

Andes-Amazon Initiative

Andes-Amazon Initiative Overview

Overall Goal of the Andes-Amazon Initiative—AAI

The goal of the Andes-Amazon Initiative is to secure the climate function and representative biodiversity of the Andes-Amazon¹ region. Both of these targets depend on the persistence of sufficient, appropriately distributed forest canopy cover in the region. The AAI works to secure regional forest cover by supporting the effective management of protected areas² and of the landscapes in which they are embedded. Effective management thus requires the creation of new protected areas by national or regional governments, the development of category-appropriate management plans, the training and hiring of staff that will implement the plans, establishment of basic infrastructure and the development of permanent sources of funding to cover the recurrent costs of protected area management. Protected areas creation depends on the valuation of such areas by governments and civil society, as well as on expert identification of the ecologically, socially and politically appropriate location of those protected areas. Protected areas durability and integrity, on the other hand, depend on establishment of environmental governance as well as on social and political support for protected areas.

The AAI therefore works with NGOs, governments, academic institutions and international organizations, other stakeholders and implementing agencies to both design and financially support projects that will bring about the above conditions and through them secure forest cover and biodiversity protection. Following a strong and successful initial investment in the creation of protected areas, the AAI is focusing a larger portion of its resources on the effective management of these areas and on the implementation of environmental governance in targeted geographies. Projects are designed, and funding decisions are made, with the Initiatives constrained and unconstrained targets in mind. These targets are explained in the following section.

Constrained and Unconstrained Canopy Protection Targets

The Foundation structures its Initiatives so that they target both constrained and unconstrained outcomes.

Unconstrained outcomes represent a desirable target condition initially identified without consideration of budgetary or time constraints. The Foundation then selects a more limited set of outcomes, *constrained* by budget, time and geography, to which it commits funding and leveraging activities. These constrained outcomes are designed to make the unconstrained outcome possible, given complementary activities and programs implemented by other institutions.

¹ For the purposes of this Initiative, the term “Andes Amazon” refers not only to the Amazon watershed, but also to the contiguous forests that extend from the Amazon forest *sensu strictu* northward through the Guiana Shield and upper Orinoco drainage. This surface area encompasses 816 million hectares of diverse terrestrial and aquatic environment spread across major portions of Brazil, Bolivia, Peru, Ecuador, Colombia, Venezuela, Suriname, Guyana, and French Guiana. Originally, this area was covered by 625 million hectares of forest canopy, of which 512 million (82%) hectares remain.

² The Initiative considers all legally protected area types (strict-protection, managed-use and managed forests), including indigenous territories as contributing to the biodiversity and climate targets of the Initiative, but priority is given to those types that offer the best benefit towards the Initiative’s targets at the least cost.

The Andes-Amazon Initiative's *unconstrained* outcome is to simultaneously preserve climate function and biodiversity across the Amazon Basin, as measured by the creation of 120 million hectares of new Protected Areas (PAs) and the effective management³ of 370 million hectares of new and existing PAs. There are several factors relevant to forest conservation which would require strategies and approaches that the Initiative is not implementing given its constrained budget, scope and timeline, and given the ability and legitimacy of institutions in the region to address them. For example, the Initiative's forest conservation outcome presupposes the alleviation of poverty in the Andes Amazon region to the extent that basic community needs such as food security, health, education, and sanitation are addressed. An important assumption of the AAI is that poverty alleviation and other development issues will be substantially addressed through government initiatives and funding from bilateral and multilateral lending institutions such as the World Bank.

The *constrained* outcome of the AAI is to increase the size, quality and durability of the protected area systems of the Amazon Basin, contributing to the maintenance of its climatologic function and representative biodiversity. This constrained outcome is measured by the creation of 80 million hectares of new protected areas (66% of the unconstrained outcome) and the basic effective management of 260 million hectares (70% of the unconstrained outcome) of new and existing protected areas by 2014.

This measure of the constrained outcome is derived from the AAI's climate and habitat targets and is not a "fixed" value, given that the mix of protected area types to be created is ultimately determined by governments and uncertain to the AAI. Each protected area category carries a specific value for its contribution toward climate and habitat protection, and satisfying those targets is the AAI's real aim. Hectares effectively managed serve as proxies for climate and habitat protection.

Progress to Date Towards Constrained Outcome

Since its inception in 2001 through 2006, the AAI has supported the creation of 41 million hectares of different categories of protected areas across the Basin. Independent evaluators⁴ documented in 2006 that significant progress had been achieved on the effective management of 65 million hectares, out of 148 million hectares supported by the AAI, at the time of the evaluation.

This progress is the direct result of the invaluable work of over 50 AAI partners in the Basin, including governments, communities and non-governmental organizations. We continue to work towards the creation of the approximately 40 million hectares still targeted, and towards the effective management of all 260 million hectares.

Initiative Strategies and Sub-Strategies

From 2001 through 2006, the Andes-Amazon Initiative relied on four strategies to achieve the outcomes to date for the Basin: A – Protected Area Creation and Effective PA Management; B – Science; C – Capacity Building and D – Policy and Economics. Starting in 2008 the Initiative will add two new strategies to its portfolio: E – Finance for Sustainability; and F – Frontier Consolidation.

³ Funding for most areas is available only to achieve basic levels of effective management, while in frontier geographies a higher level of effective management and consolidation will be supported.

⁴ Hardner and Gullison, 2006. Independent External Evaluation of the Andes-Amazon Initiative of the Gordon & Betty Moore Foundation (2001-2005). (internal document)

Strategy A: Protected Area Creation & Effective Management / Create new protected areas & support the basic effective management of new and existing protected areas

The protected areas Creation and Effective Management strategy is at the heart of the Initiative and directly linked to achieving the Initiative outcomes. By supporting governments in the creation of protected areas of various categories, the strategy establishes an ecologically and economically stable “mosaic” of land-uses that also contributes to the Initiative’s climatologic and biodiversity objectives at the Basin level. Newly created areas, and many preexisting ones, require additional support to achieve basic levels of effective management. Helping, governmental agencies, NGOs and communities place these areas under effective management is currently the primary focus of the Initiative. Protected areas, as broadly defined by the Initiative, make possible local and national forest-based economies because they secure the provision of ecosystem services such as fresh water, natural regeneration of timber and non-timber forest products, maintenance of key ecological processes, sites of aesthetic value for the eco-tourism industry, etc.

Sub-Strategies:

- Creation and basic effective management of **new** protected areas
- Basic elements of effective PA management to **existing** protected areas
- Community participation
- Landscape-scale planning and management

The other five strategies support and complement this central strategy. They are the building blocks of the Initiative and directly support the Protected Area strategy. Below is a brief overview of each strategy and sub-strategy.

Strategy B: Science / Develop and refine scientific basis for conservation

The Science strategy generates information that helps refine the Protected Area creation and effective management strategy and validate the climatological and biodiversity models that define the Initiative protected areas targets. In addition, it directly supports the Initiative’s Policy and Economics strategy by providing critical scientific information to support conservation-appropriate policy measures.

Sub-Strategies:

- Model climate/vegetation function and monitor over time
- Determine ecological requirements for maintaining representative biodiversity and monitor over time
- Refine and validate assumptions for PA effectiveness values for maintaining climate function and biodiversity
- Model climate change impacts on the Basin
- Make scientific information and tools available to policy makers, PA planners and managers

Strategy C: Capacity Building / Increase human and institutional capacity for conservation

The Capacity Building strategy directly supports both protected areas and policy strategies by supporting and strengthening the individual and institutional capacity for conservation and management in the region.

Sub-Strategies:

- *Government Sector*—Provide training opportunities for protected area agency staff, decision makers, and law enforcement officials
- *NGO Sector*—Build NGO capacity through professional training and institutional strengthening
- *Academic Sector*—Support scholarships and model academic programs in conservation
- *Community Sector*—Increase resource management capacity and conservation capacity among communities located in buffer zones and managed-use areas (linked to effective PA management)
- *Indigenous Community Sector*—Increase resource management and conservation capacity among indigenous communities

Strategy D: Policy and Economics / Promote conservation appropriate policies and industry best-practices

The Policy and Economics strategy promotes conservation-appropriate policies and industry best practices, and works to bring conservation into the forefront of development plans. This strategy is complex and involves multiple avenues for effecting change, including providing information to decision-makers on the implications of various development plans and different types of land use approaches, disseminating cutting-edge science that evaluate the importance of protected areas, engaging key industries, improving legal frameworks for conservation, and generally keeping the public, governments and the broader conservation community abreast of the many drivers of change acting in the region.

Sub-Strategies:

- Strengthen legal framework for conservation
- Support incorporation of conservation agenda into government planning and implementation
- Support donor/lender practices that favor conservation
- Support development of industry best practices

Strategy E: Finance for Sustainability / Develop long-term financing mechanisms to sustain the protected area systems' recurring costs

The Finance for Sustainability strategy aims to secure the recurrent costs of protected area management by supporting the development of innovative financial mechanisms. This strategy considers the diversified mix of sources and mechanisms that can provide reliable long-term funding for the protected area systems of the Basin. There is no single solution to ensuring the financial sustainability of protected areas; it is important to develop a range of conservation finance mechanisms. This means going beyond the traditional government and donor funding to include the establishment of environmental funds and more innovative market-based approaches such as payment for ecosystem service models, new user fee systems, carbon offsets, debt-for-nature swaps, and others.

Sub-Strategies:

- *Environmental Trust Funds*—Support the development and endowment of environmental trust funds for protected area systems
- *Government Allocations*—Support efforts to increase government funding allocations to protected area systems
- *Sinking Funds*—Engage traditional donors, corporations, and others to provide continued sinking funds to protected area systems
- *Market-Based Mechanisms*—Support the development of market-based mechanisms for conservation financing

Strategy F: Frontier Consolidation

Frontier Zones are specific geographies of the Basin threatened by high impact infrastructure establishment and population influx. Human pressure on protected areas and ecosystems is unevenly spread across the Amazon Basin. Implementation of effective PA management is critical in high-pressure areas and less time-sensitive in more remote areas. Targeted frontier zones will have specific action plans for their consolidation into a mosaic of appropriate land use categories that **promotes conservation while fostering ecologically compatible socioeconomic development**. Environmental governance and forest-based economies will be supported by AAI to achieve economic and ecological sustainability for these regions. All of the Initiative's strategies will be applied in the frontiers, and PAs in these regions will be targeted for an enhanced level of effective management.

Sub-strategies and sub-strategy outcomes are currently under development for frontier zone consolidation. The unconstrained outcome of this strategy is the consolidation of all frontier zones that threaten the durability of AAI climate and biodiversity targets. The AAI has constrained this outcome to the consolidation of three current high-threat, high-opportunity frontier zones centered around roads scheduled for completion of paving in the next few years—BR-163, BR-319, and the Transoceanic Highway/ MAP region.

Current Team Composition and Responsibilities

Under the leadership of Rosa Lemos de Sá and William Green, the new AAI team organized itself along strategic and geographic lines. Each program Officer is in charge of one Initiative Strategy and one Frontier Strategy. Individual program officers manage grants in several strategies and geographies. Strategy Leads and Frontier Leads are charged with overseeing the portfolio of grants that support their assigned strategies and geographies, resulting in close coordination among program officers during the grant development and grant monitoring process.

Ana Cristina Villegas: Protected Area Creation and Effective Management Strategy and Transoceanic Highway (MAP) Frontier.

Enrique Ortiz: Protected Area Creation and Effective Management Strategy and Transoceanic Highway (MAP) Frontier.

Georgia Pessoa: Policy and Economics Strategy and BR-319 Frontier.

Jason Cole: Finance for Sustainability Strategy and BR-163 Frontier.

Kirsten Mariana Silvius: Capacity Building Strategy and BR-163 Frontier.

Luis Anibal Solórzano: Science Strategy and BR-319 Frontier [and CI Commitment Lead]

In addition: **Katie McCann**, as the Program Associate, provides initiative level outcome monitoring and budget tracking for the team. **Maia Hirschbein**, as the Program Assistant, supports the team's grantmaking to ensure effective and efficient grant management.

Please note that the Foundation does not accept unsolicited proposals.

Definitions

Basic effective management: The basic elements for effective management of an individual protected area, including: staff, equipment, infrastructure, land titling, management plan elaborated, patrolling, and monitoring.

Enhanced effective management: Full implementation of a protected area management plan, including: community work, environmental education programs, tourism, science, natural resources management.

Consolidation: The implementation of a mosaic of land uses that promotes conservation and allows appropriate socioeconomic development. Requires application of all strategies to consolidate governance structures, legislation, management capacities, science-based management plans, and enforcement. Protects habitat while allowing rational socio-economic development to occur

Frontier zone: An area under high levels of current or anticipated human threat due to infrastructure development and expanding economic pressures.