft manual in the identified NPAs
- iv) Materials created for training of managers
- v) Final version of the manual

Output 3: Action plan for EbA approach integration in NPAs

Activity 3.1: Integration of EbA measures in the Cerros de Amotape national park's master plan

Throughout the use of the manual in the NPA of the Cerros de Amotape National Park, EbA measures will be identified and integrated to the master plan. This activity will serve to build experience in processes concerning the implementation of EbA measures in SERNANP, as well as complementing and completing the manual with information derived from the lessons learned throughout this process, considering the response time of the measures and the availability of information.

An action plan for implementation of identified EbA measures in the Cerros de Amotape National Park, aligned with the ongoing NDC process will be then provided. A draft Action plan for the Cerros de Amotape National Park will be developed for revision and approval from SERNANP and Ministry of Environment, including at least the following information:

- a) Objectives and outputs
- b) EbA measures to be incorporated including products, goals and referential costs
- c) Enabling conditions and their costs for EbA measures
- d) Crosscutting approaches
- e) Economic evaluation
- f) Funding source
- g) Schedule for implementation
- h) Institutional arrangements
- i) Added value for and synergies with the NDC adaptation and mitigation process

This pilot and action plan will be used as case study for the training in activity 3.2

Activity 3.2: Training

Based on the results from activity 3.1, a training will be provided to NPA managers who can follow to apply the same process for future EbA measures identification and action plan development in other NPAs. As a follow-up exercise, all NPA managers will have the opportunity to replicate the methods and



United Nations Industrial Development Organization

processes used in activity 3.1 in other master plans with the Contractor providing feedback and mentorship on the drafts submitted (within the implementation period). The feedbacks will be compiled and structured in one final document.

Deliverable 3:

- i) EbA measures identified for the Cerros de Amotape National Park NPA and action plan for implementation aligned with the NDC process.
- ii) Materials including methodology created for training of managers on how to develop action plans for integrating EbA in NPAs
- iii) Document compiling the feedbacks on draft action plans

Output 4: Mainstreaming EbA into the SERNANP budgeting process

Activity 4.1: Diagnostic

Review, analysis and mapping of the operational budget program model used in Peru and the contents of its Annex 2 in order to identify entry points and methods to incorporate an EbA approach.

Activity 4.2: Recommendation on the incorporation of EbA into the SERNANP budgeting system

Under this activity, and under the leadership of SERNANP, the Contractor will make recommendations based on a review and analysis on SERNANP's budgeting system. The recommendations will take the form a methodological approach on how to mainstream the EbA approach into the existing budgeting process, budgeting guidelines, operational models, services and products.

Activity 4.3: Sharing of results

An event will be prepared to share the recommendations to upgrade the budgeting process, with an emphasis on EbA, being under the leadership of SERNANP, in line with the NDC process.

Deliverable 4:

- i) Budgeting system guidelines for mainstreaming of EbA

4 GENERAL TIME SCHEDULE

The activities under this contract have an expected duration of twelve months from the contract signature.

5 PERSONNEL IN THE FIELD (PROFESSIONAL EXPERIENCE AND QUALIFICATIONS)

The Contractor is expected to provide the services of a team that should ideally comprise the following competencies:



United Nations Industrial Development Organization

- Proven expertise in the integration of the EbA approach into the national plans for environmental conservation
- Proven expertise in designing and implementing the EbA approach at regional and/or national levels
- Demonstrated experience in supporting governments in the development of national environmental plans in consideration with climate change response
- Demonstrated experience in integrating EbA approaches in the public budgeting system
- Demonstrated experience in contribution to adaptation project/programme in South America, preferably in Peru
- Demonstrated experience in developing management plan for natural protected areas
- Proven experience in designing and delivering the training for associated technicians to apply the EbA approach at regional and /or national levels in Spanish
- Excellent written and communication skills in both English and Spanish

The CVs of the respective experts assigned to this assignment by the Contractor must be provided.

6 LANGUAGE REQUIREMENTS

The working language for the purposes of this assignment is Spanish, thus an excellent command of Spanish is required for the proposed personnel. The deliverables must be submitted in the language(s) specified above apart from Output 1 deliverables which needs to be submitted in English.

All delivered documents must be of such a quality, that no further editing shall be required.