



REQUEST FOR CEO APPROVAL¹

PROJECT TYPE: MEDIUM SIZED PROJECT

TYPE OF TRUST FUND: GEF Trust Fund

PART I: PROJECT INFORMATION

Project Title: ABS Guatemala: Access to and Benefit Sharing and Protection of Traditional Knowledge to Promote Biodiversity Conservation and Sustainable Use			
Country(ies):	Guatemala	GEF Project ID: ²	4618
GEF Agency(ies):	UNEP (select) (select)	GEF Agency Project ID:	729
Other Executing Partner(s):	CONAP, UNOPS	Submission Date:	22 April 2013
GEF Focal Area (s):	Biodiversity	Project Duration(Months)	48
Name of Parent Program (if applicable): For SFM/REDD+ <input type="checkbox"/>	N/A	Agency Fee (\$):	87,450

A. FOCAL AREA STRATEGY FRAMEWORK³

Focal Area Objectives	Expected FA Outcomes	Expected FA Outputs	Trust Fund	Grant Amount (\$)	Co-financing (\$)
BD-4 (select)	4.1 Legal and regulatory framework and administrative procedures established that enable access to genetic resources and benefit sharing in accordance with the CBD provisions	4.1 Access and benefit sharing agreements that recognize the core ABS principles of Prior Informed Consent (PIC) and Mutually Agreed Terms (MAT) including the fair and equitable sharing of benefits.	GEFTF	795,000	812,490
Sub-Total				795,000	812,490
Project Management Cost ⁴			GEFTF	79,500	159,524
Total Project Cost				874,500	972,014

B. PROJECT FRAMEWORK

Project Objective: To develop policy and legal frameworks and institutional mechanisms for access and benefit sharing (ABS), in order to strengthen biodiversity conservation, promote rural development and support climate change adaptation						
Project Component	Grant Type	Expected Outcomes	Expected Outputs	Trust Fund	Grant Amount (\$)	Confirmed Cofinancing (\$)
1. Developing a	TA	Guatemala has in	A National policy on	GEF TF	120,000	129,767

¹ It is important to consult the GEF Preparation Guidelines when completing this template

² Project ID number will be assigned by GEFSEC.

³ Refer to the [Focal Area/LDCF/SCCF Results Framework](#) when filling up the table in item A.

⁴ GEF will finance management cost that is solely linked to GEF financing of the project.

<p>national framework for accessing genetic resources, protecting traditional knowledge and ensuring benefit sharing</p>		<p>place the instruments needed to facilitate access to GR, protect traditional knowledge, and engage in benefit sharing via regulatory means</p>	<p>access to GR and traditional knowledge presented to the National Ministerial Council for approval</p> <p>A proposal of national regulation on access to genetic resources (GR) and benefit sharing mechanisms, developed in a participatory fashion, and including traditional knowledge related to GR; through the sensibilization of the indigenous groups to participate in this effort.</p> <p>National regulations and enhanced legal mechanisms and procedures (possibly sui generis) available to promote the protection of traditional knowledge</p> <p>Framework for traditional knowledge promotes cross-linkages between policies relating to biodiversity, climate change adaptation and the processes of desertification and land use change</p>			
<p>2. Protecting traditional cultural knowledge</p>	<p>TA</p>	<p>Enabling conditions established within the relevant</p>	<p>A protocol to develop a traditional</p>	<p>GEF TF</p>	<p>83,900</p>	<p>90,729</p>

<p>associated with sustainable use of biodiversity to catalyze its potential for rural development</p>		<p>Guatemalan Institutions for the development of rural community-based initiatives relating to the sustainable use of biodiversity and the transfer and use of traditional knowledge</p>	<p>knowledge inventory, with information on the distribution, diversity and sociolinguistic relevance of traditional knowledge, and on its potentiality for conservation and sustainable use of biodiversity and rural development</p> <p>Inter-generational transfer of traditional knowledge and technologies at a subnational level improved in at least two sociolinguistic, bilingual, multicultural educational institutes.</p>			
<p>3. Building linkages between biodiversity conservation and sustainable use</p>	<p>TA</p>	<p>Strengthened integration of Traditional Knowledge (TK) and Sustainable Use of Genetic Resources in accordance with CBD provisions consistent with development at local and sub-national levels.</p>	<p>Four (4) ABS pilot demonstrations promoting sustainable use of genetic resources including one example each of the following:</p> <ul style="list-style-type: none"> *non-commercial: conservation *commercial use: biotrade; *commercial use: value chain *merging scientific and traditional knowledge <p>Informative material and cross sharing events to</p>	<p>GEF TF</p>	<p>560,381</p>	<p>590,994</p>

			disseminate lessons learned in demo pilots.			
4. Monitoring and Evaluation		Project implementation facilitated with regard to results-based management	Project monitoring system operating, providing systematic information on progress in achieving project outcome and output targets. Mid Term Review and Final evaluation conducted.	GEF TF	30,719	1,000
Subtotal					795,000	812,490
Project management Cost ⁵				GEFTF	79,500	159,524
Total project costs					874,500	972,014

C. SOURCES OF CONFIRMED COFINANCING FOR THE PROJECT BY SOURCE AND BY NAME (\$)

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
Government	CONAP	In-kind	312,014
Government	FONACON	cash	100,000
NGO	SOTZIL	In-kind	200,000
Government	MICUDE	In-kind	100,000
Academic	FAUSAC	In-kind	100,000
Academic	CECON	In-kind	50,000
Academic	IDEI	In-kind	50,000
NGO	Junej Tinam	In-kind	40,000
GEF Agency	UNEP	In-kind	20,000
Total Co-financing			972,014

D. GEF/LDCF/SCCF/NPIF RESOURCES REQUESTED BY AGENCY, FOCAL AREA AND COUNTRY¹

GEF Agency	Type of Trust Fund	Focal Area	Country Name/ Global	(in \$)		
				Grant Amount (a)	Agency Fee (b) ²	Total c=a+b
UNEP	GEFTF	Biodiversity	Guatemala	655,875	65,588	721,463
UNEP	GEFTF	Biodiversity	Global	218,625	21,862	240,487
Total Grant Resources				874,500	87,450	961,950

E. CONSULTANTS WORKING FOR TECHNICAL ASSISTANCE COMPONENTS:

⁵ Same as footnote #4.

Component	Estimated Person Weeks	Grant Amount (\$)	Cofinancing (\$)	Project Total (\$)
Local consultants*	1,674	536,200	195,500*	731,700
Total		536,200	195,500	731,700

* includes category of project staff.

F. PROJECT MANAGEMENT COST

Cost Items	Total Estimated Person Weeks/Months	Grant Amount (\$)	Co-financing (\$)	Project Total (\$)
Local consultants*	412	26,127	138,500*	164,627
Office facilities, equipment, vehicles and communications*			21,024	21,024
Travel*				
Others**	Financial and procurement services	53,373		53,373
		79,500	159,524	238,024

* includes category of project staff.

G. DOES THE PROJECT INCLUDE A “NON-GRANT” INSTRUMENT? No

(If non-grant instruments are used, provide in Annex E an indicative calendar of expected reflows to your Agency and to the GEF/LDCF/SCCF/NPIF Trust Fund).

H. DESCRIBE THE BUDGETED M & E PLAN:

The project will follow UNEP standard monitoring, reporting and evaluation processes and procedures. Substantive and financial project reporting requirements are summarized in Appendix 8. Reporting requirements and templates are an integral part of the UNEP legal instruments to be signed by the executing agencies and UNEP. The project M&E plan is consistent with the GEF Monitoring and Evaluation policy. The project Results Framework presented in Annex A and the costed M&E work plan summary in Appendix 7 include indicators for each expected outcome as well as mid-term and end-of-project targets and total cost of M & E efforts (US\$30,719) over life of project. Indicators along with the key deliverables and benchmarks included in Appendix 6 will be the main tools for assessing project implementation progress and whether project results are being achieved.

The M&E plan will be presented to the first meeting of the project inception workshop to ensure project stakeholders understand their roles and responsibilities vis-à-vis project monitoring and evaluation. The steering committee (SC) will be responsible for proposing to UNEP management any necessary amendments to the M&E plan during project implementation. Indicators and their means of verification may also be fine-tuned by the SC. Day-to-day project monitoring is the responsibility of the Project Manager but other project partners will have responsibilities to collect specific information to track the indicators. It is the responsibility of the Project Manager to inform UNEP of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely fashion.

The SC will receive periodic reports on progress and will make recommendations to UNEP concerning the need to revise any aspects of the Results Framework or the M&E plan. Project oversight to ensure that the project meets UNEP and GEF policies and procedures is the responsibility of the Task Manager in UNEP-GEF. The Task Manager will also review the quality of draft project outputs, provide feedback to the project partners, and establish peer review procedures to ensure adequate quality of scientific and technical outputs and publications.

The Task Manager will develop a project supervision plan at the inception of the project which will be communicated to the project partners during the first meeting of the SC. The Project Manager will also be responsible for initial screening of the financial and administrative reports from the core partners prior to their submission to the Finance and Management Division of the United Nations Office at Nairobi. Progress vis-à-vis the delivery of agreed project outputs will be assessed by the SC, with the participation of UNEP at least annually. Project risks and assumptions will be regularly reviewed both by the Project Manager and SC on behalf of UNEP. Risk assessment and rating is an integral part of the annual Project Implementation Review (PIR), preparation of which will be the responsibility of the Project Manager. The quality of project monitoring and evaluation will also be reviewed and rated as part of the PIR and the PSC shall clear the PIR prior to its final submission. Key financial parameters will be monitored quarterly to ensure cost-effective use of financial resources.

A mid-term management review will be coordinated by the Task Manager in consultation with the Project Manager and the outcomes reported to the SC. An independent terminal evaluation will take place at the end of project implementation. The Evaluation and Oversight Unit of UNEP will manage the terminal evaluation process. A review of the quality of the evaluation report will be done by the Evaluation and Oversight Unit and submitted along with the report to the GEF Evaluation Office not later than 6 months after the completion of the evaluation. The standard terms of reference for the terminal evaluation are included in Appendix 9. These will be adjusted to the special needs of the project.

PART II: PROJECT JUSTIFICATION

A. DESCRIPTION OF THE CONSISTENCY OF THE PROJECT WITH:

A.1.1. The GEF focal area/LDCF/SCCF strategies/NPIF Initiative:

This project is in line with Objective 4 of the Biodiversity Focal Area Strategy for GEF-5: "Build Capacity on Access to Genetic Resources and Benefit Sharing (ABS)". In particular, this project intends to establish common understanding between providers and users of genetic resources and the associated traditional knowledge of indigenous and local communities; issue that has been highlighted under the objective 4 of the GEF focal area strategy. Likewise, the project is aligned with the GEF intention to provide support (capacity) to countries to meet their obligations under article 15 of the CBD.

Guatemala signed the Nagoya Protocol on May 11, 2011. This project will bring the country closer to both ratification and implementation of the Nagoya Protocol by creating awareness in the National Competent Authorities (including the congress) about the necessity to ratify the Nagoya Protocol; and by working together with the indigenous communities that will be part of the project towards this goal.

The project is in line with COP 9 Decision IX/26 for promoting the engagement of businesses and establishing, as a priority, the need to build a business case for biodiversity. The project's design highlights the opportunity to create a business community made up of small and medium-sized enterprises. The project also aligns well with Objectives 1 to 4 of the GEF's Corporate Programs Strategy for capacity development (GEF/R.5/31/CRP.1).

Furthermore the project is consistent with: Aichi Target 16 : By 2015, the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization is in force and operational, consistent with national legislation; and Aichi Target 18: By 2020, the traditional knowledge, innovations and practices of indigenous and local communities relevant for the conservation and sustainable use of biodiversity, and their customary use of biological resources, are respected, subject to national legislation and relevant international obligations, and fully integrated and reflected in the implementation of the Convention with the full and effective participation of indigenous and local communities, at all relevant levels.

A.1.2. For projects funded from LDCF/SCCF: the LDCF/SCCF eligibility criteria and priorities:

N/A

A.1.3 For projects funded from NPIF, relevant eligibility criteria and priorities of the Fund:

N/A

A.2. National strategies and plans or reports and assessments under relevant conventions, if applicable, i.e. NAPAS, NAPs, NBSAPs, national communications, TNAs, NIPs, PRSPs, NPFE, etc.:

The National Policy on Biological Diversity was approved by Guatemala's Council of Ministries and the President (Central America Diary on July 15, 2011 No- 36 Tomo CCXCII), in which all the issues relating to the scope of the Nagoya Protocol were included. Moreover, Guatemala signed the Nagoya Protocol at the UN Headquarters in May 2011, as a demonstration of the importance ascribed to genetic resources and associated traditional knowledge.

However, according to Guatemala's third and fourth National Reports on fulfillment of the CBD, the country has made limited progress in meeting its commitments to the above. Application of CBD's Article 15 has been delayed and constricted due to the complexity of the tasks required, as well as lack of continuity, capacity and resources. The country has yet to present to the CBD Secretariat a thematic report on ABS. Likewise; Guatemala has reached few outcomes in the application of Article 8(j), which covers traditional knowledge and related provisions. The project "Definition of National Priorities and Assessment of Capacity Building Needs in Biodiversity in Guatemala" (GUA/97/G31, Phase II) conducted by CONAP (National Council for Protected Areas) included a genetic resources component, and helped to provide data and a diagnosis of the current national situation concerning access to genetic resources and traditional knowledge. One of the identified gaps was the need to work with the holders of traditional knowledge in the identification and documentation of traditional and community knowledge relating to the sustainable use and conservation of biodiversity. Despite not ascribing a high level of priority to these issues in the past, Guatemala has recently come to realize that sharing the benefits that may come from the use of genetic resources and associated traditional knowledge represents an opportunity and a value-adding process to the country's rich biological and cultural diversity. This project is therefore responsive to these concerns and to the need to recognize the contribution that both genetic resources and traditional knowledge make to sustaining the country's development.

Although Guatemala did not carry out a National Portfolio Formulation Exercise, the endorsement of this proposal and the Government's support (including co-financing) was agreed and prioritized early in the GEF-5 cycle.

PROJECT OVERVIEW:

B.1. Describe the baseline project and the problem that it seeks to address:

The Biodiversity of Guatemala is large and important in wild and cultivated species. Ecologically, Guatemala has seven biomes, one of which is unique in the country. It houses fourteen different life zones, one of the highest levels in Central America. The country ranks third in a list of thirty mega diverse countries worldwide. Guatemala currently ranks third in the abundance of flora per unit area, which includes 7,754 species of reported plants, with a 40% considered as endemic of Mesoamerica. Regarding the fauna, 62 species are endemic, with 2027 entries of invertebrate species found in Guatemala. The diversity of wildlife is matched by the diversity of cultivated species. Guatemala is also a birthplace of many economically important cultivated species important to humanity, providing a natural reservoir of genes in the wild relatives distributed in the country. Besides being a center of genetic origin, is also a center of domestication of several important food species around the world, such as corn, beans, squash and cassava (manioc). Some 24% of all species of beans, 43% of the species of squash and 52% of all races of corn known in Mesoamerica are in Guatemala. This dual rich biodiversity, which includes wild relatives and domesticated varieties, are of global importance and a valuable resources source for the world.

Guatemala's contribution to the world economy from the use of their genetic resources is evidenced by the existence of 4,889 accessions (germplasm samples), 49 genus and 91 species in the Consultative Group System on International Agricultural Research (CGIAR) from its national territory (108,890 square kilometers). This represents one sample per 25 square kilometers, or 0.006% of all germplasm present in that system. In comparison, Canada has provided 1083 accessions, which is the 0.0001% of all germplasm of the system, its contribution means one sample per each 9,219 km². Moreover, Guatemala makes available germplasm (genetic resources) of significance for food security.

Guatemala is a diverse country both environmentally and culturally. The latter is defined by the existence of 22 sociolinguistic communities (of Maya, Xinca and Garifuna origin), with a very wide geographic distribution (see Fig 1), Historically these communities have developed a sense of territoriality and identity with the territory they inhabit and under their own law systems, which are protected under articles 8 subsection j, and Article 10, paragraph c of the CBD, developing this way, mechanisms to safeguard their territories.

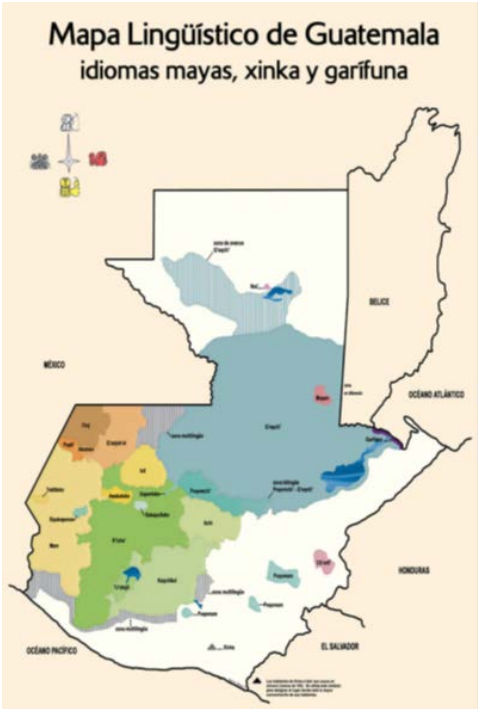


Figure 1: Distribution of the different sociolinguistic regions of the country.

At the national level, there is a perception of misuse of genetic resource, as in unauthorized, non-consensual use of the associated traditional knowledge. Rural conglomerates have been known to access traditional knowledge and its benefits, creating commercial products which do not benefit owners of the knowledge. This has exacerbated poverty and the marginalized conditions in which people live, compounding history of dispossession and uprooting of populations from territories. These facts and perceptions have led to increased social pressure to address the issue, particularly with a view towards fair sharing of resources and knowledge. Along these lines, the current project intends to reduce the misperception about the use of genetic resources that prevails in the national territory. For this reason, training and consultation activities as well as the production of informative instruments are an integral part of the project components. Moreover the outcome of the four ABS pilots that will take place under component three, will serve as example that accessing genetic resources taking take into account the application of traditional knowledge while at the same time ensuring the fair distribution of the associated benefits is possible.

The signing and ratification of the CBD in 1995 ensured Guatemala’s legal sovereignty over its biological resources, and genetic resources. This was reinforced with ratification of the International Treaty for Plant Genetic Resources for Food Security. However, the mechanisms and legal tools for guaranteeing access to genetic resources and traditional knowledge for fair and equitable sharing have not been developed. Although the country has different regulatory mechanisms (ministerial agreements or institutional regulations), these are not precise and do not meet the obligations of the CBD as stated in Article 15, Article 8, Article 10 subsection j and subsection c. As such, the country lacks the necessary instruments to ensure the fair and equitable sharing of benefits. Furthermore, Guatemala had delegated responsibilities for the management of access to genetic resources and their protection in a fragmented way to several government agencies. However, after the approval of the National

Biodiversity Policy (NBP) by Government Agreement 220-2011, the National Council of Protected Areas CONAP became the chancellor of all matters relating to the conservation and biodiversity use. CONAP is responsible for achieving the objectives stated in this policy, which include genetic resources, as detailed in the new National Biodiversity Strategy and its Action Plan, approved by the CONAP in August 2012. Through component one of this project, an ABS framework including a policy and regulatory instruments will try to fulfill the basic gap of not having precise instrument on ABS. This is expected to support the country in meeting its obligation with the CBD and eventually with Nagoya Protocol, which Guatemala has signed as a sign of interest and importance for the ABS matters.

CONAP has most recently initiated a series of baseline activities, including the First National Congress of the Collective Traditional Knowledge, held in two phases. The first was in December 2011, where a reassessment and a presentation of the use of biodiversity through traditional knowledge were developed. A second phase in March 2012, outlined elements that should be incorporated into public policy of biodiversity under the CBD and Nagoya Protocol approaches, enabling its legitimization and institutionalization, as well as the identification of ways to protect the traditional indigenous knowledge related to the access to genetic resources and fair benefit sharing in the context of models of intellectual property protection already available. One of the most important results of the First National Congress of Traditional Knowledge was the development of a manifesto, signed by all participants (200 representatives from different regions of the country), requesting that the Congress of the Republic ratify the Nagoya Protocol. This initiative demonstrates the growing interest of the social and indigenous organizations in the implementation of the protocol and the existence of a social base to support their management, a preliminary baseline to advance the ABS agenda in the country. In order to further advance this promising start, access to genetic resources must be based on international and national regulations which must include benefit sharing of the use of genetic resources. Those legal norms have not been developed in Guatemala and must be developed through this essential project in order to secure these rights and regulate the relationships between providers and users.

Activities that will take place at a national level with support from the Guatemalan government and other International organizations will add to the baseline of this project. Some of these efforts that will take place in the near future include the following:

- The project "Definition of National Priorities and Assessment of Capacity Building Needs in Biodiversity in Guatemala" (GUA/97/G31, Phase II) conducted by CONAP (National Council for Protected Areas) included a genetic resources component. This component has led to the compilation and discussion of an inventory of the national legal norms that are in force related to access to GR, traditional knowledge, and intellectual property rights. Furthermore, a few national laws on access to GR currently implemented by other countries were analyzed.
- A project proposal on the consolidation of Guatemala's protected areas system is being developed with the Guatemala German Cooperation (KFW) and will include creation of incentives for: traditional production systems (food security, genetic resources, livestock breeding), conservation of genetic resources in home gardens and traditional production systems; and development of genetic resources management at the local level.
- A suite of the project proposals are being prepared for submission to the National Nature Conservation Fund. Some of the key issues addressed by these proposals will include: i) Diagnosis of the socioeconomic, cultural and political-administrative elements relating to the management and governance of area set aside for conservation of bio-cultural landscape of Huista using corn as flagship species; ii) Preparation of a scientific technical publication documenting the principal species useful for human food and nutrition security in the country -- as well as traditional knowledge associated with customs and traditions linked to the use of forgotten species.
- A Project proposal on "The bio-cultural landscapes as a human development strategy compatible with the conservation of biodiversity" is to be implemented with cooperation from the Norwegian Embassy in Guatemala. This project aims to strengthen linkages between biological and cultural diversity as the core of sustainable development, through the identification of bio-cultural landscapes of particular importance to the conservation of biodiversity elements, identity and knowledge of indigenous peoples and rural communities of the country.

-A cooperation agreement is to be established between the Ministry of Agriculture and CONAP, to support the implementation of the Nagoya protocol and its harmonization with the international treaty on filogenetic resources.

The current proposal builds on a fledgling baseline of activities, to address expressed policy and capacity building needs with the intent of strengthening links between biodiversity protection, climate change adaptation and rural development and further seeking to follow through concretely by filling expressed gaps, and piloting experiences on the ground. As a first step, the project will carry out activities which will demonstrably implement national regulations on access and benefit sharing, while working directly with indigenous peoples in community-led initiatives, and, concomitantly addressing Articles 15 and 8(j) of the CBD and their relevance to climate change adaptation and rural development.

A concurrent GEF supported UNEP implemented project: *Global support for the ratification and entry into force of the Nagoya Protocol on Access and Benefit Sharing and Capacity Building for the Early Entry into Force of the Protocol on Access and Benefit Sharing*, with UNEP as implementing agency is working with a number of countries to assist countries in moving closer to ratification of the Nagoya Protocol. This project will build on and benefit from these parallel efforts.

2. incremental /Additional cost reasoning: describe the incremental (GEF Trust Fund/NPIF) or additional (LDCF/SCCF) activities requested for GEF/LDCF/SCCF/NPIF financing and the associated global environmental benefits (GEF Trust Fund) or associated adaptation benefits (LDCF/SCCF) to be delivered by the project:

Managing access to genetic resources is strategic tool for the country as it can promote social development, particularly in populations that historically have developed, maintained and sustainably used biodiversity. However, in order to manage access to the genetic resources as an instrument of rural development, the bodies responsible for promoting this process will have to mainstream sustainable use of biodiversity, fair and equitable access to GR and TK, and benefit sharing into their respective management strategies

GEF support of the proposed project will enable the following:

- Creation of a new framework of legal and public policy to be used to harmonize all institutional management actions of the GR and TK.
- Participation of all relevant stakeholders in developing the GR and TK approach
- Definition of roles for each of the relevant entities across institutional boundaries
- Definition of a legal framework to incorporate new terms and expressions in national law, inclusive of genetic resources, access, prior informed consent, mutually agreed contract, fair and equitable distribution,
- Development of a management tool that incorporates the value of traditional knowledge aimed at entities responsible for implementing policy instruments in the areas of climate change, desertification and land use change
- Development of mechanisms to promote both the protection and preservation of traditional knowledge associated with genetic diversity in the country.
- Development of a tool to develop inventories in a systematic and orderly manner, incorporating both management and content, which recognizes both use and generation of economic benefits
- Development of mechanism to evaluate existing traditional knowledge not only for storing the data, but also to enhance the identity of the people and to reaffirm their relationship with biodiversity, and supporting its sustainable use in the long term.

Promoting ABS as a tool to enhance the linkage between biodiversity - GR and TK - and rural development, will result in socio-economic growth of rural population. Pilots will test arrangements in ABS relevant themes, including: noncommercial use-conservation; commercial use- biotrade; a demonstration of value chains, and lastly piloting the merging of scientific and traditional knowledge. The ABS pilots will develop the potential of

community-based enterprises and agreements. Commercial and R&D opportunities that favor sustainable biodiversity management, rural development and the integrate climate change adaptation measures will allow for valuable learning, replication models and to enhance the conservation and sustainable use of globally significant biodiversity associated to the correct use of genetic resources and the importance of their preservation as a means to generate corresponding social and economic benefits. Likewise, other biodiversity benefits that were identified were related to the promotion of the growth of the populations of the target species, promotion of the variability of the target species for the sustainability of the production, among other benefits.

The overarching goal of this project is to promote the observance and implementation of the Convention on Biological Diversity and the Nagoya Protocol in Guatemala, through three principal components (and a 4th on monitoring and evaluation) that will be developed for four years. Specifically, it aims to develop policies, legal frameworks and institutional mechanisms that led having access and participation in the benefits raised from the use of traditional knowledge and genetic resources, developing conditions for the conservation and intergenerational transfer of traditional knowledge, in order to strengthen the conservation of biological diversity, promote rural development and support adaptation actions to climate change in the country.

The project's three technical components are: (1) development of a national framework for the access to genetic resources, protection of the related traditional knowledge, and participation in the distribution of benefits through regulatory measures, (2) protection of collective traditional knowledge associated with sustainable use of biodiversity to promote its potential in rural development, and (3) establishment of link between the biodiversity conservation and sustainable use through pilots.

The first component comprises the construction of policies, and a legal and regulatory framework for access to genetic resources, associated traditional knowledge and the fair and equitable sharing of benefits obtained through said access. This component focuses on raising awareness of the value of genetic resources and traditional knowledge for different professional, civil and economic sectors, and ensuring full participation of rural communities, especially indigenous, which possess this knowledge. With multidisciplinary participation, an ad hoc interagency committee will be created, to lead to a consensus from all involved parties for the elaboration of a national policy. Approval of the policy would be the charge of CONAP, which would seek government agreement to promote it as a public policy. The component also includes the preparation of a bill and its regulations, which ensure the fair and equitable sharing of benefits arising from their use, and recognizes the rights and management mechanisms of local communities. This component will constitute a stakeholder base together with a social and technical committee to monitor the approval of the proposed legal framework upon the completion of the project. A proposal for a framework to promote the use of traditional knowledge associated with biodiversity applicable to mitigation, adaptation and climate change risks, to be included as corporate management tool, will also be developed.

During its first year, the project will survey stakeholders involved in the various components, and in particular component 1, with the aim of collecting enough baseline awareness parameters regarding knowledge of ABS processes and regulations. This information will become the baseline for comparison when undertaking the second analysis to determine the increase in public awareness about the new policy and law at the project's conclusion.

For component two, the project will provide dialogue opportunities for the approval of a protocol to systematize traditional knowledge associated with biodiversity. It is expected that all stakeholders and sectors involved will recognize the value of doing this systematization as a tool not only for protection but also to promote proper use and the promotion of rural development. This component further aims to develop and propose mechanisms for intergenerational transfers of knowledge and traditional technologies based on experiences developed in the bilingual education system, particularly in the two sociolinguistic areas that were selected for the development (see section below), because these issues are outside the plans and programs of formal education. This component will ensure the training of trainers and community leaders to enable them to teach this subject in the

primary and secondary schools of the selected. Documentation of the entire process will be supported, so that it can be replicated in other sociolinguistic and regions of the country.

The third component is comprised of four pilots promoting the integration of traditional knowledge and the sustainable use of genetic resources as essential instruments for rural development. These experiences will be focused on cases of access with different purposes: (i) conservation, (ii) bio-trade, (iii) development of a value chain, and (iv) integration of scientific to traditional knowledge. . Pilots’ design will aim for enhanced income through development of products generated by the sustainable use of the biodiversity specifically, the pilot emphasizing the value chain approach will engage with the communities that constitute critical points in the value chain. The Bio-trade pilot incorporates production, processing and marketing of goods and services derived from native biodiversity (genetic resources, species and ecosystem) involving conservation practices and sustainable use; and that are built with environmental, social and economic sustainability criteria. Value chains will look at all the different phases of a productive process seeking to identify critical points in all phases that can improve efficiency in productive process and profitability.

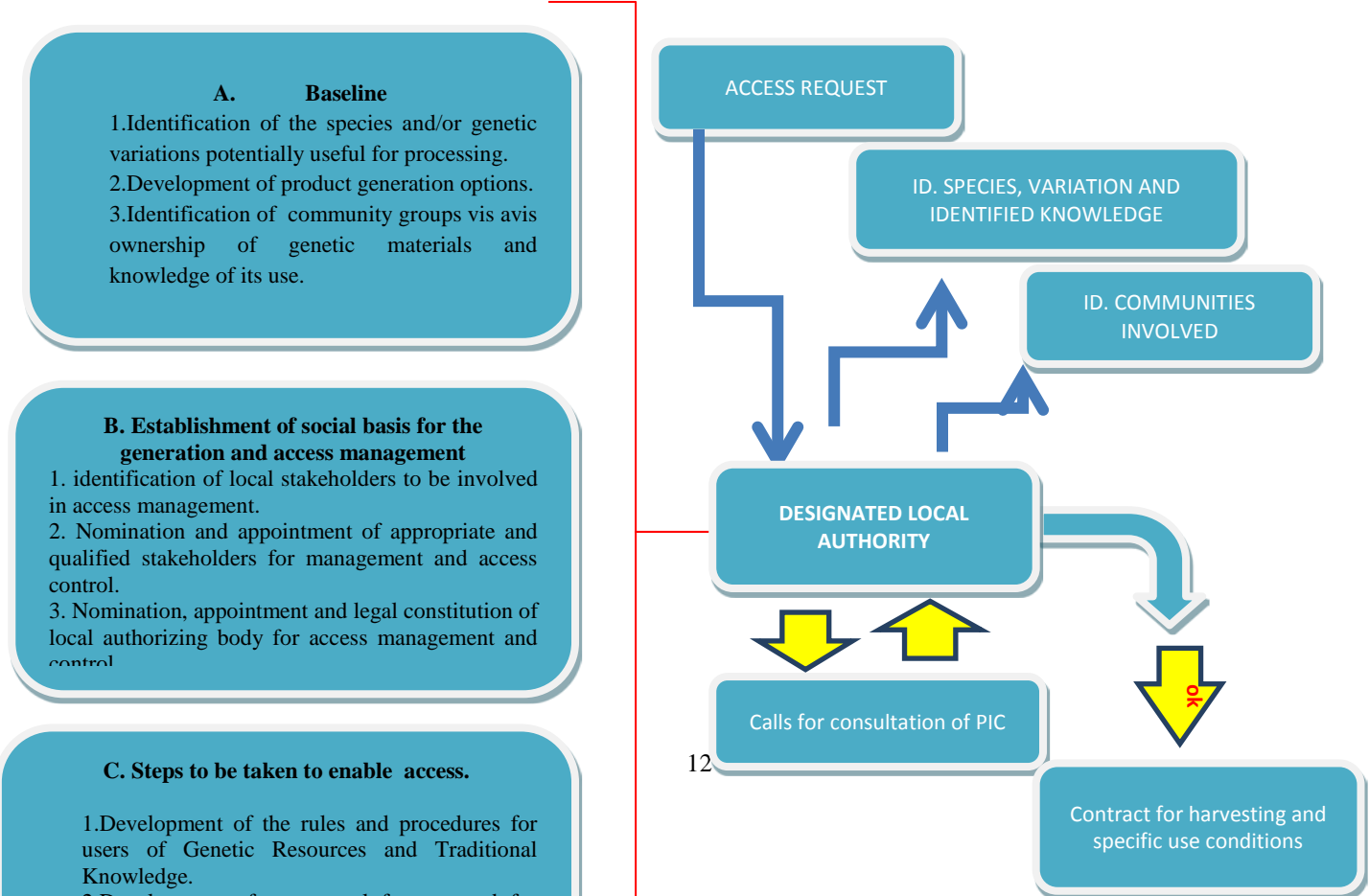


Figure 2. Example of pilots' chain of events

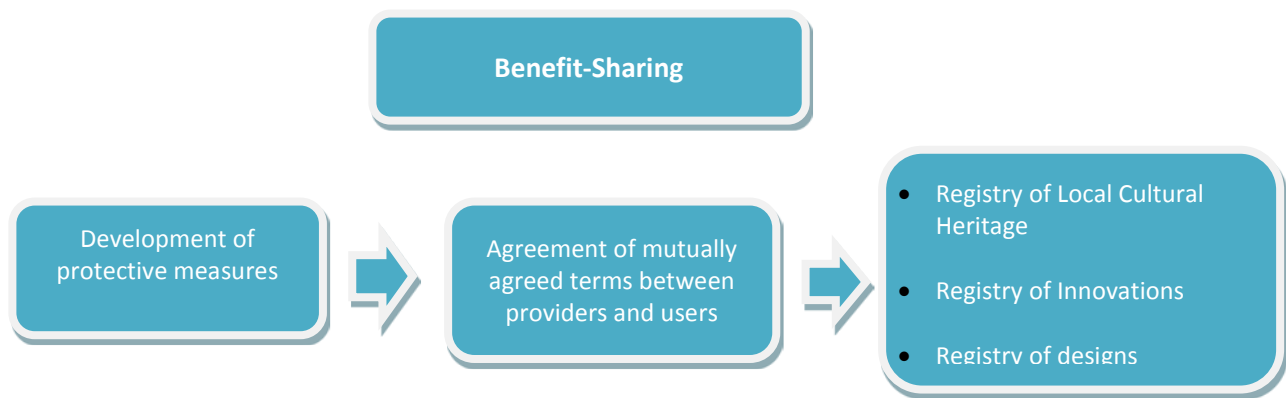


Figure 3. Benefit-Sharing scheme

Preliminary preparation of the pilot component included identification of sensitive and strategic genetic resources in the communities where pilot experiences will take place, allowing these resources to be evaluated to promote conservation or commercial potential. Through an extensive consultative and participatory process, it was determined that the pilots will be sited in the department of Baja Verapaz, comprising the municipalities of: a) Rabinal, b) San Miguel Chicaj and c) Salamá (the Achi territory). In the department of Sololá the municipalities correspond to: d) San Pablo La Laguna, e) San Juan La Laguna, f) San Pedro La Laguna and g) Santiago Atitlán (the Tzutujil territory). The organized indigenous communities are the ones directly involved in the developing of the ABS pilots. Two emblematic species have already been identified. In the Achi territory the emblematic target species is the insect called Niij (order: Homoptera; family: Margarodidae; genera: Llaveiaxin), the pilot will be based on developing the use of this insect and all of the biodiversity associations (see fig 3). In the Tzutujil territory the emblematic target species is the IXCACO (*Gossypium hirsutum*) which is the wild relative of the cultivated cotton and the pilot will be based on the use of this species and its relationship with the natural dyes that are used in the production of the fabrics of this cotton.

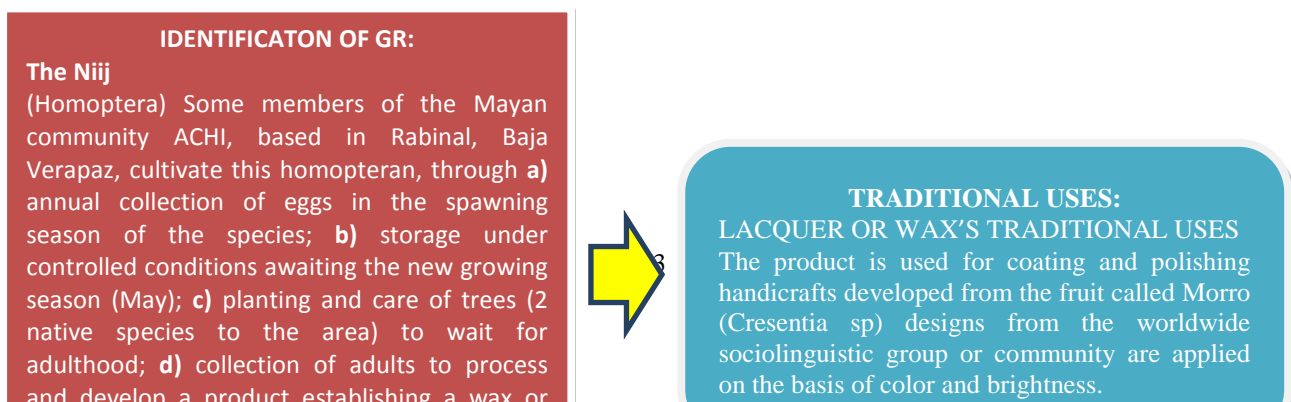


Fig.4: Identification of the GR and feasible innovations (example with the NIIJ)

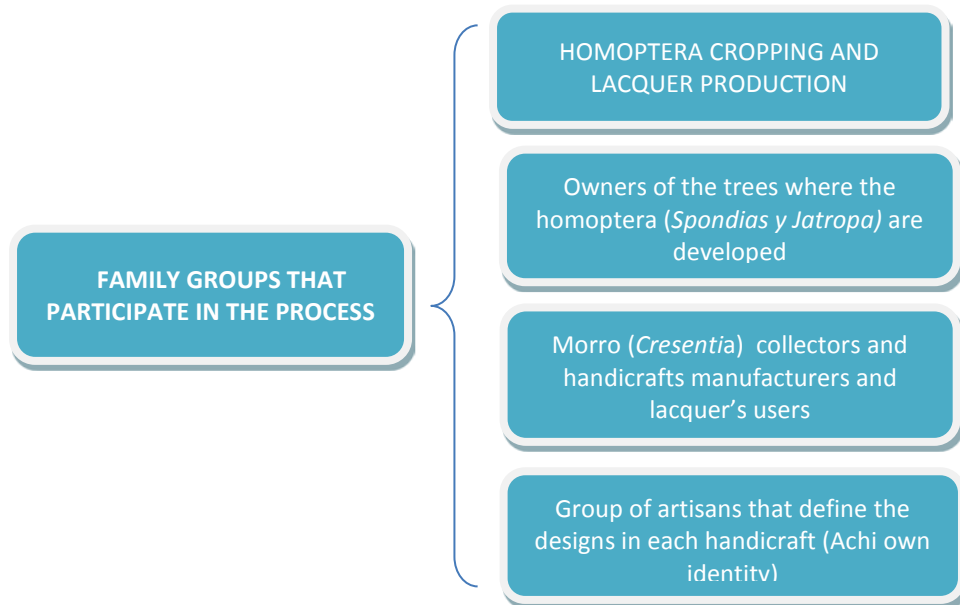


Fig5. Family groups that participate in the process (Niij example)

Communities will be actively engaged in the pilots' development through linkages established during the project preparation period between the project team and local community governments, and representatives and elders of indigenous communities. Training of the community through organizations and local authorities will also be supported to build participatory capacity for development. Training will also be provided on mechanisms to access to genetic resources and traditional knowledge as prior informed consent, and the development of models and agreements for the access to the benefits derived from their use. This component will develop mechanisms for the fair distribution resulting in the development of rural communities by establishing local criteria and tools for the development of innovations and improvements in productive activities generated from traditional knowledge and genetic resources, thus promoting their incorporation into new markets.

To this end, a multidisciplinary group of consultants will collaborate hand-by-hand with the local communities and indigenous groups to advance the design of the pilots on the ground hand in hand with the indigenous groups identified. As part of the project roll out, anthropologists and legal experts will provide consultative advice and support in the creation of access and benefit sharing agreements; interested parties will participate actively during the whole process and communication and networking meetings will facilitate the process. The whole component 3 will be supported by the overall supervision and support of a project consultant with experience in ABS who will serve as a link and technical lead.

Also, as a part of the project component 3, each of the ABS pilots will establish mechanisms to develop guidelines to promote ABS agreements with proper Prior Informed Consent (PIC) and develop the guidelines for contracts or agreements for Mutually Agreed Terms (MAT). At the same time the project will develop the necessary mechanisms to institutionalize the Nagoya Protocol, including all of its administrative procedures, with the local competent authorities.

The pilot experiences of access that will be developed will define a local competent authority. These authorities will be the managers of the PIC activities and the mechanisms to develop the MAT, so that eventually they can extend the consent to the access inside the pilot. (see fig.2) Moreover, all pilot experiences will be recorded and they will be used for the development of the draft of a National law. This activities falls under components 1 and 3 of the project.

At the Project Inception Workshop, a detailed implementation plan for the pilots will be validated. The plan will include detailed timeframes, list of key partners and stakeholders for each of the pilots, corresponding responsibilities, and on the ground risk mitigation plan

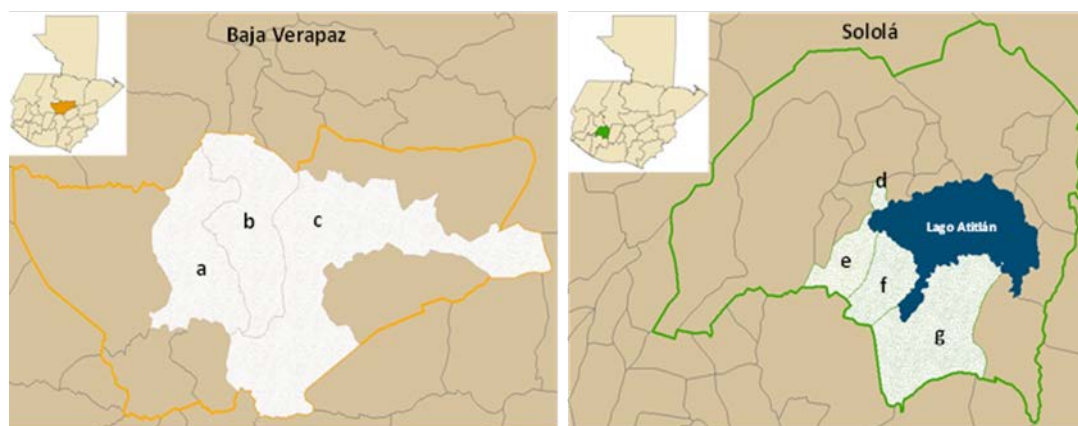


Figure 2: Location of the territories that were selected for the pilot experiences. In Baja Verapaz, the municipalities are: a) Rabinal, b) San Miguel Chicaj and c) Salamá. In Sololá the municipalities correspond to: d) San Pablo La Laguna, e) San Juan La Laguna, f) San Pedro La Laguna and g) Santiago Atitlán. (Source of maps: DIVA GIS, issued by Paola Cotí

Component 4 will concentrate on results based management to ensure that the project is timely and efficiently implemented and delivers the project objectives in compliance with the GEF rules and procedures with steady movement to achieve outcomes.

Pilot Site Selection Criteria. The sociolinguistic communities selected (see Figure 2) for the development of components 2 and 3, are the Achi territory, distributed in the municipalities of Rabinal (31,168 inhabitants), San Miguel Chicaj (23,201 inhabitants) and Salamá (47,274 inhabitants), located in the department of Baja Verapaz, with a territorial area of 1794 km². The second area is the Tzutujil, distributed in the municipalities of San Pablo La Laguna (5,674 inhabitants), San Juan La Laguna (8,149 inhabitants), San Pedro La Laguna (9,034 inhabitants) and Santiago Atitlán (32,254 inhabitants), that are located in the department of Solola, with a territorial area of 350 km² (Fig. 2). Both territories are relatively small, with a population concentrated in a few regions, as compared to other linguistic communities as K'iche ', Kaqchikel and Q'eqchi', covering several departments of the country. The areas selected are distinguished by the following characteristics which resulted in their selection: a) geographical location and biogeographical characteristics are characterized by the presence of three life zones that are the Very Humid Warm Subtropical Forest bmh-S; Humid Lower Montane Subtropical Forest bh-MB and Very Humid Lower Montane Subtropical Forest bmh-MB. Furthermore, the Tzutu'jil region is within the Atitlan Lake area protected by CONAP and in its surroundings there are other protected areas as the volcanoes of Atitlan and San Pedro, b) populations linked to specific sociolinguistic groups, Achi and Tz'utujil, and, the Achi region is located in a life zone known as dry sub-tropical warm forest in contrast to the other site, c) the populations have a strong cultural identification associated with the natural elements, d) have a varied distribution of important genetic resources, e) have community organizational development that can support and encourage actions to promote the project, f) are communities using traditional practices associated with the use, management and conservation of natural resources, g) previous experience with productive activities resulting from the use of genetic diversity and traditional knowledge, in which the communities are directly involved, h) presence of regional branches of government institutions involved in the process of rural development and education, and i) presence of bilingual schools for primary and secondary education levels.

Sustainability. The legal instruments established through the project will be binding and the associated policies elevated to the status of national policy. The project design has sought to integrate its components within existing policy initiatives and ongoing projects. The integration of a broad range of stakeholders in project steering mechanisms such as the Scientific Advisory committee are intended to ensure internalization of project outcomes in the institutions represented. Furthermore the training materials, tools, literature and visual products will be made available on the CHM local Guatemala site, ensuring that these will be permanently available on demand.

The links that with UNEP support will be created between this project and other regional and global ABS initiatives will create a great opportunity for future interventions and to seek additional support that can complement the efforts of this project.

Replication. The basis for replication is that the traditional knowledge in each area is identified and classified for teaching in schools. This knowledge is further transferred to the plans and programs of traditional knowledge of the communities, for later development. Promoters, guides and community elders and individuals who have been trained to transmit traditional knowledge in each school. Training workshops, virtual teaching modules and technical procedures, guidelines, criteria, tools and protocols developed under the project can be replicated or used as a model for other projects. The virtual resources, in particular, have the advantage of being directly replicable and require little adaptation, through mechanisms such as the training of trainers program in recognition and appreciation of collective traditional knowledge. In the design and generation of audiovisual resources culturally relevant for the teaching of the traditional knowledge, ancestral experiences of intergenerational transfer of traditional knowledge will be preserved. Methodologies developed by the project are

expected to be applicable in other linguistic communities and biophysical regions. Similarly, the ABS pilots will be done in a way that the information generated will include templates and examples of legal agreements that can be easily adapted for use in other areas of the Guatemalan territory. In this way, the genetic resource and the traditional knowledge associated to its use may change, however the pilot models can be used as a reference to establish new access agreements.

Communications. The structuring and implementation of coordinated actions for communication, information and awareness regarding the importance of managing the access to traditional knowledge associated with biodiversity are a fundamental part of the project work plan. Participatory activities include the systematization of information, community experiences in the intergenerational transfer of traditional knowledge, and methodologies for teaching traditional knowledge, and creating the protocol for the development of traditional knowledge inventories. The project will further develop a process of lobbying so that the organizations, stakeholders and related agencies, can adopt and incorporate the policy of access to traditional knowledge associated with biodiversity, and instruments for institutional management. This process includes a specific budget for activities and strong co-financing.

B.3. Describe the socioeconomic benefits to be delivered by the Project at the national and local levels, including consideration of gender dimensions, and how these will support the achievement of global environment benefits (GEF Trust Fund/NPIF) or adaptation benefits (LDCF/SCCF). As a background information, read [Mainstreaming Gender at the GEF.](#)":

The government of Guatemala is under intense pressure to meet education, health, social security and other obligations, and consequently scientific and technical training, research, and infrastructure are not high budget priorities. The need to build a "business case" for biodiversity conservation is therefore urgent, especially considering that biodiversity loss is further aggravated by the impacts of climate variability and change. The reality faced by many rural and indigenous communities, in particular those of Guatemala, is far from the idealized notion that these "stewards of nature" live in harmony with all living things. Few alternatives exist for poor rural communities to subsist without degrading, fragmenting and depleting the very ecosystems they depend on, which is why innovative incentives are needed to stimulate sustainable rural development and ensure that sustainable practices prevail. Through the pilots in Component 3, the project will demonstrate linkages between the protection of access to genetic resources and traditional knowledge and rural development, and consequently improve the living conditions of the inhabitants of rural areas.

The proposed project is designed to have socio-economic benefits for local communities. Targeted local communities and women's groups would be involved in the designing and implementation of the pilot projects. Bearing in mind that women in rural communities often play a key role in biodiversity use and conservation, community development and are equally the bearers of traditional knowledge, their active involvement in all project activities will be taken into full consideration. Socio-economic indicators will be developed to measure the impact of pilot interventions, with a view towards measuring both socio-economic impact and a demonstration of the value of such initiatives. As part of this effort, disaggregated gendered impacts of increased income generation will be tracked as part of the M & E system. The lessons learned, marketing and innovative successes of the Components 3 will be shared at regularly inter-community venues to en (gender) replication, and will have a positive and sustainable impact on women.

The project outcomes will allow key stakeholders to benefit from the proper use of genetic resources and the sharing of benefits. Under well-developed ABS policy framework that the project aims to achieve, socio-economic benefits will increase at local levels, where resource users or owners as well as bearers of traditional knowledge will be able to better participate in the sustainable use of biological resources. An increased recognition and better valuation of genetic resources under a robust ABS policy and regulatory framework will lead to improved and further differentiated economic opportunities at local levels, e.g. through better market access, participation in product development, or knowledge sharing.

Increasing appreciation of access to and sharing the benefits arising from biodiversity and ecosystem services will in turn lead to a more sustainable use and conservation of biodiversity, creating local and global environmental benefits not only for flora and fauna but also allowing a broader impact of biodiversity on climate change mitigation

B.4 Indicate risks, including climate change risks that might prevent the project objectives from being achieved, and if possible, propose measures that address these risks to be further developed during the project design:

Each component of the project involves specific risks, but most of them can be categorized generically and are summarized in the following table:

Risk	Consequence	Mitigation measure
Lack of political interest and changes in institutional and bureaucratic processes.	Stop issuing institutional approvals or agreements, changes in the personnel that manages the process, and administrative and political changes resulting from the election of representatives, which could interfere with the adoption of the proposed policies, affecting the negotiation process and the issuing of binding agreements	Implementation arrangements for the project take into account the decision makers at all levels, through a high level Steering Committee, A Technical and Scientific Committee and a Local Steering Committee (see Appendix 10 for more details). Involvement of key stakeholders minimise the risk by sharing responsibilities, making sure they are aware of the importance of the project, its time frames and commitments; and making sure they are aware of the benefits that the project will bring to the country.
The possibility of a weak participation of local authorities and community associations	Activities of component 2 and 3 which rely on community and stakeholders participation can be severely affected. The intergenerational transfer of TK and the pilot's execution can be hampered	The project has been formulated in a way that it will build ownership. This will minimize the risk since local communities, indigenous groups and stakeholders in general will be able to perceive the benefits that the project will bring. Moreover, the project includes activities to build awareness, which is essential for the community organisations where the pilot experiences will take place. Therefore, as the project is developed, focused awareness raising and capacity building will be key. As such, it is expected that these risks listed can be reduced greatly.
The duration of the project may be too short to assess the immediate effects of the instruments and mechanisms implemented in each	It is possible that by the end of the project not all of the capacity that has been created can be easily assessed or recognized. This could be derived in a misperception of the level of	Constant monitoring and evaluation of all project activities will take place. Moreover, documentation of the progress of each of the work plan activities will be carefully analyzed,

component	achievement of project outcomes. Particularly in components two and three; as this period of time also might not be sufficient to measure the integration and impact of TK in community development.	such that if by the end of the project long terms impacts are not evident, a proved of the changes on the baseline can be offered. It is understood that the Theory of Change build into the evaluation process will assist in determining the effectiveness of these interventions.
Overharvesting of Biodiversity	Successful benefit sharing could result in the perverse incentive of overharvesting.	Each pilot will feature careful data gathering and a transparent monitoring system taking into account the consequences on livelihoods of indigenous and local communities. Proactive project communication mechanisms will encompass pilot experiences.

B.5. Identify key stakeholders involved in the project including the private sector, civil society organizations, local and indigenous communities, and their respective roles, as applicable:

The stakeholders and sectors involved are organized as follows: a) technical stakeholders relating to use and management, owners (public and private) and potential applicants; b) stakeholders involved in management and information such as the ministries and institutions with jurisdictional responsibilities according to the Judicial Body Law and common law, such as CONAP, the Ministry of Environment and Natural Resources, Ministry of Agriculture, Livestock and Food, Ministry of Economy and Ministry of Culture and Sports; c) Public and private institutions, for example Industrial Property Registry; d) Public institutions involved in the control or supervision of the implementation of regulation, such as the Division of Nature Protection (DIPRONA) Public Ministry, universities and public research centers.

The implementation of the project will be led by National Council of Protected Areas as the body mandated for the management of biodiversity in the country. However, implementation responsibility will be jointly shared with all government bodies with share elements of responsibility for the management of issues addressed in the project. Thus, the Steering Committee, together with UNEP, will be composed of institutions as MAGA, MARN, MINIEDUC, MICUDE, and MINECO with CONAP serving as the coordinator of such committee. This committee will be composed of senior staff from each organization, as decisions taken, will be binding.

There are additional stakeholders: academic organizations, civil society and non-governmental organizations and the private sector that will participate in the providing guidance and input to the project. To ensure continuous dialogue between these stakeholders and experts, a scientific advisory committee will provide consultative and advisory functions (See figure in Appendix 10). The academic sector will be represented by the Faculty of Agriculture of the University of San Carlos of Guatemala, FAUSAC, the Institute of Ethnic Studies and the Center for Conservation Studies-CECON. Indigenous sector will be represented through the Sotzil Organization which has influence in the central highlands of Guatemala. The project will feature a robust communicate strategy, to ensure that project activities are well publicized and participative in their nature.

Taking into account that the 4 pilots will be implemented in specifically defined regional areas, two local steering committees will be formed, with the intention of involving the regional delegates of the participating institutions from the national steering committee. Focus and participation of these bodies at the local level, will ensure opportunities for participation of local organizations and local authorities. The local development committees – COCODES-, the municipal development committees -COMUDES- and departmental development committees –

CODEDES- have a particular relevance. These organizations are the regional and local mechanisms of development management that are linked to the efforts of the national government and all its ministries and will be important allies for the implementation of activities in each of the territories.

B.6. Explain how cost-effectiveness is reflected in the project design

The project aims to achieve catalytic influences through the creation institutional capacity for the various facets of the biodiversity management, in particular of the genetic resources. The changes introduced by the intended policy and a better integration and coordination between government institutions, to reflect the inter-agency and multi-disciplinary actions of the ABS and its relationship with trade and production activities favor sustainable development, promote improvements in the quality of life in the areas rich in traditional knowledge.

The project will have two primary impacts: one nationwide which delivers management tools: legal framework of the access policy, and a TK protocol that allows developing the first efforts to protect them. Legal management of GR and TK at a national level will be enhanced, which will advance sharing of. At the regional level, concrete ABS experiences will permit stakeholders to gain capacity in the management mechanisms for access by third parties, resulting in empowerment and socio economic benefits.

The project aims, where possible, to leverage and replicate the investment made by the GEF, expanding and ensuring the impact of the activities. For example, the training programs will result in materials that can be used in the future. The project will further seek additional funds and contributions from stakeholders.

B.7. Outline the coordination with other related initiatives:

This project will coordinate with the GEF-supported ABS projects: *Global support for the ratification and entry into force of the Nagoya Protocol on Access and Benefit Sharing and Capacity Building for the Early Entry into Force of the Protocol on Access and Benefit Sharing*, with UNEP as implementing agency. Additional coordination and information will be derived from the three ABS regional projects in Africa, Asia and Latin America, and the two country-based projects in India and Ethiopia. Enabling Activities in Morocco, Pakistan and Mozambique, will be considered too. Steering Committees for the regional projects feature cross representation (UNEP, IUCN, CBD), thus ensuring a certain level of coordination. Venues such as CBD COPs will provide platforms for additional sharing of experiences.

In Guatemala specifically a number of GEF funded projects are at different phases of development or implementation: 1) Strengthening of the conservation of biodiversity through the processes of forest management in order to ensure the flow of ecosystem services while ensuring systemic ecosystem resilience to climate change - which is being developed by an Non-Governmental co-administrative organization along with the National Council of Protected Areas; 2) Strengthening the financial sustainability of the Protected Areas System of Guatemala (SIGAP) develops new financing vehicles relying on ecotourism management, ensuring the consistency of these eco activities with the conservation objectives of biodiversity; 3) There is additionally a plan for a project that seeks to promote long-term conservation and sustainable use of marine and coastal biodiversity of global significance through an effective and fair administration of coastal marine protected areas (MPAs), which will help to improve the economic welfare of the people of Guatemala, and will result in the conservation of the elements of the customs and cultures associated with life in coastal areas and their genetic resources. 4) There is a project which seeks to establish national biosafety through the development of the necessary policies, policy instruments, and technical and local capacities to meet national development needs. This latest project is of significant importance for the conservation of the genetic resources of cultivated species with cultural and economic importance, particularly those that have some natural distribution of wild relatives in the country. CONAP in its function as operational focal point for GEF and through its role as manager and member in steering mechanisms for these projects will ensure coordination in country.

UNEP would also seek to link the proposed project to the lessons learned from a concluded GEF supported Medicinal Plants project which lives on as TRAMIL, an investigative project applied to the popular traditional medicine of Haiti, Dominican Republic and of other Caribbean countries which aims to improve and rationalize the popular medical practices based on the use of medicinal plants. Ongoing efforts feature workshops with the University of the West Indies, sharing of experiences, methodologies and expertise.

C. GEF AGENCY INFORMATION:

C.1 Confirm the co-financing amount the GEF agency brings to the project:

UNEP co-financing in the amount of \$20,000 is confirmed through expertise, tools and publications. UNEP co-finance comes from the Division of Regional Cooperation (DRC).

UNEP during GEF-4 and GEF-5 has supported countries as well as regions in accessing GEF resources for ABS, resulting in a substantial portfolio and a pool of experience in supporting and coordinating similar projects.

C.2 How does the project fit into the GEF agency's program (reflected in documents such as UNDAF, CAS, etc.) and staff capacity in the country to follow up project implementation:

Support to countries in assessing their opportunities and gaps in addressing issues of Access and Benefit Sharing, as well as adhering to the requirements under the Nagoya Protocol is already an integral part of UNEP's Programme of Work (PoW) 2012-2013 and will play an equally important role in the new PoW 2014-2015. The project is in line with UNEP Medium Term Strategy (2014-2015) for Sub-Programme 4 (Environmental Governance) in ensuring that environmental governance at country level is strengthened to addresses the agreed environmental priorities. UNEP Division of Environmental Law and Conventions (UNEP DELC) assists many national partners and governments through its expertise in environmental law and policy to develop and implement ABS policies and to harmonize national processes for the implementation of CBD provisions on ABS. UNEP-DELC has at least three officers who specialize in ABS issues, legal and political ramifications, as well as the international processes around CBD and the Nagoya Protocol. UNEP DELC deploys MEA Focal Points who are based in the UNEP Regional Offices for Africa (ROA), Asia and the Pacific (ROAP), West Asia (ROWA) and Latin America and Caribbean (LAC). Task Management will be based in the latter (ROLAC).

PART III: INSTITUTIONAL COORDINATION AND SUPPORT

A. INSTITUTIONAL ARRANGEMENT:

UNEP will be the sole implementing agency.

B. PROJECT IMPLEMENTATION ARRANGEMENT:

The executing agency will be CONAP along with UNOPs for the purposes of financial and procurement management. CONAP will be responsible for the technical delivery of the project. The project will be managed by a Coordinator (NPC) who will be assisted by a technical assistant and a technical team composed of several consultants as its theme. The NPC will be responsible for integrating and promoting synergies in the administrative political context necessary for the implementation of the project components and the management review and evaluation of all project components and products, as well as execute the functions of the SC secretary. All administrative reports of each of the technical teams and their progress will be monitored by the Coordinator. The project will feature a National Steering Committee, a Scientific Advisory Committee and 2 Local Steering Committees for the areas of pilot interventions. Full details of the implementation arrangements at Appendix 10.

PART IV: EXPLAIN THE ALIGNMENT OF PROJECT DESIGN WITH THE ORIGINAL PIF

The project design is fully consistent with the design of the original PIF. Any shifts in budgeting further to appraisal are relatively minor (<10%).

PART V: APPROVAL/ENDORSEMENT BY GEF OPERATIONAL FOCAL POINT(S) AND GEF AGENCY(IES)


N/A

A. RECORD OF ENDORSEMENT OF GEF OPERATIONAL FOCAL POINT(S) ON BEHALF OF THE GOVERNMENT(S): (Please attach the [Operational Focal Point endorsement letter\(s\)](#)).

NAME	POSITION	MINISTRY	DATE (MM/dd/yyyy)
Luis Armando Zurita Tablada	Minister of Environment and Natural Resources	Ministry of Environment and Natural Resources	8/9/2011

B. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF/LDCF/SCCF/NPIF policies and procedures and meets the GEF/LDCF/SCCF/NPIF criteria for CEO endorsement/approval of project.

Agency Coordinator, Agency Name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
Maryam Niamir-Fuller, Director, GEF Coordination Office, UNEP		April 22, 2013	Marianela Araya	507-305-3169	Marianela.araya@unep.org

ANNEX A: PROJECT RESULTS FRAMEWORK

Project Logical Framework and Objectively Verifiable Impact Indicators

Project Objective						
To develop policy and legal frameworks and institutional mechanisms for access and benefit sharing (ABS), in order to strengthen biodiversity conservation, promote rural development and support climate change adaptation						
Project Components	Indicator	Baseline	Mid Term Target	End of Project Target	Sources of verification	Risks and Assumptions
Component 1. Developing a national framework for accessing genetic resources (GR), protecting traditional knowledge (TK) and ensuring benefit sharing.						
Outcome 1.1 Guatemala has in place the instruments needed to facilitate access to genetic resources, protected traditional knowledge, and engage in benefit sharing supported by a legal framework.	1.1.1 National policy on access to GR and TK presented to the National Ministerial Council for approval.	No national political and strategy on access and protection of GR and TK. Guatemala signed the Nagoya Protocol May 2011.	Draft national policy on access to GR and TK.	A national policy on access to GR and TK approved by CONAP and presented to the Council of Ministers Public awareness of new policy and law is increased by 60% relevant targeted groups: gov, nogs, cso, universities.	Minutes, registration paperwork and documentation of management process to the Council of Ministers and their Ministries, for obtaining the governmental agreement of the policy. Monitored. Progress Reports. Signatures of the ministers concerned to legalize governmental agreement. Approval of the policy document by the Honorary Board of the National Council of Protected Areas and the beginning of the issuing procedure of the Government Agreement.	Lack of political will. Changes in policy verbage over course of negotiation and agreement.

	<p>1.1.2 National law on access to genetic resources (GR) and benefit sharing procedures manual, developed in a participatory fashion, and including traditional knowledge related to GR; through the sensibilization of the indigenous groups to participate in this effort.</p>	<p>No ABS regulations in the Guatemalan legal framework.</p> <p>Socio-linguistic groups are excluded from management of GR and TK.</p>	<p>Stakeholder consultation drafting process underway.</p> <p>Mechanisms to implement the law identified.</p> <p>Outline of draft regulations.</p> <p>Outline of draft manual procedures.</p>	<p>A legal framework is adopted by CONAP and submitted to the Congress of the Republic.</p> <p>The regulations for the implementation of mechanisms to ensure informed consent to access and the fair and equitable sharing of benefits are approved by CONAP.</p> <p>Public awareness (by relevant stakeholders) of the regulations is increased by 60%.</p>	<p>Legal framework approved by CONAP.</p> <p>Record of entry of the legal framework with the Congress of the Republic.</p> <p>Regulation for the development of the Prior Informed Consent and contracts of Mutually Agreed Terms is approved by CONAP.</p> <p>Progress Reports.</p> <p>Minutes of Meetings and Workshops of the Working Group.</p>	<p>Changes in policy verbiage over course of negotiation and Agreement.</p>
	<p>1.1.3 Framework for traditional knowledge promotes cross-linkages between policies relating to biodiversity, climate change adaptation and the processes of desertification and land use change.</p>	<p>National policies for mitigation and adaptation to climate change, desertification and land-use change developed: (1) without addressing the focus of cultural relevance; (2) without considering</p>	<p>Policies relating to climate change, desertification, change land use, are checked and the cultural elements of the sociolinguistic communities are identified systematized.</p>	<p>A plan and strategy exists for the incorporation and integration of collective traditional knowledge associated with biological diversity in projects, programs and public policies to address the adverse effects of climate change, land use</p>	<p>Proposal document approved by the National Council of Protected Areas.</p> <p>Minutes of the meetings of socialization of the Strategy document.</p>	<p>Elevating this process to the Council of Ministers makes the process complex.</p> <p>Lack of interest by the Ministries.</p>

		proprietary TK management systems of cultural linguistic communities.		change and desertification, approved by CONAP. Socialization of the strategies to the competent instances.		
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Outputs for Outcome 1

1.1.1. National policy for access to genetic resources and traditional knowledge groups is approved by the Consejo Nacional de Areas and broadcast agreement for the processing of a Government agreement to promote it as a public policy.

1.1.2.1 National law for the management of access to collective TK and genetic resources that will ensure the fair and equitable sharing of the benefits arising from their use and that recognizes the right to own mechanisms and mechanisms of management of local communities.

1.1.2.2 Procedures manual that defines mechanisms for the management of access and protection of collective traditional knowledge associated to genetic resources, and also that recognize different levels of authorities in their management.

1.1.3 Framework for use and promotion of the elements of traditional knowledge associated to biodiversity with climate change, desertification, and change in land use.

Component 2. Protecting traditional cultural knowledge associated with sustainable use of biodiversity to catalyze its potential for rural development.

Outcome 2 Enabling conditions established within the relevant Guatemalan Institutions for the development of rural community-based initiatives relating to the sustainable use of biodiversity and the transfer and use of traditional	2.1 A protocol to develop a traditional knowledge inventory, with information on the distribution, diversity and sociolinguistic relevance of traditional knowledge, and on its potentiality for conservation and sustainable use of biodiversity and rural development.	No protocol to develop inventories in TK.	Stakeholder consultation process underway. Draft protocol developed.	Protocol approved by CONAP. Enhanced public awareness of Protocol (leaders and representatives of Indigenous Peoples) through 4 regional workshops.	500 Printed copies of the Protocol Model. Report of workshops to authorities of sociolinguistic communities. Progress Reports.	
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knowledge.						
	<p>2.2 Mechanisms defined to ensure inter-generational transfer of traditional knowledge and technologies at the subnational level in at least two sociolinguistic areas, bilingual schools, multicultural education.</p>	<p>Efforts to incorporate TK in current educational models are minimal.</p>	<p>Mechanisms and models of incorporation of traditional knowledge are used in 2 primary schools of communities in each intervention area.</p> <p>Educational Plans and programs are developed in primary schools through a participatory research in traditional knowledge with guides and community elders.</p> <p>Six guides or local promoters are trained in the use of the educational plans and programs in the two primary schools.</p>	<p>Execution and validation of Educational plans and programs of traditional knowledge in two primary schools and one secondary school in each intervention area.</p> <p>Educational Plans and Programs in TK running on: 2 schools from the primary level, 1 school of basic education in two selected sociolinguistic territory.</p> <p>Program and training of trainers in TK undertaken.</p> <p>A Proposal with mechanisms, models, plans and programs for public education (primary and secondary levels) for the transfer and preservation of TK</p>	<p>Two intervention models and mechanisms of teaching of TK are systematized and recorded, one for each level of training.</p> <p>500 printed training materials for teaching in traditional knowledge developed for each intervention area.</p> <p>A report with lessons learned from the activities of training of trainers.</p>	<p>The expected inputs of component 3 that will be used as the basis for the development of component 2 activities can delay and affect planning.</p> <p>The support of the local authorities support for the educational proposal can last longer than expected.</p> <p>The immediate effects of the instruments and mechanisms selected and identified may not be sufficient to achieve the evaluation and promotion of traditional knowledge for the scope of the community development.</p>

				<p>associated with biological diversity have been developed and submitted to the responsible national authorities.</p> <p>500 copies of training materials for learning in traditional knowledge to be use at primary and secondary schools and for training of trainers.</p>		
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Outputs for Outcome 2

- 2.1. Protocol containing the basic elements of the inventory and content formats for capture and registration of traditional knowledge. 500 hard copies of the Protocol for inventories.
- 2.2. Intervention models of educational plans and programs to teach traditional knowledge are systematized and proposed as an alternative to improve the conservation of traditional knowledge in the sociolinguistic territories.

Component 3. Building linkages between biodiversity conservation and sustainable use.

<p>Outcome 3 Strengthened integration of Traditional Knowledge (TK) and Sustainable Use of Genetic Resources in accordance with CBD provisions consistent with development at local and sub-</p>	<p>3.1 Four (4) ABS pilot demonstrations promoting sustainable use of genetic resources including one example each of the following:</p> <p>*non-commercial: conservation *commercial use: biotrade;</p>	<p>No national or local experience in the management and administration of the access to genetic resources and traditional knowledge to ensure the benefits of its</p>	<p>Four genetic resources associated to traditional knowledge in each one of the two territories sociolinguistics in which intervenes are identified. Implementation plan (strategy) for each of the</p>	<p>Final documents recording the experiences of each pilot.</p> <p>Four different models of benefit distribution and four different structures of contracts for mutually agreed use of GR and TK</p>	<p>Reports of 4 workshops and events for participatory research to identify genetic resources, traditional knowledge, and factors limiting access and use management. Registration and documentation of the legal processes and the drafts of the legal agreements of the 4 experiences of access for of GR and TK.</p>	<p>Low participation of local people.</p> <p>The negative intervention of outsiders to the experience.</p> <p>The limited success of exercise in the provision of benefits to local people.</p>
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national levels.	<p>*commercial use: value chain *merging scientific and traditional knowledge</p>	<p>use and promote rural development.</p> <p>Public sector institutions have not identified the strategic value of the use of biodiversity, genetic resources and traditional knowledge in the promotion of rural development and, consequently, the lack of initiatives to formalize their implementation, unlike some non- governmental organizations.</p>	<p>pilots developed.</p> <p>The local authorities and organizations of two sociolinguistics territories are trained to manage the legal mechanisms of the access of GR and TK for participating in the pilot experiences.</p> <p>Drafts of legal agreements for each of the pilots, including distribution of benefits and rural development derived of GR and TK are developed.</p> <p>Capacity building in biotrade and value chains in at least 4 local productive organizations in each territories on access and developing</p>	<p>established.</p> <p>2 products derived from the biotrade pilot project established promoting local development.</p> <p>Personnel from at least 6 institutions are trained in the design of mechanisms to support and promote local development derived from access of GR and TK.</p>	<p>Documents that register the processes of innovation, value chains analysis and identification of markets for biotrade</p> <p>Draft documents for every pilot.</p> <p>At least one ABS agreements for rural development in each territory are obtained.</p>	<p>Weak participation of regional offices of the public sector due to its limited resources.</p>
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			sustainable use (management, administration, innovation and production efficiency) in GR and TK.			
	3.2 Information material and cross sharing events to disseminate lessons learned in demo pilots.		Identification of the regions where the workshops will take place.	Enhanced public awareness and knowledge sharing of final products of each of the pilots.	500 documents of the pilots experiences printed and published. Report on 7 regional workshops socialization process results.	Non risk.

Outputs for Outcome 3

- 3.1.1.1. Systematization of 4 access experiences and use genetic resources and traditional knowledge in two territories socio-linguistic.
- 3.1.1.2 Documentation of four models of access to genetic resources and traditional knowledge that promote the sharing of benefits and rural development.
- 3.1.1.3 Two ABS agreements derived from the pilots.
- 3.1.2 Background documents for the systematization of experiences and lessons learned access during the process, for the general public and to institutions on access management.

Component 4. Monitoring and evaluation.

Outcome 4.1. Implementation progress monitored, outcomes evaluated.	4.1.1 Mechanisms to sustain and coordinate monitoring and evaluation are undertaken		Project reporting (technical and financial included audits and cofinancing) is fully up-to-standard and up-to-date. Mid Term Review underway with appropriate data available .	Project reporting (technical and financial included audits and co-financing) is fully up-to-standard and up-to-date. Mid Term Review and Terminal evaluation completed with successful ratings.	Steering committee minutes. Progress Reports , PIRs, UNEP Terminal Report Mid Term Review and Final Evaluation Reports.	
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Outputs for Outcome 4

4.1.1 Technical and Financial Reports, Evaluations.

Component 5. Project management.

Outcome 5.1. Provide administrative support and supervision during project execution.	5.1.1 Mechanisms to sustain and coordinate project execution are undertaken.		All project staff appointed. Work plans and budgets up to date and on target.	Deliverables and milestones achieved.	Steering committee minutes. Progress Reports, PIRs.	
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Outputs for Outcome 5

5.1.1.1 Project management comprising oversight, coordination and administrative structures and featuring adaptive management.

5.1.1.2 Feedback and orientation from steering committee.

ANNEX B: RESPONSES TO PROJECT REVIEWS (from GEF Secretariat and GEF Agencies, and Responses to Comments from Council at work program inclusion and the Convention Secretariat and STAP at PIF).

GEFSEC Review Comments September 12, 2011	UNEP Response September 14, 2011
<p>3. Please delete in Section C all that text about 1999 Action Plan on Complementarity ...and refer to UNEP’s current comparative advantage to implement an ABS project.</p>	<p>Done and updated with current GEF Council approved language.</p>
<p>10. Does the proposal clearly articulate how the capacities developed, if any, will contribute to the sustainability of project outcomes?</p> <p>No, in fact, this is not addressed at all in the PIF. Please include in a revised PIF.</p>	<p>Sustainability of project outcomes is reinforced by capacity being built at the national level (component 1); inter-institutional levels (component 2) and local and sub-national levels (component 3). Language has been added to underline this on last para, page 11. Also supporting language on pages 10 & 12 (see b).</p>
<p>11. The description of the baseline condition and baseline project is not adequate. Please expand this part of section B.1 and address each component of the project and what is being invested in these thematic areas and what is the baseline condition.</p> <p>In addition, in Section B.1, the entire paragraph on climate change adaptation has no relevance to the proposed intervention strategy, thus delete it.</p>	<p>The baseline condition has been re-organized to address each component of the project.</p> <p>The paragraph on climate change adaptation has been deleted, with a reference to climate change concerns being integrated into project design.</p>
<p>12. Has the cost-effectiveness been sufficiently demonstrated, including the cost-effectiveness of the project design approach as compared to alternative approaches to achieve similar benefits.</p> <p>No. Please include in the revised PIF.</p>	<p>While this element would be more fully elaborated at the CEO endorsement phase following the PPg phase, as required, a para has been added at the end of B2 to rationalize cost effectiveness of the presented approach.</p>
<p>14. Component three as presented in the project framework and in the subsequent verbal description is vague and unfocused. Please improve the description of component three with a clear focus on ABS agreements.</p>	<p>Component 3 is a critical and country owned component designed to advance ratification and implementation of the Protocol. A clearer focus is provided to explain the demonstration agreements which are to be piloted.</p>
<p>18. Consideration of Risks. Yes and in a practical and reasonable way. Once component three is better described and presented in the revised PIF, this section should be revisited and</p>	<p>Climate change risks will be integrated into design of pilot demonstrations during the PPG phase.</p>

<p>improves as this is where climate change and climate resilience may impact the management of genetic resources within the context of ABS agreements.</p>	
<p>24. Co-finance. Component Three should have a higher proportion of cofinance as the local benefits generated through these activities will be much higher on a proportional basis than the current ratio of GEF funds to cofinance suggests. Please review this and revise when formulating the revised PIF.</p>	<p>An adjustment has been made, and acknowledgement is made, nonetheless proponents note that these are pilots to test implementation of ABS.</p>
<p>25. In the revised PIF, please commit UNEP-DEPI and CONAP to either an "in-kind" or a cash contribution.</p>	<p>At this time, it is preferred to leave this in the pull down template category of "unknown at this stage" with a view towards maximizing eventual potential in cash co-financing.</p>
<p>26. Given the importance that UNEP places on ABS as part of its PoW, we would expect a higher level of cofinance for its work on ABS. Please try and increase this amount in the revised PIF.</p>	<p>The UNEP ABS Strategy is still in draft and will be adjusted at CEO endorsement. Proposed support to the UNEP ABS Strategy include: 1) assisting discussions under the CBD; and 2) building and piloting national level ABS programmes that develop and implement effective ABS policies in the particular countries and provide lessons, tools and materials.</p>
<p>30. Please reconsider the title of the project as well as it is misleading and inconsistent with what the project can hope to achieve with such a small investment. The GEF BD strategy for ABS is focused on building country capacity on ABS to implement the Nagoya Protocol as a means to conserve and sustainably use biodiversity. The modest investment provided through this project is not going to make an impact on climate change adaptation and will make a marginal impact on rural development. Hence the project title sets up the project for achievements that are too grandiose for the amount of investment being provided. A title such as "Access to and Benefit Sharing and Protection of Traditional Knowledge to Promote Biodiversity Conservation and Sustainable Use" is more in line with both the activities and components of this project and the level of ambition that is realistic vis a vis the budget.</p>	<p>Done</p>

ANNEX C: CONSULTANTS TO BE HIRED FOR THE PROJECT USING GEF/LDCF/SCCF/NPIF RESOURCES

<i>Position Titles</i>	<i>\$/ Person Week*</i>	<i>Estimated Person Weeks**</i>	<i>Tasks To Be Performed</i>
For Project Management			
National Project Coordinator	400	65	Coordination and Components 1-4
For Technical Assistance			
1 Technical Leader/Facilitator	400	141	Component 1
1 expert in TK and GR	300	188	
1 legal expert	275	32	
1 Technical Leader/Facilitator	400	2.5	Component 2
2 TK educations specialists	300 each	84 each	
1 Technical Leader/Facilitator	400	36.5	Component 3
1 expert in TK and GR	400	168	
2 consultants in the pilots development	300 each	144 each	
2 Consultants to design production strategies and innovation	300 each	168 each	
2 anthropologists	300 each	144 each	
1 legal expert	300	72	
1 communications experts	300	46	

* Provide dollar rate per person week. ** Total person weeks needed to carry out the tasks.

ANNEX D: STATUS OF IMPLEMENTATION OF PROJECT PREPARATION ACTIVITIES AND THE USE OF FUNDS

A. EXPLAIN IF THE PPG OBJECTIVE HAS BEEN ACHIEVED THROUGH THE PPG ACTIVITIES UNDERTAKEN.

The PPG activities were designed to help elaborate the PIF into a Project Document. A fully consultative appraisal process has been completed with resulting technical and financial details.

B. DESCRIBE FINDINGS THAT MIGHT AFFECT THE PROJECT DESIGN OR ANY CONCERNS ON PROJECT IMPLEMENTATION, IF ANY:

N/A

C. PROVIDE DETAILED FUNDING AMOUNT OF THE PPG ACTIVITIES AND THEIR IMPLEMENTATION STATUS IN THE TABLE BELOW:

<i>Project Preparation Activities Approved</i>	<i>Implementation Status</i>	<i>GEF/LDCF/SCCF/NPIF Amount (\$)</i>				<i>Co-financing (\$)</i>
		<i>Amount Approved</i>	<i>Amount Spent To date</i>	<i>Amount Committed</i>	<i>Un-committed Amount*</i>	
1. (a) Stakeholder Analysis, (b) Participatory Methodology and (c) Stakeholders Meetings at local and national levels bringing together technical staff and key stakeholders to deliberate on; (d) baseline circumstances, project design, implementation, and monitoring and evaluation arrangements.	Completed	24,590	24,590	24,590	0	52,040
Baseline data collection and analysis . Review of previous studies and reports as well as recent policy instruments to determine (i) the current status of ABS mechanisms in the country; (ii) the central elements to be addressed via policy, and (iii) the legal gaps that still need to be filled.	Completed	6,000	6,000	6,000	0	13,000
Set of criteria and strategic methods which will guide project design and pilot site selection.	Completed	4,000	4,000	4,000	0	8,000
		38,450	38,450	38,450	0	73,040

* Any uncommitted amounts should be returned to the GEF Trust Fund. This is not a physical transfer of money, but achieved through reporting and netting out from disbursement request to Trustee. Please indicate expected date of refund transaction to Trustee.

ANNEX E: CALENDAR OF EXPECTED REFLOWS (if non-grant instrument is used) – N/A

Provide a calendar of expected reflows to the GEF/LDCF/SCCF/NPIF Trust Fund or to your Agency (and/or revolving fund that will be set up)

APPENDICES

Appendix 1: GEF Components and Yearly Budget

Appendix 2: Co-financing Budget

Appendix 3: Acronyms

Appendix 4: Incremental Cost Reasoning

Appendix 5: Work Plan

Appendix 6: Key Deliverables and Benchmarks

Appendix 7: Costed M&E Work Plan Summary

Appendix 8: Summary of reporting requirements and responsibilities

Appendix 9: Standard terminal evaluation TOR

Appendix 10: Decision-making flowchart and organizational chart

Appendix 11: Terms of Reference – Project Manager

APPENDIX 1: RECONCILIATION BETWEEN GEF ACTIVITY BASED BUDGET AND UNEP BUDGET LINE (GEF FUNDS ONLY US\$)

Project title: ABS Guatemala: Access to and Benefit Sharing and Protection of Traditional Knowledge to Prom Biodiversity Conservation and Sustainable Use
 Project number: GEF ID 4618
 Project executing partner: OTECBIO of the National Council of Protected Areas (CONAP)
 Implementation period:

		Expenditure by project component/activity					Expenditure by calendar year						
From:	mar-14	1 Policy	2 TK	3 Pilots	4 M&E	5 PMC	year1 (partial)	year 2	year3	year 4	year 5 (partial)	Total	
To:	mar-17												
UNEP Budget Line												Total	
10 PROJECT PERSONNEL COMPONENT													
1101 Project manager (National Project Coordinator)		56,400	1,000	14,600	0	26,127	98,127	18,399	24,532	24,532	24,532	6,133	98,127
1102 Project Staff							0						0
1120 Administrative Staff							0						0
1201 International Consultants							0						0
1202 National Consultants		37,600	50,400	376,200			464,200	150,000	160,000	77,100	77,100		464,200
1601 Travel for training activities			5,000	45,000			50,000	15,000	15,000	10,000	10,000		50,000
1999 Component total		94,000	56,400	435,800	0	26,127	612,327	183,399	199,532	111,632	111,632	6,133	612,327
20 SUB-CONTRACT COMPONENT													
2201 Administrative Support							0						0
2301 Sub-contracts							0						0
2999 Component total		0	0	0	0	0	0	0	0	0	0	0	0
30 TRAINING COMPONENT													
3201 Technical Training			17,000	67,000			84,000		42,000	42,000			84,000
3301 Meetings		16,300	5,500	25,200	7,000		54,000	17,100	17,100		2,700		54,000
3999 Component total		16,300	22,500	92,200	7,000	0	138,000	17,100	59,100	59,100	2,700		138,000

40	EQUIPMENT AND PREMISES COMPONENT											
4101	Paper, ink, and other office supplies	3,000		5,000	0	8,000	2,000		2,000	2,000	2,000	8,000
4102	Laboratory supplies and consummables					0						0
4201	Computers and accessories/Non Laboratory Purchase	2,700		6,881		9,581	9,581					9,581
4202	Xerox machine/Laboratory Equipment					0						0
4301	Office Premises					0						0
4302	Research Facilities					0						0
4999	Component total	5,700	0	11,881	0	17,581	11,581	2,000	2,000	2,000	0	17,581
50	MISCELLANEOUS COMPONENT											
5101	Maintenance of office non-expendable equipment					0						0
5201	Printing and publishing/publications, translations	4,000	5,000	15,500	3,719	28,219	2,000	8,073	8,073	8,073	2,000	28,219
5202	Audit Reports					0						0
5301	Communication costs					0						0
5302	Other					0						0
5303	Technical Support /Evaluations			25,000		25,000		7,000			18,000	25,000
5375	Financial and Procurement Services				53,373	53,373	13,343	17,791	17,791	4,448		53,373
5999	Component total	4,000	5,000	15,500	28,719	106,592	15,343	25,864	32,864	12,521	20,000	106,592
99	GRAND TOTAL	120,000	83,900	555,381	35,719	874,500	227,423	286,496	205,596	128,853	263	874,500

**APPENDIX 2 - RECONCILIATION BETWEEN GEF BUDGET AND CO-FINANCE BUDGET
(TOTAL GEF & CO-FINANCE US\$)**

Project title: ABS Guatemala: Access to and Benefit Sharing and Protection of Traditional Knowledge to Promote Biodiversity Conservation and Sustainable Use

Project number: GEF ID 4618
Project executing partner: OTECBIO of the National Council of Protected Areas (CONAP)

Project implementation period:
From: mar-13
To: mar-17

	CONAP		FONACON		SOTZIL		MICUDE		FAUSAC		IDEI		CECON		Junej Tinam		UNEP		TOTAL		TOTAL
	Cash	In-kind	Cash	In-kind	Cash	In-kind	Cash	In-kind	Cash	In-kind	Cash	In-kind	Cash	In-kind	Cash	In-kind	Cash	In-kind	Cash	In-kind	
	B	C	D	E	B	C	D	E	B	C	D	E	F	G	F	G					
UNEP Budget Line																					
10 PROJECT PERSONNEL COMPONENT																					
1101 Project manager (National Project Coordinator)																					
1102 Project Staff		128,000			40,000		30,000		30,000		20,000		20,000		20,000					288,000	288,000
1120 Administrative Staff		36,000																		36,000	36,000
1201 International Consultants																				0	0
1202 National Consultants																				0	0
1601 Travel for training activities abroad/Staff Travel & Transport																				0	0
1999 Component total		164,000			40,000		30,000		30,000		20,000		20,000		20,000		0			324,000	324,000
20 SUB-CONTRACT COMPONENT																					
2201 administrative support/Sub-contract to GOV																				0	0
2301 Sub-contract to private firms																				0	0
2999 Component total																				0	0
30 TRAINING COMPONENT																					
3201 Technical Training (Training)					30,000		10,000		50,000		5,000		5,000		5,000					105,000	105,000
3301 meetings comities/Meetings		10,500			15,000		10,000		2,000		1,000		1,000		1,000					40,500	40,500
3999 Component total		10,500			45,000		20,000		52,000		6,000		6,000		6,000					145,500	145,500
40 EQUIPMENT AND PREMISES COMPONENT																					
4101 Paper, ink, and other office supplies/Office Supplies		5,000																		5,000	5,000
4102 Laboratory supplies and consummables		5,000																		5,000	5,000
4201 Computers and accesories/Non Laboratory Purchase		10,000																		10,000	10,000

4202	Xerox machine/Laboratory Equipment											0	0
4301	Office Premises	56,114		54,000	35,000	4,000	4,000	4,000	4,000			161,114	161,114
4302	Research Facilities			30,000	10,000	10,000	10,000	10,000	10,000			80,000	80,000
4999	Component total	76,114		84,000	45,000	14,000	14,000	14,000	14,000			261,114	261,114
50	MISCELLANEOUS COMPONENT												
5101	Maintenance of office non-expendable equipment	9,000		10,000								19,000	19,000
5201	Printing and publishing/Publications, translations	1,400		1,000	5,000	4,000	10,000	10,000		20,000		51,400	51,400
5202	Audit Reports											0	0
5301	Communication costs	50,000										50,000	50,000
5302	Other		100,000	20,000							100,000	20,000	120,000
5303	Evaluation	1,000										1,000	1,000
5375	UN Agencies Support Charge											0	0
5999	Component total	61,400	100,000	31,000	5,000	4,000	10,000	10,000	0	20,000	100,000	141,400	241,400
TOTAL		312,014	100,000	200,000	100,000	100,000	50,000	50,000	40,000	20,000	100,000	872,014	972,014

APPENDIX 3: Acronyms and Abbreviations

Convention on Biological Diversity	CBD
Center for Conservation Studies	CECON
Consultative Group System on International Agricultural Research	CGIAR
Convention on International Trade in Endangered Species of Wild Fauna and Flora	CITES
Communal Development Council	COCODES
Municipal Development Council	COMUDES
National Council for Protected Areas	CONAP
Department of Nature Conservation	DIPRONA
Evaluation and Oversight Unit	EOU
San Carlos University Faculty of Agronomy	FAUSAC
General Agreement on Tariffs and Trade	GATT
Grosse Domestic Product	GDP
Global Environment Fund	GEF
Institute for Ethnic Studies	IDEI
National Forest Institute	INAB

Guatemalan Tourism Institute	INGUAT
Foundation for Rural Development	Jung T'inam
Ministry of Agriculture	MAGA
Ministry of the Environment	MARN
Ministry of Culture and Sports	MICUDE
Ministry of the Economy	MINECO
Ministry of Education	MINIEDUC
Medium Sized Project	MSP
North American Free Trade Agreement	NAFTA
National Biodiversity Policy	NBP
National Competent Authority	NCA
Non-Governmental Organizations	NGOs
Technical Office for Biodiversity	OTECBIO
Project Identification Form	PIF
Guatemalan System of Protected Areas	SIGAP
Mayan Center for Research and Development Planning	SOTZIL
United Nations Development Program	UNDP
United Nations Environment Programme	UNEP
United Nations Educational Scientific and Cultural Organization	UNESCO
United Nations Office for Project Services	UNOPS
International Union for the Protection of New Varieties of Plants	UPOV
World Intellectual Property Organization	WIPO
World Trade Organization	WTO

APPENDIX 4: Incremental Cost Reasoning

Background. Adding new elements of public management to national governance requires significant effort in modifying the tools and instruments that promote the formation of new institutions. However, the economic and social conditions frequently focus national efforts on these other priorities. Whilst the importance of issues related to the environment and biodiversity is recognized, but because of priorities defined by several government programs, the budgetary contributions for them are minimal. The current forward looking process started with the project: "Capabilities development and establishment of requirements for the implementation of the Convention on Biological Diversity," initiated in 2005 and sponsored by the GEF. This project outlined the basic elements for the topic of Access and Benefit Sharing (ABS) to be nationally introduced. It additionally identified the substantive elements that must be considered in the country for the generation of a regulatory framework related to access to genetic resources and traditional knowledge groups. It also identified the need to develop mechanisms to incorporate underutilized biodiversity to improve both its conservation and sustainable use, while promoting the improvement of living conditions in the territories that possess them.

Without the financing from the GEF, the development of proposals would be difficult to achieve in a medium term, despite the growing awareness of the potential of biodiversity present in the country.

Baseline. Currently, the use and conservation of genetic resources and traditional knowledge is complex and lacks the legal mechanisms and instruments for its management. There is some complexity with the existence of management tools at different hierarchical levels, both on genetic resources and traditional knowledge. Management regimes are inferred and not specific. This situation stems from the varying levels of responsibility assigned to different governmental institutions for management of genetic resources (GR) and traditional knowledge (TK). Institutions have developed some regulations or procedure manuals that organize a particular element, GR on one side and TK on another, in an uncoordinated fashion.

The incorporation and integration of new GR elements into the legal management instruments and TK elements into the national level, is in line with CBD guidance. For example, the existence of a relationship between GR and TK, the concepts of genetic resources and access, and the basic elements of the mechanisms for the fair and equitable sharing of benefits within the national legal instruments are all elements that should be incorporated in a consistent manner with the laws that already exist. If that is not possible, it is necessary to develop a policy and a new legal framework that incorporates and defines the role of each institution in the management of ABS.

Furthermore, the potential to generate wealth and development from genetic resources and traditional knowledge has not been introduced or considered by the bodies responsible for the economic development in the country, nor by those bodies responsible for the welfare of populations in rural areas.

GEF Alternative. The GEF project development of ABS aims to achieve particular outcomes as reflected in each component of the project:

1) This component aims to create a new framework of legal and public policy to be used to harmonize all institutional management actions of the GR and TK, and to define and maximize the participation of all the involved parties (and interested stakeholders) with respect to the approach that the country should build. The framework would recognize the biological and cultural diversity of and define the roles of relevant stakeholder. A legal framework will incorporate new terms and expressions in the national law such as genetic resources, access, prior informed consent, mutually agreed contract, and fair and equitable distribution, among others deemed necessary, in order to ensure accuracy in its management. This component will further define a management tool for climate change, desertification and land use change that incorporates the value of traditional knowledge among the different parties responsible for implementing many policy instruments in these areas.

2) It is important to promote both the protection and preservation of traditional knowledge associated with genetic diversity in the country. This component will deliver a tool that allows development of inventories in a systematic and orderly manner, both in management and in its content, extending the possibilities of using and generating profits while using it, either by themselves or by others. It is furthermore important to develop actions that enable a re-evaluation of existing traditional knowledge developed through time. This tool will not only develop a mechanism for the storing of data, but also a mechanism to enhance the identity of the people and to reaffirm their relationship with biodiversity. This component will also support conservation actions that will promote the sustainable use of biodiversity.

3) ABS can be visualized as a tool to promote the link between biodiversity - GR and TK - and rural development; the latter conceptualized as the development of positive changes in the lifestyles of rural population, based primarily on the human development of each of the inhabitants of these territories. In this context the ABS pilots will generate lessons and best practices far in excess of the development activities from the resources and knowledge to be generated directly through the project support. This component will work in partnership with third parties whose intention is the development and promotion of new products (germplasm or drugs, among others), or through the participation of productive organizations that are part of the same communities that promote the improvement of the management of traditional products (derivatives of GR and TK). Support for these pilots will improve their sustainability and develop innovations in both the processes and the products to be developed, and integration of marketing strategies for producers.

Incremental costs. The GEF intervention will enhance the coordination of a process to establish national policies. Given the complexity of the topic, in order to achieve higher goals related to the management of GR and TK, the project will also define and promote incentives for stakeholders to participate and cooperate, with a view towards addressing the goals established in the CBD as related with the ABS. The GEF project provides a space, with funded staff, devoted to and responsible for managing this process under the supervision of the interested parties.

GEF resources will support a participatory management of the purposes of ABS, and consequently the policy, laws and regulations, and the resulting strategies can be drafted and presented for approval.

This support will complement sustainable economic development of the country, based on the potential of its rich biological and cultural diversity, whilst ensuring its conservation. Resources will be used to build necessary capacity and generate experience to ensure the conservation and protection of TK, and the use of ABS as tool for the development of local - rural and indigenous people. Appropriate tools and local and institutional

capacity will be developed and implemented in a medium term, concurrently complementing and contributing to the improvement of the living conditions of the rural areas inhabitants. These are actions that, without having the contribution of the GEF would not be possible in the time frame outlined.

APPENDIX 5: Work Plan

Activities	2013/2014				2014/2015				2015/2016				2016/2017			
	1er trim	2do trim	3er trim	4to trim	1er trim	2do trim	3er trim	4to trim	1er trim	2do trim	3er trim	4to trim	1er trim	2do trim	3er trim	4to trim
Component 1: <i>Developing a national framework for accesing genetic resources, protecting traditional knowledge and ensuring benefit sharing</i>																
1.1. A document containing the national policy for access to genetic resources and traditional knowledge groups is approved by National Protected Areas Council and broadcast agreement for the processing of a Government agreement to promote it as a public policy																
1.1.1. Comitee integrated of GR and TK																
1.1.2. Interagency commitments to generate a consensus proposal for access policy																
1.1.3. Definition strategy and plans of policy committees.																
1.1.4. It starts working the technical advisory committee of scientific and social management of the proposed legal framework																
1.1.5. Base line and gap legal and institutional for access																
1.1.6. Structuring preliminary draft and collecting input																
1.1.7. Workshops in construction of national access policy (2)																
1.1.8. Development of final policy document																
1.1.9. Two workshops for policy document socialization																
1.1.10. Policy document is presented and aproved by Honourable - CONAP																
1.2 A proposal for a legislative initiative for the management of access to TK and GR that will ensure the fair and equitable sharing of the benefits arising from their use and that recognizes the right to own mechanisms and mechanisms of management of local communities																

Component 2 <i>Enabling conditions established within the relevant Guatemalan Institutions for the development of rural community-based initiatives relating to the sustainable use of biodiversity and the transfer and use of traditional knowledge</i>																	
2.1 Protocol containing basic elements of the inventory and content formats to the capture and registration of traditional knowledge																	
2.1.1. Four workshops for construction of the protocol and to define goals for cataloging TK.	■	■	■														
2.1.2. Draft Protocol document is developed		■	■	■													
2.1.3. Protocol was approved by CONAP					■	■											
2.1.4. Design and printing of 500 copies of protocol TK						■	■										
2.1.5. Four workshops for socialization of protocol.							■	■									
2.2. Mechanisms, models, plans and programs for intervention to teach traditional knowledge is systematized and proposed as an alternative to improve the conservation of traditional knowledge in the territories sociolinguistic																	
2.2.1. Two elementary schools are selected in each sociolinguistics territories	■																
2.2.2. Educational plans and programs of community traditional knowledge have been developed.		■	■														
2.2.3. A t least 6 promoters, guides and community elders have been trained to teach traditional knowledge in each elementary schools				■													
2.2.4. Implementation of educational strategy of TK in primary schools					■												
2.2.5. Methodoly of the training of trainers is developed						■											
2.2.6. Training course in for at least 20 teacher of secondary school of sociolinguistic territories is undertaken.							■										
2.2.7. Programs in TK are implemented in secondary schools							■										
2.2.8. Print booklets for secondary education								■	■								

3.1.7. Establishment of Local Competent Authority in access to TK and GR in each territory.															
3.1.8. Two Workshop to develop the Prior Informed Consent mechanisms of elements for access experiences (pilots)															
3.1.9. Two workshop for the developoment of models of the legal agreements to access on ABS															
3.1.10. Higher training for at least 20 professional employees of relevant institutions, on access on ABS for rural development															
3.1.11. Key points in the value chain of production (two items of GR and TK) are identified and processed to improve the performance of productive activity (biotrade)															
3.1.12. Document the phases of prior informed consent and access agreements.															
3.1.13. At least two items of GR and TK has been improved and innovated to introduce to process of bio trade															
3.1.14. Development and approval of legal agreatments with local organization on ABS derived from the pilots.															
3.1.15. Development of documents containing four models in ABS.															
3.2 Informative material and cross sharing events to disseminate lessons learned in demo pilots															
3.2.1. Collection information and design two types of documents (scientific and popular version) to disseminate experiences															
3.2.2. Printing and distribution of documents for dissemination experiencies (500 copies)															
Component 4: Project management and monitoring and evaluation															
4.1. Mechanisms to sustain and cordinate project execution, monitoring and evaluation															

4.1.1. Apoinment of a national project cordinator																
4.1.2. Apoinment of project staff.																
4.1.3. Creation of national steering committee																
4.1.4. Stearing committee meetings																
4.1.5. Creating of a scientifc adviser committee																
4.1.6. Scientific committee meetings																
4.1.7. Prepare and submitte financial and progress report																
4.1.8. Prepare and submit terminal (closure) documents to UNEP, including final report, final inventory, final audit, last PIR, and final expenditure statement.																
4.1.9. Midterm and terminal evaluation																
4.1.10. Implement M&E plan and monitor the achievement of benchmars and outputs as speciefied in annual workplans																

APPENDIX 6: Key Deliverables and Benchmarks

Deliverables/Benchmarks	Quarter/Year	Explanation
<p>a) Policy proposals, b) legal framework and regulations have been submitted to the authorities for approval.</p>	<p>a) Q₂ Y₁ b) Q_{2,3} , Y₄</p>	<p>The adoption of a policy and legal framework for access to GR and TK will allow the actions of each level of government to develop its institutions on the subject, and also have opportunities to develop their budget, to facilitate application. On the other hand provide certainty to stakeholders in the implementation of access to such elements, both the requesting and provider of GR and associated TK.</p>
<p>Management tool that allows the observation of the TK associated with DB in national policy management of CC, desertification, and changing land use</p>	<p>Q₃ Y₄</p>	<p>Harmonization of climate change policies, desertification and changing land use TK of indigenous peoples will generate greater effectiveness of such instruments incorporating elements of the management of each of the territories and the knowledge of it by its inhabitants. This will provide tools and the managers of these policies to develop mechanisms associated with such knowledge and greater effectiveness in their actions.</p>
<p>Protocol that allows the inventory and systematization of collective traditional knowledge developed and submitted to different authorities and indigenous peoples</p>	<p>Q₂ Y₂</p>	<p>The protocols is an instrument to develop inventories of TK in each sociolinguistic territories of the country, also allows these inventories having a similar format and generate any useful information for protection from misuse by third parties that also ensure that the benefits derived from their use can be distributed to their rightful owners. However, the use of this protocol is discretionary of the authorities and community leaders, according to their views on the use and certain inventories for that purpose. In that sense the state provides that instrument as a viable alternative to register as an option to guarantee misuse the absence of the TK.</p>

<p>Plans and teaching programs on GR and TK two primary schools in the territories and Tzutuhil sociolinguistic Achi.</p>	<p>Q3Y1</p>	<p>The plans and programs for the teaching of TK in each sociolinguistic territories define the ways in which such knowledge must be transmitted in primary schools, and constitute the first concrete result to national level derived from an effort to systematize teaching TK, the other hand them can be derived strategies and adaptations for other territories to incorporate the knowledge to public education, particularly in bilingual and intercultural education.</p>
<p>Plans and programs for teaching and teachers trained in GR and TK for secondary schools of Achi and Tzutuhil territories.</p>	<p>Q3 Y2</p>	<p>The incorporation of secondary level to continue the effort to participate in the TK education must be made from the training of teachers of that education, promoting awareness of the links between biodiversity and the knowledge, the potential of same for the reaffirmation of cultural identity populations in those territories, and to explain the links between scientific knowledge and derive from them the potential for economic development. In addition, these efforts may be multiplicative in trained teachers as these can be linked to other schools in the same level and transmit these experiences, in the same way that these training of trainers programs can be replicated in other areas of the country sociolinguistic.</p>
<p>Proposal of educational mechanisms, models, plans and programs for intervention in public education (primary and secondary) is presented.</p>	<p>Q3 Y3</p>	<p>The intervention model in public education to incorporate the teaching of TK is the synthesis of the actions developed for incorporation into the national public education system. This model requires incorporate all actions at different levels of intervention in the territory, since the participation of the general population to define the contents (TK) and their participation in identifying the leaders and elders should be involved, to preserve their own model of the transmission of knowledge, at the same way incorporate efforts for the analysis of TK from their own worldview with the scientific view. In this regard is to recover not only the cultural identity of peoples based on their relationship on own environment, the revaluation of their knowledge on biodiversity that sustains them, the conservation and sustainable use through finding ways to incorporate them into their forms of life and generate new forms of use.</p>

Pilot(s) Design and Methodology ready	Q3 Y1	The pilot experiences and design is the key to getting the results expected in this process which plans to develop a community engagement process for the exercise of access to both the TK and GR. To that extent the identification of those sensitive and strategic for the population according to their cultural determinants is important may allow them to generate as much information as possible so they can generate appropriate instruments and tools for their development. This in turn may allow developing other experiences in other territories and identify matching elements that can generalize the actions in that context, and allow developing appropriate national regulations
Key points in the value chain of production (two items of GR and TK) are identified and processed to improve the performance of productive activity (BIO-trade)	Q1 Y3	The value chain analysis to traditional products derived from TK and GR can identify the factors that determine its efficiency and profitability in the process, and generate mechanisms to improve these critical points and increase the possibility of improving the income from the activity on the other hand can be defined actions to incorporate elements to not only develop process improvements but also incorporate the final product innovations and develop products that facilitate their integration in different types of markets.
Document the phases of prior informed consent and access agreements.	Q3 Y3	Prior informed consent of the upstream to the granting of access to TK and GR is considered crucial to the subsequent processes; however the populations in the different territories and community authorities should have full knowledge in their implications. In that sense, documentation of this experiences should guide the definition of mechanisms that can be incorporated into standard operating procedures for these purposes, and it be a their elements can be incorporate to instrument to national context.
Approval of legal agreements with local organization on ABS derived from the pilots.	Q3Y3	Access agreements are the result of discussions to get to form a series of conditions that the parties consider appropriate must contain a contract to build the access, in particular to ensure the fair and equitable sharing of benefits. In this case such agreements are considered part of the generation to the elements to be integrated into the operating procedures for

		developing access. In particular in this case with the possibility of developing mechanisms ABS with local producers' organizations, promoting to improve the processes and the innovation productive in their territories.
Case Studies relating experiences of four ABS pilots	Q3Y4	All stages in the development of the pilot experiences are significant elements of the four access models, where the specific difference between each of them is in the differentiated form that is considered fair and equitable. However, differences were clarified the reasons originating access and those interested in the GR and related TK. Such models should include the basic considerations that should be incorporated in later manuals regulatory procedures for access, taking into account that they are identified factors and principles that can be generalized to other regions of the country and lead to the good management of the process of ABS national.
Mid-Term Review; Steering Committee Meetings; Project Implementation Reports (PIRs)	Mid-point, Bi-annually, Annually	These review and assessment points within the project to check on progress and will be valuable benchmarks to allow the Executing agency to make adjustments and to take into account external evaluations.

APPENDIX 7: Costed M&E Work Plan Summary

Results-Based Monitoring and Evaluation Framework

1. Monitoring Framework and Budget

Outcome	Outcome level indicator	Baseline Conditions	Mid Term Target (as relevant)	End of Project Target	Means of Verification	Monitoring / sampling (frequency / size)	Location / Group	Responsibility	Time frame	Budget (Object of expenditure & cost)
Component 1: Developing a national framework for accessing genetic resources , protecting traditional knowledge and ensuring benefit sharing										
Outcome 1.1 Guatemala has in place the instruments needed to facilitate access to genetic Resources, protected traditional knowledge, and engage in benefit sharing via regulatory means	1.1.1_A National policy on access to GR and TK presented to the National Ministerial Council for approval.	There is not a national political and strategy on access and protection of GR and TK Guatemala signed the Nagoya Protocol in May 2011.	a). One Draft national policy on access to GR and TK	a). A national policy on access to GR and TK approved by CONAP and presented to the Council of Ministers b). Public awareness (by relevant stakeholders) of the policy is increased by 60%	a.1). Minutes, registration paperwork and notes management process to the Council of Ministers and their Ministries, for obtaining the governmental agreement of the policy. a.2, b). Monitored. Progress Reports. a.3). Signatures of the ministers concerned to legalize governmental agreement. a.4). Approval of the policy document by the Honorary Board of the National Council of Protected Areas and the	Visits and interviews of a minimum of 5 Steering Committee Members to monitor or confirm information on reports - by semester.	Competent institutions and authorities participating in the policy drafting and consultation, CONAP project team Guatemalan territory	CONAP, Project Manager and Legal consultant	S1, S2 Y1, + S1, S2 Y2 + S1 Y3	Cost built into overall Project management Budget (NPC, SC)

Outcome 1.1 (cont.)					beginning of the issuing procedure of the Government Agreement					
	1.1.2 A proposal of national law on access to genetic resources (GR) and benefit sharing procedures manual, developed in a participatory fashion, and including traditional knowledge related to GR; through the sensibilization of the indigenous groups to participate in this effort.	No ABS regulations exist in the Guatemalan legal framework Socio-linguistic groups are excluded from management of GR and TK	a). Stakeholder consultation drafting process underway. b). Mechanisms to implement the law identified. c). Outline of draft regulations d). Outline of draft manual procedures	a,b,c,d). A legal framework is adopted by CONAP and submitted to the Congress of the Republic a,b,c,d). The regulations for the implementation of mechanisms to ensure informed consent to access and the fair and equitable sharing of benefits is approved by CONAP Public awareness (by relevant stakeholders) of the regulations is increased by 60%	a,b,c,d). Legal framework approved by CONAP a,b,c,d). Record of entry of the legal framework with the Congress of the Republic b).Regulation for the development of the Prior Informed Consent and contracts of Mutually Agreed Terms is approved by CONAP a,b,c,d). Progress Reports. a,b,c,d). Minutes of Meetings and Workshops of the Working Group	Visits and participation in Steering Committee Meetings to monitor awareness and regulatory framework every 6 months.	CONAP, Competent authorities of each topic Guatemalan territory	Project Project Manager , Steering Committee, Legal consultant, GR-TK consultant	S1, S2 Y1, + S1, S2 Y2 + S1, S2 Y3, + S1 Y4	Cost built into overall Project management Budget (NPC, SC)
	1.1.3 Framework for traditional knowledge promotes cross-linkages	National policies for mitigation and adaptation to climate change, desertification and land-use change have been developed without	a). Policies relating to climate change, desertification, change land use, are checked and the cultural	a). Plan and strategy for the incorporation and integration of collective traditional knowledge associated to	a).Proposal document approved by the National Council of Protected Areas. b).Minutes of	Interviews with Competent authorities for each of the topics, Every 6 months from Y3 onwards	Competent authorities for each topic Guatemalan territory	CONAP, Project Manager and TK consultant	S1, S2 Y3 + S1 Y4	Cost built into overall Project management Budget (NPC, SC)

	between policies relating to biodiversity, climate change adaptation and the processes of desertification and land use change	addressing the focus of cultural relevance; Therefore they have not considered proprietary management systems based on cultural of each linguistic	elements of the sociolinguistic communities that no included are identified systematized	biological diversity in projects, programs and public policies to address the adverse effects of climate change, land use change and desertification, approved by CONAP. b). Socialization of the strategies to the competent instances.	the meetings of socialization of the Strategy document					
Component 2: Implementing the technical foundations of a functional national biosafety risk assessment and risk management system										
Outcome 2 Enabling conditions established within the relevant Guatemalan Institutions for the development of rural community-based initiatives relating to the sustainable use of biodiversity and the transfer and use of traditional knowledge	2.1 A protocol to develop a traditional knowledge inventory, with information on the distribution, diversity and sociolinguistic relevance of traditional knowledge, and on its potentiality for conservation and sustainable use of biodiversity and rural development.	There isn't any protocols to develop inventories in TK.	a). Stakeholder consultation process underway. b). Draft protocol developed	a,b). Protocol approved by CONAP b). Socialization of the Protocol to leaders and representatives of Indigenous Peoples through 4 regional workshops	a, b). 500 Printed copies of the Protocol Model b) Report of socialization workshops to authorities of sociolinguistic communities a, b). Progress Reports.	Participation of specialists in workshops to develop, increase understanding and receive feedback on protocol, by semester	Competent institutions and authorities participating in the protocol construction and socialization Guatemalan territory	CONAP, Project Manager, steering committee and TK consultant	S1,S2 Y1, + S1, S2 Y2	Cost built into overall Project management Budget (NPC, SC)
	2.2 Define mechanisms to ensure inter-generational transfer of	Efforts to incorporate TK in current educational models is minimal	a).Mechanisms and models of incorporation of traditional	d). Program and training of trainers in TK undertaken a,b,c). Execution	a,b,c). Two intervention models and mechanisms of teaching of TK are	Visits and interviews to guides, community leaders, and	Director educational department , guides and community	Consultant technical coordination Consultant in	S1,S2, Y1, + S1, S2, Y2 + S1, S2, Y3	overall Project management Budget (component

	<p>traditional knowledge and technologies at the subnational level in at least two sociolinguistics , bilingual schools, multicultural education.</p>		<p>knowledge are used in 2 primary schools of communities in each territories in intervention</p> <p>b). Educational Plans and programs are developed in primary schools through a participatory research in traditional knowledge with guides and community leaders</p> <p>c). Six guides or local promoters are trained in the use of the educational plans and programs in the two primary schools</p>	<p>and validation of Educational plans and programs of traditional knowledge in two primary schools and one secondary school in each of the two territories sociolinguistic intervention.</p> <p>a,b,c). Educational Plans and Programs in TK running on: 2 schools from the primary level, 1 school of secondary education in two selected sociolinguistic territory</p> <p>a,b,c) A Proposal with mechanisms, models, plans and programs for public education (primary and secondary levels) for the transfer and preservation of TK associated with biological diversity have been developed and submitted to the responsible national authorities.</p> <p>a, b, c). 500 copies of training materials for learning in traditional</p>	<p>systematized and recorded, one for each level of training</p> <p>a,b,c). 500 printed training materials for teaching in traditional knowledge developed for each level of intervention and sociolinguistic territories</p> <p>d) A report with lessons learned from the activities of training of trainers</p>	<p>students of primary and secondary schools, to monitor the implementation of educational plans and programs, every month from Y1 to Y3</p>	<p>leaders, indigenous local organization, teachers and students of the selected schools,</p> <p>Steering local committee</p> <p>Achi and Tzutujil territories</p>	<p>bilingual education</p>		<p>4) & consultants (BL 3.1.1component 3)</p>
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				knowledge to be use at primary and secondary schools and for training of trainers.						
Component 3: Protecting traditional cultural knowledge associated with sustainable use of biodiversity to catalyze its potential for rural development										
Strengthened integration of Traditional Knowledge (TK) and Sustainable Use of Genetic Resources in accordance with CBD provisions consistent with development at local and sub-national levels.	3.1 Four (4) ABS pilot demonstrations promoting sustainable use of genetic resources including one example each of the following: *non-commercial: conservation *commercial use: BIO-Trade; *commercial use: value chain *merging scientific and traditional knowledge	No national or local experiences in the management and administration of the access to genetic resources and traditional knowledge to ensure the benefits of its use and promote rural development Public sector institutions have not identified the strategic value of the use of biodiversity, genetic resources and traditional knowledge in the promotion of rural development and, consequently, the lack of initiatives to formalize their implementation, unlike some non-governmental organizations	a). Four genetic resources associated to traditional knowledge in each one of the two territories sociolinguistics in which intervenes are identified b). Implementation plan (strategy) for each of the pilots developed c). The local authorities and organizations of two sociolinguistic territories are trained to manage the legal mechanisms of the access of GR and TK for participating in the pilot experiences.	a, b, c, d, e). Final documents recording the experiences of each pilot c, d). Four different models of benefit distributions and four different structures of contract mutually agreed to use GR and TK for the rural develop e). 2 products derived from the BIO-trade pilot project have been developed promoting local development Personnel from at least 6 institutions are trained in the design of mechanisms to support and promote local development derived from access of GR and TK.	a). Reports of 4 workshops and events for participatory research to identify genetic resources, traditional knowledge, and factors limiting access and use management c, d). Registration and documentation of the legal processes and the drafts of the legal agreements of the 4 experiences of access for of GR and TK e). Documents that register the processes of innovation, value chains analysis and identification of markets for BIO-trade a, b, c, d, e). Draft documents for every pilot. a, b, c, d, e). At least one ABS agreements for	Visits and participation on the workshops to develop models of the legal agreements to access on ABS, every tree month from Y1 to Y3	Guides and community leaders, indigenous local organization Achi and Tzutujil territories.	Consultant technical coordination Consultant GR and TK	Y1, + S1, S2 Y2 + S1, S2, Y3 + S1. S2	overall Project management Budget (component 4) (Consultant technical coordination and Consultant GR and TK)

			<p>d). Drafts of legal agreements for each of the pilots, including distribution of benefits and rural development derived of GR and TK are developed</p> <p>e). Capacity building in BIO-trade and value chains in at least 4 local productive organizations in each territories on access and developing sustainable use (management, administration, innovation and production efficiency) in GR and TK</p>		rural development in each territory are obtained.					
	3.2 Informative material and cross sharing events to disseminate lessons learned in demo pilots	.		<p>a). Identification of the regions where the workshops will take place.</p> <p>b). Socialization of final products of each of the pilots.</p>	<p>b). Copies of the informative material</p> <p>b). Minute of socialization process</p>	Visits and participation on meetings to socialize the informative material, every 6 moth from second semester of Y3 to Y4.	Competent institutions and local authorities	Consultant technical coordination	Y3 + S2, Y4, S1 y S2	overall Project management Budget (Consultant technical coordination)
Component 4: Project management and monitoring and evaluation										

Provide administrative support and supervision during project execution	Mechanisms to sustain and coordinate project execution, monitoring and evaluation are undertaken		a). All project staff has been appointment	Project reporting (technical and financial included audits and co-financing) is fully up-to-standard and up-to-date. Terminal evaluation is completed with successful ratings.	Project reports Steering committee minute Interview during midterm evaluation PIR	Audits execution Reporting, minutes of Scientific committee and SC Progress reports from technical coordination consultant	All Project activities Guatemalan territory	CONAP, National project coordinator, steering committee, UNEP TM	Y2 + S2, Y4 + S2	Cost included under component 4 : project management and M&E.
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2. Cost of acquisition of essential baseline data during first year of project: No additional baseline data is required

3. Cost of project inception workshop (please include proposed location, number of participants):

Inception workshop to be held at Guatemala city, Month 2 of PY1. We estimated 30 participants, including CONAP Management Staff, all recruited or identified consultants, International Consultants (PNUMA).

Estimated cost US\$3,000.00

4. Cost of Mid-Term Review/Evaluation: US\$10,000.00

5. Cost of Terminal Evaluation: US\$15,000.00

6. Any additional M&E costs:

Project reporting expendable office supplies and printing costs US\$3,719.00

Steering committee meetings (specifically for M&E) US\$4,000.00

Total costs US\$35,719.00

APPENDIX 8: Summary of reporting requirements and responsibilities

Reporting requirements	Due date	Format to be appended to legal instrument as	Responsibility of
1. Procurement plan 2. (goods and services)	2 weeks before project inception meeting	N/A	Project Manager
3. Inception Report	1 month after project inception meeting	N/A	Project Manager
4. Expenditure report accompanied by explanatory notes	Quarterly on or before 30 April, 31 July, 31 October, 31 January	<u>Annex 11</u>	Project Manager
5. Cash Advance request and details of anticipated disbursements	Quarterly or when required	Annex 7B	Project Manager
6. Progress report	Half-yearly on or before 31 January	Annex 8	Project Manager
7. Audited report for expenditures for year ending 31 December	Yearly on or before 30 June	N/A	Executing partner to contract firm
8. Inventory of non-expendable equipment	Yearly on or before 31 January	Annex 6	Project Manager
9. Co-financing report	Yearly on or before 31 July	Annex 12	Project Manager
Project implementation review (PIR) report	Yearly on or before 30 July	Annex 9	Project Manager, TM, DGEF FMO
10. Minutes of steering committee meetings	Quarterly	N/A	Project Manager
11. Mission reports and “aide memoire” for executing agency	Within 2 weeks of return	N/A	TM, DGEF FMO
12. Final report	2 months of project completion date	Annex 10	Project Manager
13. Final inventory of non-expendable equipment		Annex 9	Project Manager
14. Equipment transfer letter		Annex 10	Project Manager
15. Final expenditure statement	3 months of project completion date	Annex 11	Project Manager
16. Mid-term review or Mid-term evaluation	Midway though project	N/A	TM or EOU (as relevant)
17. Final audited report for expenditures of project	6 months of project completion date	N/A	Executing partner to contract firm
18. Independent terminal evaluation report	6 months of project completion date	Appendix 9 to Annex 1	EOU

Appendix 9: Standard terminal evaluation TOR

Terminal Evaluation of the UNEP GEF project {Title}

1. PROJECT BACKGROUND AND OVERVIEW

Project rationale

Relevance to GEF Programmes

Executing Arrangements

Project Activities

The project comprised activities grouped in {number} components.

The objective was stated as:

The implementing agency(ies) for this project was/were {number} and the objective was/were: objective

Budget

At project inception the following budget prepared:

GEF

The lead national agencies in the focal countries were:

Project preparation funds:

GEF {Medium/Full} Size Grant

The Co-funding project is in line with:.

TOTAL (including project preparation funds)

Co-funding sources:

Anticipated:

APPENDIX 9 TERMS OF REFERENCE FOR THE EVALUATION

1. Objective and Scope of the Evaluation

The objective of this terminal evaluation is to examine the extent and magnitude of any project impacts to date and determine the likelihood of future impacts. The evaluation will also assess project performance and the implementation of planned project activities and planned outputs against actual results. The evaluation will focus on the following main questions:

1. Did the project help to [] among key target audiences (international conventions and initiatives, national level policy-makers, regional and local policy-makers, resource managers and practitioners).
2. Did the outputs of the project articulate options and recommendations for []? Were these options and recommendations used? If so by whom?
3. To what extent did the project outputs produced have the weight of scientific authority and credibility necessary to influence policy makers and other key audiences?

Methods

This terminal evaluation will be conducted as an in-depth evaluation using a participatory approach whereby the UNEP/DGEF Task Manager, key representatives of the executing agencies and other relevant staff are kept informed and consulted throughout the evaluation. The consultant will liaise with the UNEP/EOU and the UNEP/DGEF Task Manager on any logistic and/or methodological issues to properly conduct the review in as independent a way as possible, given the circumstances and resources offered. The draft report will be circulated to UNEP/DGEF Task Manager, key representatives of the executing agencies and the UNEP/EOU. Any comments or responses to the draft report will be sent to UNEP / EOU for collation and the consultant will be advised of any necessary or suggested revisions.

The findings of the evaluation will be based on the following:

1. A desk review of project documents including, but not limited to:
 - (a) The project documents, outputs, monitoring reports (such as progress and financial reports to UNEP and GEF annual Project Implementation Review reports) and relevant correspondence.
 - (b) Notes from the Steering Group meetings.
 - (c) Other project-related material produced by the project staff or partners.
 - (d) Relevant material published on the project web-site: [].
2. Interviews with project management and technical support including [NEED INPUT FROM TM HERE]
3. Interviews and Telephone interviews with intended users for the project outputs and other stakeholders involved with this project, including in the participating countries and international bodies. The Consultant shall determine whether to seek additional information and opinions from representatives of donor agencies and other organizations. As appropriate, these interviews could be combined with an email questionnaire.

4. Interviews with the UNEP/DGEF project task manager and Fund Management Officer, and other relevant staff in UNEP dealing with {relevant GEF focal area(s)}-related activities as necessary. The Consultant shall also gain broader perspectives from discussions with relevant GEF Secretariat staff.
5. Field visits⁶ to project staff

Key Evaluation principles.

In attempting to evaluate any outcomes and impacts that the project may have achieved, evaluators should remember that the project's performance should be assessed by considering the difference between the answers to two simple questions “*what happened?*” and “*what would have happened anyway?*”. These questions imply that there should be consideration of the baseline conditions and trends in relation to the intended project outcomes and impacts. In addition it implies that there should be plausible evidence to **attribute** such outcomes and impacts **to the actions of the project**.

Sometimes, adequate information on baseline conditions and trends is lacking. In such cases this should be clearly highlighted by the evaluator, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.

2. Project Ratings

The success of project implementation will be rated on a scale from ‘highly unsatisfactory’ to ‘highly satisfactory’. In particular the evaluation shall assess and rate the project with respect to the eleven categories defined below:⁷

A. Attainment of objectives and planned results:

The evaluation should assess the extent to which the project's major relevant objectives were effectively and efficiently achieved or are expected to be achieved and their relevance.

- *Effectiveness*: Evaluate how, and to what extent, the stated project objectives have been met, taking into account the “achievement indicators”. The analysis of outcomes achieved should include, *inter alia*, an assessment of the extent to which the project has directly or indirectly assisted policy and decision-makers to apply information supplied by biodiversity indicators in their national planning and decision-making. In particular:
 - Evaluate the immediate impact of the project on {relevant focal area} monitoring and in national planning and decision-making and international understanding and use of biodiversity indicators.
 - As far as possible, also assess the potential longer-term impacts considering that the evaluation is taking place upon completion of the project and that longer term impact is expected to be seen in a few years time. Frame recommendations to enhance future project impact in this context. Which will be the major ‘channels’ for longer term impact from the project at the national and international scales?
 - *Relevance*: In retrospect, were the project's outcomes consistent with the focal areas/operational program strategies? Ascertain the nature and

⁶ Evaluators should make a brief courtesy call to GEF Country Focal points during field visits if at all possible.

⁷ However, the views and comments expressed by the evaluator need not be restricted to these items.

significance of the contribution of the project outcomes to the {relevant Convention(s)} and the wider portfolio of the GEF.

- *Efficiency*: Was the project cost effective? Was the project the least cost option? Was the project implementation delayed and if it was, then did that affect cost-effectiveness? Assess the contribution of cash and in-kind co-financing to project implementation and to what extent the project leveraged additional resources. Did the project build on earlier initiatives, did it make effective use of available scientific and / or technical information. Wherever possible, the evaluator should also compare the cost-time vs. outcomes relationship of the project with that of other similar projects.

B. Sustainability:

Sustainability is understood as the probability of continued long-term project-derived outcomes and impacts after the GEF project funding ends. The evaluation will identify and assess the key conditions or factors that are likely to contribute or undermine the persistence of benefits after the project ends. Some of these factors might be outcomes of the project, e.g. stronger institutional capacities or better informed decision-making. Other factors will include contextual circumstances or developments that are not outcomes of the project but that are relevant to the sustainability of outcomes. The evaluation should ascertain to what extent follow-up work has been initiated and how project outcomes will be sustained and enhanced over time.

Five aspects of sustainability should be addressed: financial, socio-political, institutional frameworks and governance, environmental (if applicable). The following questions provide guidance on the assessment of these aspects:

- *Financial resources*. Are there any financial risks that may jeopardize sustenance of project outcomes? What is the likelihood that financial and economic resources will not be available once the GEF assistance ends (resources can be from multiple sources, such as the public and private sectors, income generating activities, and trends that may indicate that it is likely that in future there will be adequate financial resources for sustaining project's outcomes)? To what extent are the outcomes of the project dependent on continued financial support?
- *Socio-political*: Are there any social or political risks that may jeopardize sustenance of project outcomes? What is the risk that the level of stakeholder ownership will be insufficient to allow for the project outcomes to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project?
- *Institutional framework and governance*. To what extent is the sustenance of the outcomes of the project dependent on issues relating to institutional frameworks and governance? What is the likelihood that institutional and technical achievements, legal frameworks, policies and governance structures and processes will allow for, the project outcomes/benefits to be sustained? While responding to these questions consider if the required systems for accountability and transparency and the required technical know-how are in place.
- *Environmental*. Are there any environmental risks that can undermine the future flow of project environmental benefits? The TE should assess whether certain activities in

the project area will pose a threat to the sustainability of the project outcomes. For example; construction of dam in a protected area could inundate a sizable area and thereby neutralize the biodiversity-related gains made by the project; or, a newly established pulp mill might jeopardise the viability of nearby protected forest areas by increasing logging pressures; or a vector control intervention may be made less effective by changes in climate and consequent alterations to the incidence and distribution of malarial mosquitoes.

C. Achievement of outputs and activities:

- Delivered outputs: Assessment of the project's success in producing each of the programmed outputs, both in quantity and quality as well as usefulness and timeliness.
- Assess the soundness and effectiveness of the methodologies used for developing the technical documents and related management options in the participating countries
- Assess to what extent the project outputs produced have the weight of scientific authority / credibility, necessary to influence policy and decision-makers, particularly at the national level.

D. Catalytic Role

Replication and catalysis. What examples are there of replication and catalytic outcomes? Replication approach, in the context of GEF projects, is defined as lessons and experiences coming out of the project that are replicated or scaled up in the design and implementation of other projects. Replication can have two aspects, replication proper (lessons and experiences are replicated in different geographic area) or scaling up (lessons and experiences are replicated within the same geographic area but funded by other sources). Specifically:

- Do the recommendations for management of {project} coming from the country studies have the potential for application in other countries and locations?

If no effects are identified, the evaluation will describe the catalytic or replication actions that the project carried out.

E. Assessment monitoring and evaluation systems.

The evaluation shall include an assessment of the quality, application and effectiveness of project monitoring and evaluation plans and tools, including an assessment of risk management based on the assumptions and risks identified in the project document. The Terminal Evaluation will assess whether the project met the minimum requirements for 'project design of M&E' and 'the application of the Project M&E plan' (see minimum requirements 1&2 in *Annex 4* to this Appendix). GEF projects must budget adequately for execution of the M&E plan, and provide adequate resources during implementation of the M&E plan. Project managers are also expected to use the information generated by the M&E system during project implementation to adapt and improve the project.

M&E during project implementation

- *M&E design.* Projects should have sound M&E plans to monitor results and track progress towards achieving project objectives. An M&E plan should include a baseline (including data, methodology, etc.), SMART indicators (see Annex 4) and data analysis systems, and evaluation studies at specific times to assess

results. The time frame for various M&E activities and standards for outputs should have been specified.

- *M&E plan implementation.* A Terminal Evaluation should verify that: an M&E system was in place and facilitated timely tracking of results and progress towards projects objectives throughout the project implementation period (perhaps through use of a logframe or similar); annual project reports and Progress Implementation Review (PIR) reports were complete, accurate and with well justified ratings; that the information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs; and that projects had an M&E system in place with proper training for parties responsible for M&E activities.
- *Budgeting and Funding for M&E activities.* The terminal evaluation should determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.

F. Preparation and Readiness

Were the project's objectives and components clear, practicable and feasible within its timeframe? Were the capacities of executing institution and counterparts properly considered when the project was designed? Were lessons from other relevant projects properly incorporated in the project design? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation? Were counterpart resources (funding, staff, and facilities), enabling legislation, and adequate project management arrangements in place?

G. Country ownership / drivenness:

This is the relevance of the project to national development and environmental agendas, recipient country commitment, and regional and international agreements. The evaluation will:

- Assess the level of country ownership. Specifically, the evaluator should assess whether the project was effective in providing and communicating biodiversity information that catalyzed action in participating countries to improve decisions relating to the conservation and management of the focal ecosystem in each country.
- Assess the level of country commitment to the generation and use of biodiversity indicators for decision-making during and after the project, including in regional and international fora.

H. Stakeholder participation / public awareness:

This consists of three related and often overlapping processes: information dissemination, consultation, and "stakeholder" participation. Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or stake in the outcome of the GEF-financed project. The term also applies to those potentially adversely affected by a project. The evaluation will specifically:

- Assess the mechanisms put in place by the project for identification and engagement of stakeholders in each participating country and establish, in consultation with the stakeholders, whether this mechanism was successful, and identify its strengths and weaknesses.

- Assess the degree and effectiveness of collaboration/interactions between the various project partners and institutions during the course of implementation of the project.
- Assess the degree and effectiveness of any various public awareness activities that were undertaken during the course of implementation of the project.

I. Financial Planning

Evaluation of financial planning requires assessment of the quality and effectiveness of financial planning and control of financial resources throughout the project's lifetime. Evaluation includes actual project costs by activities compared to budget (variances), financial management (including disbursement issues), and co-financing. The evaluation should:

- Assess the strength and utility of financial controls, including reporting, and planning to allow the project management to make informed decisions regarding the budget and allow for a proper and timely flow of funds for the payment of satisfactory project deliverables.
- Present the major findings from the financial audit if one has been conducted.
- Identify and verify the sources of co-financing as well as leveraged and associated financing (in co-operation with the IA and EA).
- Assess whether the project has applied appropriate standards of due diligence in the management of funds and financial audits.
- The evaluation should also include a breakdown of final actual costs and co-financing for the project prepared in consultation with the relevant UNEP/DGEF Fund Management Officer of the project (table attached in *Annex 1* to this Appendix Co-financing and leveraged resources).

J. Implementation approach:

This includes an analysis of the project's management framework, adaptation to changing conditions (adaptive management), partnerships in implementation arrangements, changes in project design, and overall project management. The evaluation will:

- Ascertain to what extent the project implementation mechanisms outlined in the project document have been closely followed. In particular, assess the role of the various committees established and whether the project document was clear and realistic to enable effective and efficient implementation, whether the project was executed according to the plan and how well the management was able to adapt to changes during the life of the project to enable the implementation of the project.
- Evaluate the effectiveness and efficiency and adaptability of project management and the supervision of project activities / project execution arrangements at all levels (1) policy decisions: Steering Group; (2) day to day project management in each of the country executing agencies and {lead executing agency}.

K. UNEP Supervision and Backstopping

- Assess the effectiveness of supervision and administrative and financial support provided by UNEP/DGEF.
- Identify administrative, operational and/or technical problems and constraints that influenced the effective implementation of the project.

The *ratings will be presented in the form of a table*. Each of the eleven categories should be rated separately with **brief justifications** based on the findings of the main analysis. An overall rating for the project should also be given. The following rating system is to be applied:

HS	= Highly Satisfactory
S	= Satisfactory
MS	= Moderately Satisfactory
MU	= Moderately Unsatisfactory
U	= Unsatisfactory
HU	= Highly Unsatisfactory

3. Evaluation report format and review procedures

The report should be brief, to the point and easy to understand. It must explain; the purpose of the evaluation, exactly what was evaluated and the methods used. The report must highlight any methodological limitations, identify key concerns and present evidence-based findings, consequent conclusions, recommendations and lessons. The report should be presented in a way that makes the information accessible and comprehensible and include an executive summary that encapsulates the essence of the information contained in the report to facilitate dissemination and distillation of lessons.

The evaluation will rate the overall implementation success of the project and provide individual ratings of the eleven implementation aspects as described in Section 1 of this TOR. *The ratings will be presented in the format of a table with brief justifications based on the findings of the main analysis.*

Evidence, findings, conclusions and recommendations should be presented in a complete and balanced manner. Any dissident views in response to evaluation findings will be appended in an annex. The evaluation report shall be written in English, be of no more than 50 pages (excluding annexes), use numbered paragraphs and include:

- i) An **executive summary** (no more than 3 pages) providing a brief overview of the main conclusions and recommendations of the evaluation;
- ii) **Introduction and background** giving a brief overview of the evaluated project, for example, the objective and status of activities; The GEF Monitoring and Evaluation Policy, 2006, requires that a TE report will provide summary information on when the evaluation took place; places visited; who was involved; the key questions; and, the methodology.
- iii) **Scope, objective and methods** presenting the evaluation's purpose, the evaluation criteria used and questions to be addressed;
- iv) **Project Performance and Impact** providing *factual evidence* relevant to the questions asked by the evaluator and interpretations of such evidence. This is the main substantive section of the report. The evaluator should provide a commentary and analysis on all eleven evaluation aspects (A – K above).
- v) **Conclusions and rating** of project implementation success giving the evaluator's concluding assessments and ratings of the project against given evaluation criteria and standards of performance. The conclusions should provide answers to questions about whether the project is considered good or bad, and whether the

results are considered positive or negative. The ratings should be provided with a brief narrative comment in a table (see *Annex 1* to this Appendix);

- vi) **Lessons (to be) learned** presenting general conclusions from the standpoint of the design and implementation of the project, based on good practices and successes or problems and mistakes. Lessons should have the potential for wider application and use. All lessons should ‘stand alone’ and should:
 - Briefly describe the context from which they are derived
 - State or imply some prescriptive action;
 - Specify the contexts in which they may be applied (if possible, who when and where)
- vii) **Recommendations** suggesting *actionable* proposals for improvement of the current project. In general, Terminal Evaluations are likely to have very few (perhaps two or three) actionable recommendations.

Prior to each recommendation, the issue(s) or problem(s) to be addressed by the recommendation should be clearly stated.

A high quality recommendation is an actionable proposal that is:

1. Feasible to implement within the timeframe and resources available
2. Commensurate with the available capacities of project team and partners
3. Specific in terms of who would do what and when
4. Contains results-based language (i.e. a measurable performance target)
5. Includes a trade-off analysis, when its implementation may require utilizing significant resources that would otherwise be used for other project purposes.

- viii) **Annexes** may include additional material deemed relevant by the evaluator but must include:
 1. The Evaluation Terms of Reference,
 2. A list of interviewees, and evaluation timeline
 3. A list of documents reviewed / consulted
 4. Summary co-finance information and a statement of project expenditure by activity
 5. The expertise of the evaluation team. (brief CV).

TE reports will also include any response / comments from the project management team and/or the country focal point regarding the evaluation findings or conclusions as an annex to the report, however, such will be appended to the report by UNEP EOU.

Examples of UNEP GEF Terminal Evaluation Reports are available at www.unep.org/eou

Review of the Draft Evaluation Report

Draft reports submitted to UNEP EOU are shared with the corresponding Programme or Project Officer and his or her supervisor for initial review and consultation. The DGEF staff and senior Executing Agency staff are allowed to comment on the draft evaluation report. They may

provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. The consultation also seeks feedback on the proposed recommendations. UNEP EOU collates all review comments and provides them to the evaluators for their consideration in preparing the final version of the report.

4. Submission of Final Terminal Evaluation Reports.

The final report shall be submitted in electronic form in MS Word format and should be sent to the following persons:

Segbedzi Norgbey, Chief,
UNEP Evaluation and Oversight Unit
P.O. Box 30552-00100
Nairobi, Kenya
Tel.: +(254-20)762-4181
Fax: +(254-20)762-3158
Email: Segbedzi.Norgbey@unep.org

With a copy to:

Maryam Niamir-Fuller,
Director
UNEP/Division of GEF Coordination
P.O. Box 30552-00100
Nairobi, Kenya
Tel: +(254-20)762-4166
Fax: +(254-20)762-4041/2
Email: Maryam.Niamir-Fuller@unep.org

{Name}
[Task Manager](#)
{Contact details}

The Final evaluation will also be copied to the following GEF National Focal Points.

{Insert contact details here}

The final evaluation report will be published on the Evaluation and Oversight Unit’s web-site www.unep.org/eou and may be printed in hard copy. Subsequently, the report will be sent to the GEF Office of Evaluation for their review, appraisal and inclusion on the GEF website.

5. Resources and schedule of the evaluation

This final evaluation will be undertaken by an international evaluator contracted by the Evaluation and Oversight Unit, UNEP. The contract for the evaluator will begin on **ddmmyy** and end on **ddmmyyy** (# days) spread over # weeks (# days of travel, to {country(ies)}, and # days desk study). The evaluator will submit a draft report on **ddmmyyy** to UNEP/EOU, the UNEP/DGEF Task Manager, and key representatives of the executing agencies. Any comments or responses to the draft report will be sent to UNEP / EOU for collation and the consultant will be advised of any necessary revisions. Comments to the final draft report will be sent to the consultant by **ddmmyyy** after which, the consultant will submit the final report no later than **ddmmyyy**.

The evaluator will after an initial telephone briefing with EOU and UNEP/GEF conduct initial desk review work and later travel to {country(ies)} and meet with project staff at the beginning of the evaluation. Furthermore, the evaluator is expected to travel to {country(ies)} and meet with representatives of the project executing agencies and the intended users of project's outputs.

In accordance with UNEP/GEF policy, all GEF projects are evaluated by independent evaluators contracted as consultants by the EOU. The evaluator should have the following qualifications:

The evaluator should not have been associated with the design and implementation of the project in a paid capacity. The evaluator will work under the overall supervision of the Chief, Evaluation and Oversight Unit, UNEP. The evaluator should be an international expert in { } with a sound understanding of { } issues. The consultant should have the following minimum qualifications: (i) experience in { } issues; (ii) experience with management and implementation of { } projects and in particular with { } targeted at policy-influence and decision-making; (iii) experience with project evaluation. Knowledge of UNEP programmes and GEF activities is desirable. Knowledge of {specify language(s)} is an advantage. Fluency in oral and written English is a must.

6. Schedule Of Payment

The consultant shall select one of the following two contract options:

Lump-Sum Option

The evaluator will receive an initial payment of 30% of the total amount due upon signature of the contract. A further 30% will be paid upon submission of the draft report. A final payment of 40% will be made upon satisfactory completion of work. The fee is payable under the individual Special Service Agreement (SSA) of the evaluator and **is inclusive** of all expenses such as travel, accommodation and incidental expenses.

Fee-only Option

The evaluator will receive an initial payment of 40% of the total amount due upon signature of the contract. Final payment of 60% will be made upon satisfactory completion of work. The fee is payable under the individual SSAs of the evaluator and is **NOT** inclusive of all expenses such as travel, accommodation and incidental expenses. Ticket and DSA will be paid separately.

In case, the evaluator cannot provide the products in accordance with the TORs, the timeframe agreed, or his products are substandard, the payment to the evaluator could be withheld, until such a time the products are modified to meet UNEP's standard. In case the evaluator fails to submit a satisfactory final product to UNEP, the product prepared by the evaluator may not constitute the evaluation report.

ANNEX 1 TO APPENDIX 9: OVERALL RATINGS TABLE

CRITERION	EVALUATOR'S SUMMARY COMMENTS	EVALUATOR'S RATING
A. Attainment of project objectives and results (overall rating) Sub criteria (below)		
A. 1. Effectiveness		
A. 2. Relevance		
A. 3. Efficiency		
B. Sustainability of Project outcomes (overall rating) Sub criteria (below)		
B. 1. Financial		
B. 2. Socio Political		
B. 3. Institutional framework and governance		
B. 4. Ecological		
C. Achievement of outputs and activities		
D. Monitoring and Evaluation (overall rating) Sub criteria (below)		
D. 1. M&E Design		
D. 2. M&E Plan Implementation (use for adaptive management)		
D. 3. Budgeting and Funding for M&E activities		
E. Catalytic Role		
F. Preparation and readiness		
G. Country ownership / drivenness		
H. Stakeholders involvement		
I. Financial planning		
J. Implementation approach		
K. UNEP Supervision and backstopping		

RATING OF PROJECT OBJECTIVES AND RESULTS

Highly Satisfactory (HS): The project had no shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Satisfactory (S): The project had minor shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Moderately Satisfactory (MS): The project had moderate shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Moderately Unsatisfactory (MU): The project had significant shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Unsatisfactory (U) The project had major shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Highly Unsatisfactory (HU): The project had severe shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Please note: Relevance and effectiveness will be considered as critical criteria. The overall rating of the project for achievement of objectives and results **may not be higher** than the lowest rating on either of these two criteria. Thus, to have an overall satisfactory rating for outcomes a project must have at least satisfactory ratings on both relevance and effectiveness.

RATINGS ON SUSTAINABILITY

A. Sustainability will be understood as the probability of continued long-term outcomes and impacts after the GEF project funding ends. The Terminal evaluation will identify and assess the key conditions or factors that are likely to contribute or undermine the persistence of benefits after the project ends. Some of these factors might be outcomes of the project, i.e. stronger institutional capacities, legal frameworks, socio-economic incentives /or public awareness. Other factors will include contextual circumstances or developments that are not outcomes of the project but that are relevant to the sustainability of outcomes.

Rating system for sustainability sub-criteria

On each of the dimensions of sustainability of the project outcomes will be rated as follows.

Likely (L): There are no risks affecting this dimension of sustainability.

Moderately Likely (ML). There are moderate risks that affect this dimension of sustainability.

Moderately Unlikely (MU): There are significant risks that affect this dimension of sustainability

Unlikely (U): There are severe risks that affect this dimension of sustainability.

According to the GEF Office of Evaluation, all the risk dimensions of sustainability are deemed critical. Therefore, overall rating for sustainability will not be higher than the rating of the dimension with lowest ratings. For example, if a project has an Unlikely rating in any of the dimensions then its overall rating cannot be higher than Unlikely, regardless of whether higher ratings in other dimensions of sustainability produce a higher average.

RATINGS OF PROJECT M&E

Monitoring is a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing project with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds. Evaluation is the systematic and objective assessment of an on-going or completed project, its design, implementation and results. Project evaluation may involve the definition of appropriate standards, the examination of performance against those standards, and an assessment of actual and expected results.

The Project monitoring and evaluation system will be rated on ‘M&E Design’, ‘M&E Plan Implementation’ and ‘Budgeting and Funding for M&E activities’ as follows:

Highly Satisfactory (HS): There were no shortcomings in the project M&E system.

Satisfactory(S): There were minor shortcomings in the project M&E system.

Moderately Satisfactory (MS): There were moderate shortcomings in the project M&E system.

Moderately Unsatisfactory (MU): There were significant shortcomings in the project M&E system.

Unsatisfactory (U): There were major shortcomings in the project M&E system.

Highly Unsatisfactory (HU): The Project had no M&E system.

“M&E plan implementation” will be considered a critical parameter for the overall assessment of the M&E system. The overall rating for the M&E systems will not be higher than the rating on “M&E plan implementation.”

All other ratings will be on the GEF six point scale.

GEF Performance Description	Alternative description on the same scale
HS = Highly Satisfactory	Excellent
S = Satisfactory	Well above average
MS = Moderately Satisfactory	Average
MU = Moderately Unsatisfactory	Below Average
U = Unsatisfactory	Poor
HU = Highly Unsatisfactory	Very poor (Appalling)

ANNEX 2 TO APPENDIX 9: CO-FINANCING AND LEVERAGED RESOURCES

CO-FINANCING (BASIC DATA TO BE SUPPLIED TO THE CONSULTANT FOR VERIFICATION)

Co financing (Type/Source)	IA own Financing (mill US\$)		Government (mill US\$)		Other* (mill US\$)		Total (mill US\$)		Total Disbursement (mill US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
- Grants										
- Loans/Concessional (compared to market rate)										
- Credits										
- Equity investments										
- In-kind support										
- Other (*)										
-										
-										
-										
-										
-										
Totals										

* Other is referred to contributions mobilized for the project from other multilateral agencies, bilateral development cooperation agencies, NGOs, the private sector and beneficiaries.

Leveraged Resources

Leveraged resources are additional resources—beyond those committed to the project itself at the time of approval—that are mobilized later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors,

NGO's, foundations, governments, communities or the private sector. Please briefly describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project's ultimate objective.

Table showing final actual project expenditure by activity to be supplied by the UNEP Fund management Officer. (insert here)

ANNEX 3 TO APPENDIX 9

Review of the Draft Report

Draft reports submitted to UNEP EOU are shared with the corresponding Programme or Project Officer and his or her supervisor for initial review and consultation. The DGEF staff and senior Executing Agency staff provide comments on the draft evaluation report. They may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. The consultation also seeks agreement on the findings and recommendations. UNEP EOU collates the review comments and provides them to the evaluators for their consideration in preparing the final version of the report. General comments on the draft report with respect to compliance with these TOR are shared with the reviewer.

Quality Assessment of the Evaluation Report

All UNEP GEF Mid Term Reports are subject to quality assessments by UNEP EOU. These apply GEF Office of Evaluation quality assessment and are used as a tool for providing structured feedback to the evaluator.

The quality of the draft evaluation report is assessed and rated against the following criteria:

GEF Report Quality Criteria	UNEP EOU Assessment	Rating
A. Did the report present an assessment of relevant outcomes and achievement of project objectives in the context of the focal area program indicators if applicable?		
B. Was the report consistent and the evidence complete and convincing and were the ratings substantiated when used?		
C. Did the report present a sound assessment of sustainability of outcomes?		
D. Were the lessons and recommendations supported by the evidence presented?		
E. Did the report include the actual project costs (total and per activity) and actual co-financing used?		
F. Did the report include an assessment of the quality of the project M&E system and its use for project management?		
UNEP EOU additional Report Quality Criteria	UNEP EOU Assessment	Rating
G. Quality of the lessons: Were lessons readily applicable in other contexts? Did they suggest prescriptive action?		
H. Quality of the recommendations: Did recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?'). Can they be implemented? Did the recommendations specify a goal and an associated performance indicator?		
I. Was the report well written? (clear English language and grammar)		
J. Did the report structure follow EOU guidelines, were all requested Annexes included?		
K. Were all evaluation aspects specified in the TORs adequately addressed?		
L. Was the report delivered in a timely manner		

GEF Quality of the MTE report = 0.3*(A + B) + 0.1*(C+D+E+F)

EOU assessment of MTE report = 0.3*(G + H) + 0.1*(I+J+K+L)

Combined quality Rating = (2* 'GEF EO' rating + EOU rating)/3

The Totals are rounded and converted to the scale of HS to HU

Rating system for quality of terminal evaluation reports

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1, and unable to assess = 0.

ANNEX 4 TO APPENDIX 9

GEF Minimum requirements for M&E

Minimum Requirement 1: Project Design of M&E⁸

All projects must include a concrete and fully budgeted monitoring and evaluation plan by the time of Work Program entry (full-sized projects) or CEO approval (medium-sized projects). This plan must contain at a minimum:

- SMART (see below) indicators for project implementation, or, if no indicators are identified, an alternative plan for monitoring that will deliver reliable and valid information to management
- SMART indicators for results (outcomes and, if applicable, impacts), and, where appropriate, corporate-level indicators
- A project baseline, with:
 - a description of the problem to address
 - indicator data
 - or, if major baseline indicators are not identified, an alternative plan for addressing this within one year of implementation
- An M&E Plan with identification of reviews and evaluations which will be undertaken, such as mid-term reviews or evaluations of activities
- An organizational setup and budgets for monitoring and evaluation.

⁸ <http://gefweb.org/MonitoringandEvaluation/MEPoliciesProcedures/MEPTools/meptstandards.html>

Minimum Requirement 2: Application of Project M&E

- Project monitoring and supervision will include implementation of the M&E plan, comprising:
- Use of SMART indicators for implementation (or provision of a reasonable explanation if not used)
- Use of SMART indicators for results (or provision of a reasonable explanation if not used)
- Fully established baseline for the project and data compiled to review progress
- Evaluations are undertaken as planned
- Operational organizational setup for M&E and budgets spent as planned.

SMART INDICATORS GEF projects and programs should monitor using relevant performance indicators. The monitoring system should be “SMART”:

1. **Specific:** The system captures the essence of the desired result by clearly and directly relating to achieving an objective, and only that objective.
2. **Measurable:** The monitoring system and its indicators are unambiguously specified so that all parties agree on what the system covers and there are practical ways to measure the indicators and results.
3. **Achievable and Attributable:** The system identifies what changes are anticipated as a result of the intervention and whether the result(s) are realistic. Attribution requires that changes in the targeted developmental issue can be linked to the intervention.
4. **Relevant and Realistic:** The system establishes levels of performance that are likely to be achieved in a practical manner, and that reflect the expectations of stakeholders.
5. **Time-bound, Timely, Trackable, and Targeted:** The system allows progress to be tracked in a cost-effective manner at desired frequency for a set period, with clear identification of the particular stakeholder group to be impacted by the project or program.

List of intended additional recipients for the Terminal Evaluation (to be completed by the IA Task Manager)

Name	Affiliation	Email
Aaron Zazueta	GEF Evaluation Office	azazueta@thegef.org
Government Officials		
GEF Focal Point(s)		
Executing Agency		
Implementing Agency		
Carmen Tavera	UNEP DGEF Quality Assurance Officer	

Appendix 10: Decision-making flowchart and organizational chart

This project will be implemented by the National Focal Point of the Convention on Biological Diversity, the National Council of Protected Areas (CONAP) in collaboration with UNOPS for the purposes of financial and procurement management. CONAP will be responsible for the technical delivery of the project. However, this project involves the participation of many actors both institutional, non-institutional and non-governmental organizations including civil society organizations, particularly indigenous people interested in this type of process. Although the implementation of this project is at the intersection of several institutions, CONAP through the Government Agreement 220-2011 which is the National Policy of Biological Diversity, with the Ministry of Environment and Natural Resources, leads on actions relating to the Convention on Biological Diversity.

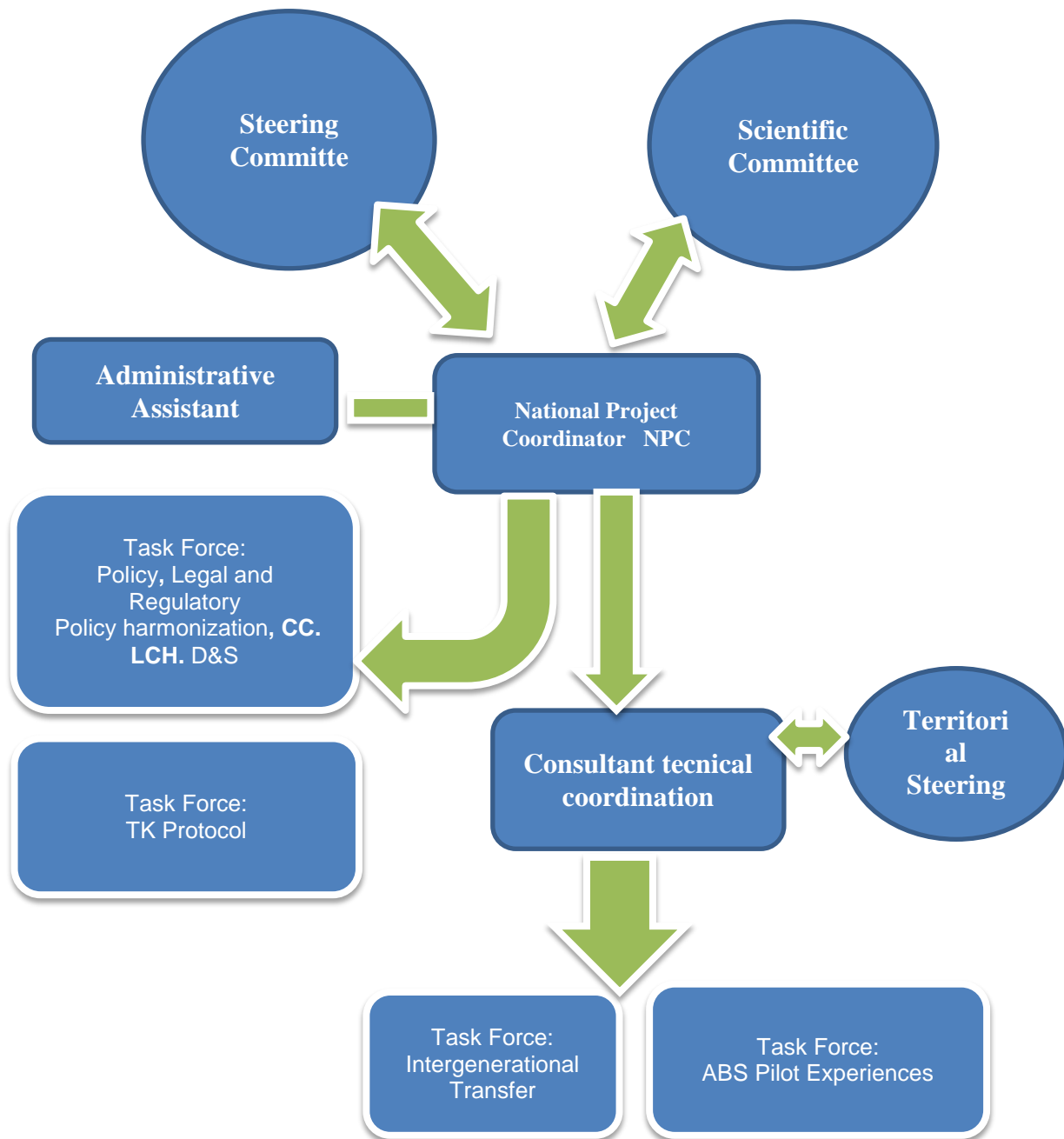
Although CONAP is responsible for stewardship of the Biological Diversity of the country, it is not directly responsible for implementing many of the actions relating to its use. However CONAP recognizes its responsibility to lead technically with respect to projects that promote the sustainable use and conservation of biodiversity.

In this context, the organizational structures proposed for the operation and implementation of this project will be shared with the state bodies, the National Competent Agencies (NCA's), which share competences with CONAP with a view towards:

A) Integration of organizational structures with institutional and legal support

B) Definition of structures that will be considered necessary for the institutionalization of the actions taken even after the execution of the project, which should include financial, administrative and institutional aspects that allow its operation and the achievement of the objectives in the long term. (See fig 1). These structures have been defined as:

- 1) A Steering Committee composed of high-level delegates accredited by each of the governmental institutions with responsibilities and competences in the components of the project, and UNEP.
- 2) A Technical and Scientific Committee with advisory functions, composed by technical representatives of the public, academic and private sectors (industry and social organizations) or entities wishing to contribute to the development of the regulation of access, conservation and sustainable use of the National traditional knowledge and genetic resources, as well as maximize the use of them to promote rural development.
- 3) The Steering Local Committee (SLC) (in each sociolinguistic territory) that will be responsible for managing and defining the development of activities of component 2 activity 2.2 in intergenerational transfer and the activities 3.1 and 3.2 of Component 3 regarding experiences in access and rural development.



The Steering Committee (SC) for the project management will be comprised of the following institutions: UNEP, National Council of Protected Areas (CONAP); Ministry of Environment and Natural Resources (MARN); Ministry of Agriculture (MAGA); Intellectual Property Register (RPI); Ministry Economy (MINECO); Ministry of Education (MINEDUC); Ministry of Culture and Sports (MICUDE).

The SC will provide the mechanism to ensure institutional linkages necessary for action at a national level. As most of the actions related to components 2 and 3 will be developed in two sociolinguistics territories; the SC will have responsibility to appoint and delegate institutional staff for the support of these activities.

The SC be comprised of UNEP and members from each of the ministries involved, coordinated by the representative of CONAP. The Project Manager will act as the link between the project and the institutions. The MAGA will participate through the Vice-Ministry of Health Phytozoosanitary and Native Resources (VISAR) and the Vice-Ministry of Rural Development. Meanwhile the MINECO will be represented by the Intellectual Property Registry, given its competencies in the area of protection of traditional knowledge. Likewise, the MICUDE is responsible for the Protection of the Cultural Heritage of the Nation. The MICUDE and in particular the Vice-Ministry of Bilingual and Intercultural education will participate given that the National Policy of Bilingual Education, integrates traditional knowledge as binding elements for the populations in each territory. The Local Inter-institutional Advisory Sub-committee will be coordinated by the regional representative of CONAP. The SC will meet on a quarterly basis with UNEP participating in annual supra meetings. This arrangement can be periodically reviewed as needed.

The Scientific Technical Committee will seek the integration of the academic, social and scientific bodies, particularly of each of the issues addressed, so that they can provide advisory guidance to the project.

The Local Steering Committee will comprise of the institutional representatives of the regions, together with civil society organizations and NGOs active in areas of relevance to this project. Likewise, local authorities, such as Local Development Committees (COCODES); Municipal Development Committees (COMUDES); representative of the Departmental Development Committee (CODEDES); the Municipal Mayors or their representative (appropriately named) will be invited.

The participation of each of the institutional and social sectors listed above is important to:

- Ensure the success of the activity and the future implementation of proposals developed.
- Ensure linkages between the regional and national institutions.
- Having the advice and the participation spaces already developed by each instance for the development of specialized actions.
- Ensure participation of all institutional bodies to achieve consensus on the activities to be develop.
- Ownership of the project by each participant instance, in terms of their competences.

The project will be managed by a Project Coordinator (NPC) who will be assisted by a technical assistant and a technical team composed of several consultants. The NPC will be responsible for integrating and promoting synergies in the administrative political context necessary for the implementation of the project components and the management review and evaluation of all project components and products, as well as execute the functions of the SC secretary. All administrative reports of each of the technical teams and their progress will be monitored by the Coordinator.

Furthermore the products of component 1 (1.1, 1.2 and 1.3) related to the development of the proposed policy, legal and regulatory framework of the ABS, will be the responsibility of the NPC as will the products relating to activity 2.1 of component 2, relating to the development of a protocol for the developing of TK inventories.

A technical consultant will provide technical linkages between consultants teams based in each of the sociolinguistic territories, with a view towards ensuring:

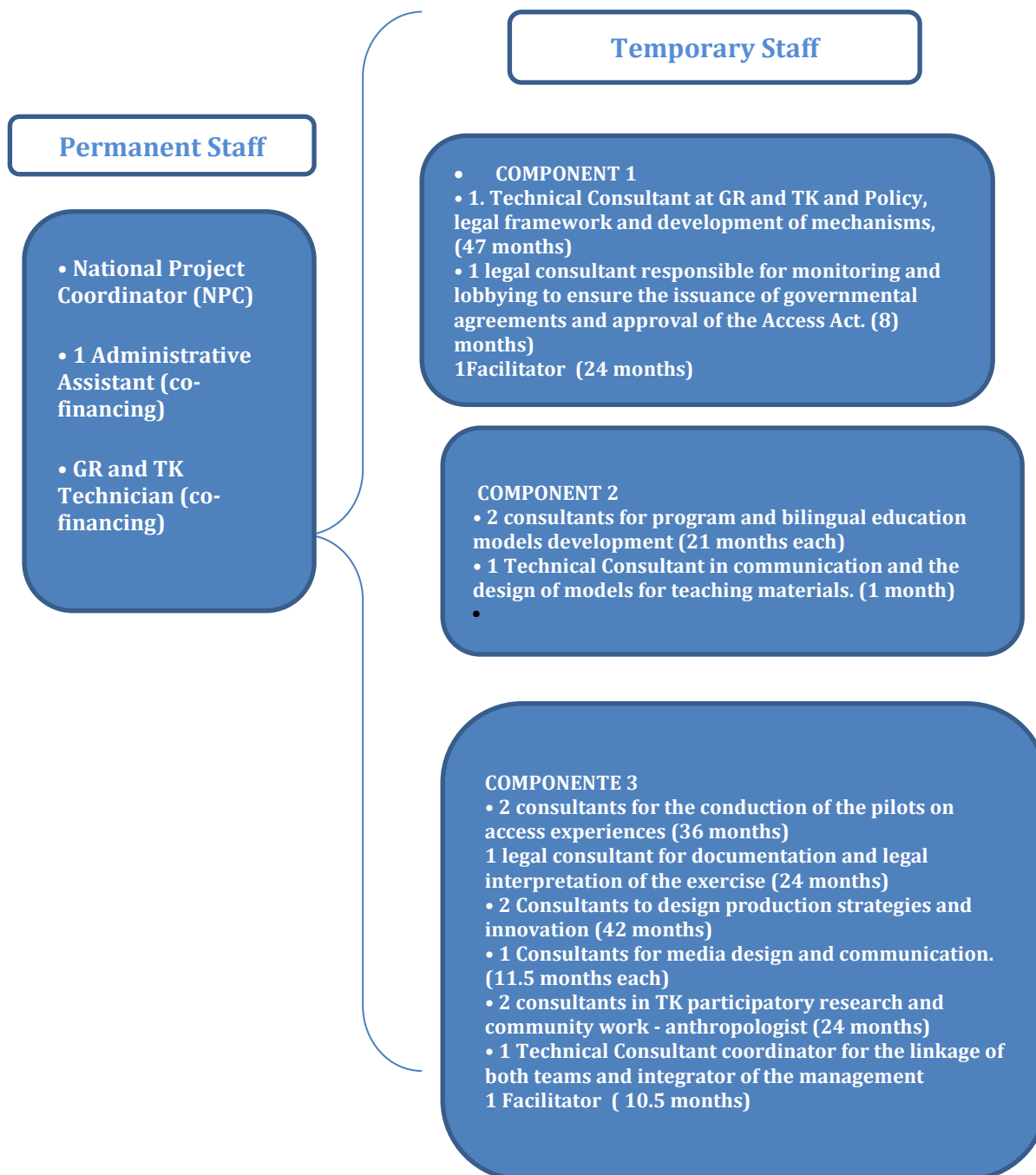
- 2.2 The transfer of intergenerational collective traditional knowledge
- 3.1 Experiences Pilots on access to genetic resources and traditional knowledge
- 3.2 Informative materials and cross sharing events to disseminate lesson learned in demo pilots.

For the implementation of the project, four technical teams (see Figure 2) will be responsible for specific tasks to obtain the expected outputs. The teams will be composed of technical consultants in different specialties that will support the achievement of the results of each component. The responsibilities of each team will be in obtaining the products as follows:

- Task force 1: Activities 1.1, 1.2 and 1.3 of component 1
- Task force 2: Component 2 Activity 2.1
- Task force 3 Component 2 Activity 2.2
- Task force 4 Activities 3.1 and 3.2 Component 3

For the development of the activities 1 and 2 the teams will be coordinated by the NPC and the teams 3 and 4 by the technical consultant coordinator who will link and coordinate all the actions that belong to the activities 2.2, 3.1 and 3.2 as well as to promote the meetings of the SLC, all of its activities must report to the NPC.

Figure 2: The permanent and temporary staff required for project implementation



Terms of Reference

Project: *ABS Guatemala: Access To and Benefit Sharing and Protection of Traditional Knowledge To Promote Biodiversity Conservation And Sustainable Use*

Project manager

I. Institutional Project context

The project will help move Guatemala towards ratification of the Protocol. The project is also consistent with COP 9 Decision IX/26 for promoting the engagement of businesses and establishing, as a priority, the need to build a business case for biodiversity. In light of the recent adoption of Nagoya Protocol (COP 10 Decision X/1) and its signature by Guatemala in May 2011, this project will contribute to bring the country closer to both ratification and implementation of the Nagoya Protocol. There are also nuances in this project pertaining to cross-cutting capacity development for the implementation of environmental Conventions that align well with Objectives 1 to 4 of the GEF's Corporate Programs Strategy for capacity development (GEF/R.5/31/CRP.1). This project will be implemented by the National Council of Protected Areas (CONAP) through the Technical Office of Biodiversity OTECBIO. To achieve the full deployment of the project CONAP will have the support of the United Nations Environment Program-UNEP-. The dates planned for implementation are from Jun 2013 to Jun 2017.

This project is the first effort to initiate dialogue and development of political, legal, biological and social framework to ensure that access to genetic resources and traditional knowledge is develop in a collective form; also developing collective traditional knowledge as means for local development, consistent with the provisions of both the National Policy on Biological Diversity and The Protected Areas Act and its amendments (Decree Law 4 -89 and 5-95).

II. Technical Background

Since the ratification by Guatemala of the Convention on Biological Diversity, CBD, the country have developed a series of efforts that have somehow helped to promote the fulfillment of its objectives.

One of the most notable efforts in the amendment to the law creating the National Council Protected Areas allowing incorporate biodiversity conservation and sustainable use, and fair and equitable sharing of benefits arising from their use, as elements of the country's natural heritage. In this sense, several actions have been implemented and several tools and instruments have been developed that currently allow compliance to operationalize national targets for biodiversity in line with the objectives of the CBD.

III. Objectives

To assist Guatemala in implementing a GEF Medium Sized Project, meeting CONAP, GEF, UNEP and Project requirements, that permits the establishment of a well-articulated, effective and transparent national ABS system; Access To and Benefit Sharing and Protection of Traditional Knowledge To Promote Biodiversity Conservation And Sustainable Use; the development of the necessary policies, regulatory and technical instruments, and local capabilities in order to meet national and rural development needs.

IV. Tasks

1. Prepare a specific work plan and time table that includes the methodology to achieve the expected products and outputs of the current Project, under the supervision of OTECBIO. This work plan must be based on the project work plan and time table.
2. Adhere to and respect established timeframes and requirements detailed in the work plan, which is subject to supervision by OTECBIO.
3. Maintain close communication and coordination directly with OTECBIO's project technician, all subcontracted consultants, and OTECBIO's director.
4. Establish, coordinate and maintain effective communication with different sectors, stakeholders and National Competent authorities (Governmental entities, non-governmental entities, academic sectors, private sector, and civil society) to facilitate the achievement of project objectives and outcomes and create synergy among sectors.
5. Plan and organize an Inception Workshop according to CONAP, UNEP and GEF guidelines.
6. Revise Project as necessary based on Inception Workshop results.
7. Identify and propose consultants for technical coordination roles, including consultant for coordination of Policy drafting, Technical Program coordination, and others required by OTECBIO.
8. Supervise, guide, coordinate and integrate the work of all consultants subcontracted for the project.
9. Serve as secretary for the steering committee and arrange steering committee meetings.
10. Lobby the necessary stakeholders to procure official commitment letters or agreements supporting project implementation and its results.
11. Contact and lobby the necessary National Authorities to promote adoption of policies, regulations, technical instruments and tools resulting from the project.
12. Carry out all necessary activities for efficient management and evaluation of the project according to the project M&E plan.
13. Supervise and participate in the planning and executing of all workshops specified by the project.
14. Present monthly progress reports.
15. Read, revise and approve all subcontracted consultant reports before their submission to OTECBIO.
16. Present technical and financial progress reports at different stages of the Project (according to UNEP and GEF formats), based on the products specified and on the expected dates. All reports are subject to revision and are not considered final until any comments and observations are incorporated and reports approved. Reports include, but are not limited to:
 - Procurement plan
 - Inception Workshop Report
 - Quarterly expenditure report accompanied by explanatory notes
 - Quarterly cash advance request and details of anticipated disbursements
 - Half yearly progress report
 - Yearly audited report for expenditures
 - Yearly inventory of non-expendable equipment
 - Yearly co-financing report
 - Yearly project implementation review (PIR) report
 - Quarterly minutes of steering committee meetings
 - Final report
 - Final inventory of non-expendable equipment
 - Equipment transfer letters
 - Final expenditure statement
 - Mid-term review or Mid-term evaluation
 - Final audited report for expenditures of project
 - Independent terminal evaluation reports

17. Conduct and execute all activities related to the development of policy and legal and regulatory framework of the ABS in Guatemala as indicated in 1.1 and 1.2 Results framework and Work plan project.

18. Manage and execute the necessary actions to achieve harmonization of traditional knowledge in the public policy of climate change, desertification and Changing Land Use (Output 1.3 Results Framework).

19. 19. Manage all activities related to the development of TK Protocol in 2.1 indicated in the Project Results Framework.

V. Consultant Profile

- BS in Biology, Agronomy, Environmental Studies or similar areas, with post-graduate work concerning genetic resources related aspects.
- Demonstrated experience in project implementation and management preferably in Genetic Resources and Traditional Knowledge, biodiversity, including five years minimum experience involving strategic planning and project evaluation.
- Demonstrated experience or knowledge of basic elements relating to the identification of the genetic distribution of all species groups, and their associated traditional knowledge, including basic elements of the mechanisms for access, protection, taking into account the formal institutions (laws) and customary for their development.
- People skills and experience in personnel hiring and supervision as well as leadership qualities and team management skills.
- Full mastery of the English language, including conversation, reading and writing.
- Demonstrated capability for collecting, analyzing and synthesizing information in English and Spanish.
- Capacity for information documentation, objective information management, information analysis, synthesis, and redaction.
- Mastery of basic computer programs [Word, Excel, Power Point, and Access].
- Immediate and full time availability.
- Knowledge of the institutional, sectoral and policy context regarding TK and genetic resources, including contacts among stakeholders and NCAs involved with ABS and rural development
- Writing and summarizing abilities for the formulation and presentation of required reports.
- Ability to work with multicultural, multiethnic, and multilingual groups, as well as to facilitate consultation processes.
- Ability to travel internationally and locally for short periods of time.

VI. Products

The consultant will hand in monthly progress reports that document the achievement of objectives, goals and outputs outlined in the work plan and timetable. Monthly reports must include evidence that the consultant has read, revised, and approved all subcontracted consultant reports handed in that month. Additionally, he or she must prepare any reports considered reporting requirements to UNEP-GEF. These reports include, but are not limited to: Procurement plan, Inception Workshop Report, Quarterly expenditure report accompanied by explanatory notes, Quarterly cash advance request and details of anticipated disbursements, Half yearly progress report, Yearly audited report for expenditures, Yearly inventory of non-expendable equipment, Yearly co-financing report, Yearly project implementation review (PIR) report, Quarterly minutes of steering committee meetings, Final report, Final inventory of non-expendable equipment, Equipment transfer letters, Final expenditure statement, Mid-term review or Mid-term evaluation, Final audited report for expenditures of project, Independent terminal evaluation reports.

The coordinator will also develop technical activities related to obtaining products of Component 1, specifically the coordination of all activities leading to the award of outcome 1.1 related to the approval by Government of a National Policy on Access to Genetic Resources and collective traditional knowledge, and related activities to obtain the result 1.2. Legal framework (Law and regulate access) access to genetic resources and traditional knowledge and its presentation to the Congress, and the management and development of a strategy for harmonizing CONAP traditional knowledge related to biodiversity with national policies of climate change, desertification and Changing land use.

VII. Supervision and Coordination

Supervision and coordination are the responsibility of OTECBIO, so that Project activities are carried out successfully, in time, and in accordance with the Project work plan, time table and terms of reference. All products must be approved by OTECBIO and the advisory structures created to supervise the project.

VII. Contract time frame

One year as of contract signing date. The contract is renewable for up to three additional years pending CONAP and UNEP authorization and is subject to an evaluation of performance and compliance with presented work plan, time table and deliverables.

IX. Workplace

Project coordination will take place in the offices of CONAP (5ª Av. 6-06, Zona 1, Edificio IPM, 7mo., 6to. y 5to. Nivel, Ciudad de Guatemala, Guatemala, C.A.).

X. Salary, products and payment

All presented products must include three printed versions and an electronic version (in Word and PDF format). Both versions must be handed in simultaneously and may be subject to revisions and changes resulting from product evaluation and approval.

Payment Schedule will be monthly, upon delivery of a monthly progress report documenting the achievement of that months programmed objectives and outputs, plus any additional reports required for UNEP-GEF project monitoring.

Project manager will be paid US\$ 2,000.00 monthly, to a total US\$ 24,000.00 for the yearlong duration of the contract. Exact dates for product delivery will be defined in collaboration with CONAP-OTECBIO once the contract is signed. Before any funds are disbursed, products must be authorized by CONAP's General Technical Director. Amounts outlined include taxes and authorized receipts must be turned in prior to any payment.

XI. Credits and Property Rights

All products and information generated during the Project are the property of the National Council for Protected Areas, and any use of this information or products must be authorized by CONAP's executive secretary. Partial or full publication must include CONAP, UNEP and GEF credits and logos.

Contact Information

Interested parties who fulfill the requirements may send a CV and cover letter in a sealed envelope addressed to: OTECBIO Director, 5ª. Av. 6ª-06 Zona 1, edificio IPM, 7to. Nivel.

