



REQUEST FOR BIODIVERSITY ENABLING ACTIVITY

PROPOSAL FOR FUNDING UNDER THE GEF TRUST FUND

PART I: PROJECT IDENTIFIERS

EA Title:	National Biodiversity Planning to Support the implementation of the CBD 2011-2020 Strategic Plan in Guatemala		
Country(ies):	Guatemala	GEF Project ID:	4809
GEF Agency(ies):	UNDP	GEF Agency Project ID:	4834
Other Executing Partner(s):	National Council for Protected Areas	Submission Date:	March 7, 2012
GEF Focal Area (s):	Biodiversity	Project Duration (Months)	24
Check if applicable:	NCSA <input type="checkbox"/> NAPA <input type="checkbox"/>	Agency Fee (\$):	20,995

A. EA FRAMEWORK

EA Objective: To integrate Guatemala's obligations under the Convention on Biological Diversity (CBD) into its national development and sectoral planning frameworks through a renewed and participative 'biodiversity planning' and strategizing process, in a manner that is in line with the global guidance contained in the CBD's Strategic Plan for 2011-2020.

EA Component	Type	Expected Outcomes	Expected Outputs	Grant Amount (\$)	Confirmed Co-financing (\$)
1) Stocktaking and national target setting	TA	- By 2012, national targets in response to the global Aichi Targets are developed.	<p>1.1 In response to the global Aichi Targets, national biodiversity targets are developed in a manner that is attuned to Guatemala's reality.</p> <p>1.2 The achievement of national targets, developed in line with the global Aichi Targets, is duly monitored during the project duration and beyond, and this is reported upon to the CBD through national reports and other means.</p> <p>1.3 In an iterative manner, Guatemala taps into useful information on, and participates into, global networks and initiatives on biodiversity data and indicators (such as the Biodiversity Indicators Partnership¹, Global Biodiversity Information Facility² and the World Conservation Monitoring Centre³, the Global Environment Outlook portal⁴, among other relevant ones).</p>	62,551	69,296
2) NBSAP update	TA	- By early 2014, the Guatemala's NBSAP is fully updated, it is in line with the guidance in the CBD Strategic Plan (2011-2020)	2.1 A National Biodiversity Strategy and Action Plan (NBSAP) for Guatemala, anchored into national development frameworks (SEGEPLAN, Ministry Council and Institutional Strategic Plans), is updated in a manner that is participative, widely disseminated and fully integrates new aspects of the CBD strategic plan, including mainstreaming of biodiversity	72,674	68,330

¹ www.bipindicators.net

² www.gbif.org

³ www.unep-wcmc.org

⁴ geodata.rrcap.unep.org

EA Component	Type	Expected Outcomes	Expected Outputs	Grant Amount (\$)	Confirmed Co-financing (\$)
		and has been submitted to the CBD COP	concerns into the activities of in CONAP, MARN, INAB, MAGA, SCEP, SEGEPLAN, FUNDESA, CACIF ⁵ and organized civil society organizations, such as Cooperatives; 2.2 The updated and fully endorsed NBSAP for Guatemala is submitted to the CBD preferably within the deadline set by the COP.		
3) National frameworks for NBSAP implementation, CDB reporting and exchange mechanisms		- By 2013, complete the updating and improvement of national clearinghouse mechanisms - By 2014, complete plan for implementing the NBSAP, including capacity, technology and finance needs assessment	3.1 National frameworks for NBSAP implementation include: (i) development of a plan for capacity development for NBSAP implementation; and (ii) development of a plan for resource mobilization for NBSAP implementation. 3.2 An effective, user-friendly and easily updatable country-driven CHM site is developed; it is linked up to the CBD's global CHM networks and to other information and knowledge exchange network on biodiversity. 3.2. Immediate CBD reporting obligations are met by Guatemala in a timely manner: The Fifth National Report to the CBD by 31 March 2012.	65,934	113,091
Subtotal				201,159	250,717
EA Management Cost ⁶				19,846	42,333
Total EA Cost				221,005	293,050

^a List the \$ by EA components.

B. CO-FINANCING FOR THE EA BY SOURCE AND BY NAME

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
National Government	National Council for Protected Areas (CONAP)	In-kind	223,050
National Government	National Council for Protected Areas (CONAP)	Cash	30,000
GEF Agency	UNDP	In Kind	40,000
Total Co-financing			293,050

NOTES ON CO-FINANCING

1) The in-kind co-financing amount from CONAP (\$223,050) was estimated in the following manner:

- An in-kind equivalent of \$118,800 for the time dedicated by CONAP staff to support NBSAP process.

⁵ CONAP: National Council for Protected Areas; MARN: Ministry of Environment Natural Resources, INAB: National Forestry Institute, MAGA: Ministry of Agriculture, Livestock and Food, SCEP: Presidential Secretariat, SEGEPLAN: Planning Secretariat FUNDESA: Foundation for the Development of Guatemala (NGO); CACIF: Coordination of Agricultural, Livestock and Industry Associations.

⁶ This is the cost associated with the unit executing the project on the ground and could be financed out of trust fund or co-financing sources.

- An in-kind equivalent of \$30,000 for the use and maintenance of equipment and technical tools (including the CHM existing technological infrastructure) acquired by CONAP and which will provide key information and data gathering mechanisms for the NBSAP updating process.
- An in-kind equivalent of \$74,250 for the availability of secure and functional office space for the project at the premises of CONAP.

2) The in-kind co-financing amount (US\$40,000) from UNDP was estimated on the basis of the expected time allocation that staff from the UNDP Country Office, UNDP Headquarters and the UNDP Regional Service Centre will dedicate to technical backstopping the NBSAP process. This backstopping goes beyond UNDP's role as GEF implementing agency and is hence not covered by the GEF fee. More specifically, this pertains to the involvement of and inputs from non-UNDP/GEF policy advisors, indicatively broken-down as follows throughout the duration of the project: (i) UNDP Senior Economist for Guatemala for 10 days; (ii) Regional Governance Advisor for 5 days; (iii) Regional and NY-based Private Sector Engagement Advisors for 15 days; and (iii) Out-posted Climate Modelling Advisor for 10 days.⁷

C. GRANT RESOURCES REQUESTED BY AGENCY, FOCAL AREA AND COUNTRY

GEF Agency	Type of Trust Fund	Focal Area	Country Name	EA Amount (a)	Agency Fee (b)	Total (c)=(a)+(b)
UNDP	GEF TF	Biodiversity	Guatemala	221,005	20,995	242,000
UNDP	GEF TF	Biodiversity (STAR)	Guatemala	0	0	0
Total Grant Resources				221,005	20,995	242,000

D. EA MANAGEMENT COST

Cost Items	[GEF only] Total Estimated Person Weeks	Grant Amount (\$)	Co-financing (\$)	EA Total (\$)
Local consultants*	192	17,846	10,000	27,846
International consultants*		0	0	0
Office facilities, equipment, vehicles and communications*		0	30,000	30,000
Travel*		0	2,333	2,333
Others** - Project audit		2,000	0	2,000
Total		19,846	42,333	62,179

* Details to be provided in Annex A. ** Other items to be clearly specified.

ADDITIONAL INFORMATION FOR TABLE D, IF APPLICABLE:

If costs for office facilities, equipment, vehicles and communications, travels are requesting for GEF financing, please provide justification here:

Management costs for this project will be shared in balanced way between GEF funds and the government.

A number of expenses related to office facilities, equipment, vehicles and communications will be covered by the National Council for Protected Areas (CONAP). In addition, the time that managerial staff from these three entities will dedicate to the project, in particular the time spent on coordinating activities, has been estimated at \$10,000 for the duration of the project. This amounts to approx. 28-30 persons-week. Some domestic travel (estimated at \$2.3K) may also be covered from co-financiers' budgets.

The GEF's portion of project management costs will go to project audit and to engaging the managerial services of (1) the 'National Enabling Activity Technical Manager' for 96 weeks, of which approximately 10% is equivalent to the person's time dedicated to managerial tasks (representing \$3,846), and (2) the National Enabling Activity Assistant for 96 weeks (\$14,000). Both will be engaged throughout the duration of the project. The National Enabling Activity Technical Manager will also have technical tasks that were not accounted for in Table D.

Refer to Annex A and to the Total Budget and Workplan in Annex C for more details.

⁷ For the sake of simplicity, the time of international staff was estimated at \$1000/day. This includes support and supervisory services.

PART II: ENABLING ACTIVITY JUSTIFICATION

A. ENABLING ACTIVITY BACKGROUND AND CONTEXT (Provide brief information about projects implemented since a country became party to the convention and results achieved):

The Republic of Guatemala is characterized by a mountain range covering at least 60% of the 108,889 km² of its land area. Having coasts in the Pacific and Atlantic Oceans, Guatemala has altitudes that vary from sea level up to 4,211 m over sea level; this produces rainfall with a variation from 400 to 4,000 annual millimetres, depending on the area. This diversity in altitude and rainfall translates into nine different biomes, 14 life zones (according to Holdridge) and 14 terrestrial ecoregions. The great variation in orography and hydrology produces significant diversity in ecosystems, species and genes that was used as basis to declare Guatemala a Megadiverse Country during the COP-10 in Nagoya, Japan. Today, Guatemala is part of the Group of Like-Minded Megadiverse Countries having an outstanding richness in biological diversity and associated traditional knowledge.

Guatemala is considered a Middle Income Country with a GDP (PPP) per capita of US\$5,000 and its HDI of 0.560, ranking 116 of 169 countries. Nevertheless, the extreme inequality in the country is reflected in its Gini coefficient of 53.7 reducing its HDI to 0.372. These translate into a prevalent poverty situation, deficient health and education systems and a lower quality of life altogether especially for rural indigenous communities, and women in particular. Thus, inequalities are greater if gender and ethnic variables are taken into consideration. Guatemala has an estimated population of 14.4 million primarily rural inhabitants, of which some 6.6 million are living in poverty and an additional 2 million in extreme poverty (UNEP, 2010). According to data from the National Institute of Statistics, annual population growth rate is 2.5%. This is significantly higher than the Central American average of 1.4% and the Latin-American average of 1.1%. According to World Bank data, almost 32% of the population lives on less than \$2/day in an environment of slow economic growth. Official data for 2010 shows that apparel, sugarcane, coffee, stones and precious and semiprecious metals, bananas, cardamom and natural rubber exports contribute with US \$8.4 billion to the national economy; while imports such as petroleum products, machines and mechanical appliances for electrical purposes, vehicles and transport equipment, textiles, pharmaceuticals, and products from the chemical industry, amount to US \$13.8 billion. Key commercial partners include all countries in Central America (and Panama), the United States of America, Mexico, Japan and China. A general slowdown in economic activity has produced a decrease in income from exports and remittances. Commercial trade balance is in deficit, and it is thought that this deficit is not being used in activities that promote economic growth due to an increased consumption, reduced savings and stalled investments.

Identified threat drivers to biodiversity loss include poorly defined property rights and unregulated land use, low attribution of value to biodiversity and ecosystem services, and weak governmental institutions. At the background, poverty, unemployment, population growth and a predominant agrarian structure contribute to a non-integrated management of biodiversity components. The main current threats to biodiversity in Guatemala may be grouped as follows:

Habitat / land use change. At a 2.5% population growth rate pressure is increasing on already overused productive landscapes that concentrate in mountain slopes and land suitable only for sustainable forest management. With a deforestation rate of 70,000 ha/year, highland and tropical forests are critically endangered, and so are the goods and services provided by these ecosystems, such as firewood that constitutes 55% of domestic energy generation. Reforestation activities are promoted mainly through forest incentives; nevertheless, most areas are reforested with non-native species such as rubber, teak and eucalyptus trees. Land used for agriculture activities continues to expand due to population growth and the unequal distribution and concentration of land that characterizes the country. Studies have shown a correlation between poverty level and the level of land overuse; an empirical analysis carried out by Loening & Markussen (2003) indicated that agricultural activities in rural areas remain closely tied to deforestation, because of the virtual absence of non-environmental assets of the poor⁸. In addition, economic activities such as mining and petroleum extraction contamination degrade habitats, both terrestrial and marine. Terrestrial ecoregions with a critical conservation

⁸ Loening, Josef Ludger & Markussen, Michael. Poverty, Deforestation and Biodiversity Loss in Guatemala (January 2003). Ibero-America Institute for Economic Research Discussion Paper No. 91. Available at SSRN: <http://ssrn.com/abstract=379984>

status include the Dry Forest of Central America, Humid Forests of the Sierra Madre and the North Pacific Coast Dry Mangrove, which show less than 30% natural cover remaining. It is within these ecoregions where most of the population and its agriculture activities are settled (MARN-URL/IARNA-PNUMA, 2009).

Overexploitation. As mentioned earlier, 69% of Guatemala's extraction corresponds to biomass (agriculture, forest products including wood, fishery and aquaculture, livestock and hunting. Subsistence hunting and fishing are part of the activities carried out by rural populations. Some 115 species are recorded to be hunted or fished, including 17 families of mammals, 10 of reptiles, 8 of birds and at least 108 species of fish in both coasts. Nevertheless, overexploitation is a consequence of illegal trade, inadequate hunting and fishing gear and the low value placed on biodiversity and its goods and services. Overexploitation and illegal trade of wildlife has a serious impact on the stability of biodiversity populations; for example, fisheries have reduced their production capacity (MARN-URL/IARNA-PNUMA 2006), and some migratory fish, such as bass and shad, have started to show population declines due to overexploitation and a lack of regulations for the use of fishing gear. The list of threatened species includes some 1,800 plants and animals, number that should be increased considering that there are a number of species for which the population size and trend is not known. This reveals that conservation efforts have to be improved, including the fact that most species of forestry, fisheries, hunting or medical purposes lack a management plan or strategy.

Invasive Alien Species. These species are established through deliberate introduction in production systems, landscape architecture, recreational and decorative purposes, deliberate introduction for confinement with the risk of leakage or release in natural habitats; and the accidental introduction of species, organisms or pathogenic agents through transportation, commercial trade, trips and tourism. Establishment of invasive alien species causes ecosystem degradation and the reduction of native populations; in addition, invasive alien species are considered barriers to the restoration process. Introduction of largemouth bass to Lake Atitlán in Guatemala is implicated in the elimination of several native fishes, reduction of total fish biomass, and predation on and competition with the now-extinct Atitlán Grebe (*Podilymbus gigas*) (LaBastille, 1974)⁹, the largemouth bass also wrecked the freshwater crab fishery in the Lake (Powers and LaBastille, 1967)¹⁰. Studies have shown that water contamination, the introduction of a new species of fish, and overfishing in the Lake have decreased the fish population in both number and quality, making fishing in the Lake unprofitable (Fure-Slocum, 2010).¹¹ CONAP (2004) has recognized 146 exotic species in the country (119 terrestrial and 13 aquatic). During 2011, the National Council for Protected Areas approved the Regulations on Invasive Alien Species, identifying 20 high risk species, 115 impact species, some of unknown effect and 11 with no risk.

Pollution alters the ecologic equilibrium of aquatic and terrestrial natural ecosystems; it is provoked especially by the elimination of solid and liquid waste from industrial processes and other human activities, including domestic sewage. An excessive use of agrochemicals in annual and permanent crops, as well as paddock management contributes significantly to pollution of watercourses. In 2009, approximately 38% of Atitlán Lake was affected by cyanobacteria that appeared after decades of pollution from domestic sewage and agriculture runoff. This situation increased the number of invasive alien species in the Lake. Detected cyanobacteria have an effect on the Lake's food chain and eventually, when put in contact with these waters and Lake's species are consumed, it could have a negative impact on human health (CATHALAC, *s.f.*¹²).

Climate Change. Deforestation that substituted forests for agriculture and livestock activities has increased environmental deterioration that has a direct effect on the country's vulnerability to natural phenomenon. Additional activities that have contributed to land degradation include pollution from solid and liquid waste, indiscriminate use of agrochemicals and an increased demand of services (transportation, energy and food production). Increased precipitation amplifies runoff and land erosion, siltation of dams, flooding, landslides and crop losses. Reduced precipitation diminishes river flow, groundwater level and water availability for human and animal consumption (IARNA, URL, IIA, 2004). Because of the velocity at which climate change effects are taking place, natural populations will not have time to adapt and ecosystem resilience capacity to recover from impacts will be lost (Reyes, 2009). Climate change, in combination with continuous environmental degradation processes, represents a threat to the region's biodiversity. In

⁹ LaBastille Bowes, Anne. 1974. Ecology and Management of the Atitlán Grebe, Lake Atitlán, Guatemala. *Wildlife Monographs*. No 37: 3-66.

¹⁰ Powers, James & Anne LaBastille Bowes. 1967. Elimination of fish in the Giant Grebe Refuge, Lake Atitlan, Guatemala, using the fish toxicant, antimycin. *Transactions of the American Fisheries Society*, vol. 96, No. 2: 210-213

¹¹ Fure-Slocum, Anne. 2010. Learning to walk again: creating a new livelihood in a Lake Atitlán Community. Carleton College. 22pp. Available at: http://apps.carleton.edu/curricular/ocs/guatemala/assets/Fure_Slocum_2010.pdf

¹² http://www.cathalac.org/lac_atlas/image_full/Top10_LAC-Atlas.pdf

Guatemala, projections identify Alta Verapaz and Izabal as critical areas for climate change impacts (MARN-URL/IARNA-PNUMA, 2009).

Institutional response to biodiversity threats

The conservation of natural heritage is declared a constitutional right (Article 64) as well as pollution prevention to allow ecologic equilibrium and the sustainable use of flora and fauna to prevent its predation (Article 97). In 1989 the National Council for Protected Areas (CONAP) was created for wildlife conservation, restoration and management; later in 1995 Guatemala signed and later ratified the Convention on Biological Diversity (Decree 5-95), assigning biodiversity management to CONAP. In addition, the Ministry of Environment and Natural Resources (MARN) is also responsible of the protection, preservation and rational use of natural resources to allow sustainable development. The National Forest Institute (INAB) is the State entity in charge of forestry matters, including forest biodiversity. The Ministry of Food, Agriculture and Cattle Farming (MAGA) oversees biological diversity regarding food and agriculture practices. Other governmental instances such as the Tourism Institute (INGUAT), Anthropology and History Institute (IDAEH), Disaster Reduction Coordination (CONRED), Ministries of Finances (MINFIN), Economy (MINECO), Energy and Mining (MEM), Education (MINEDUC), Foreign Affairs (MINEX), and the Planning and Programing Secretariat (SEGEPLAN), among other public institutions, require inter-institutional coordination for the implementation of the National Biological Diversity Policy, approved by Governmental Agreement number 220-2011 in July 2011.

In 2008, Guatemala signed the Antigua II Declaration, to make operative the Paris Declaration on Aid Effectiveness and Accra Agenda for Action. The II Antigua Declaration created the Environment and Water Sectorial Table (MSAA), where the Government of Guatemala and G-13 donors agreed to apply the principles of the Declaration: policies and plans with high social consensus directed to achieving clear monitored goals will be developed by the Government; donors in turn, will align their funding resources to these plans and will progressively advance in funneling donations through governmental institutions, procedures and national systems. The MSAA brings together all governmental institutions responsible for directly or indirectly managing biodiversity; one of their main objectives is that public instances responsible for biodiversity management enhance their effectiveness in achieving the proposed goals.

Protected area (PA) system Guatemala's PA System was created by Decree 4-89 for the conservation, rehabilitation and protection of biodiversity and the country's natural resources; the System currently includes 219 protected areas (over 30% of the country). During 2006, Guatemala, through CONAP, took serious steps towards the optimization of the National System of Protected Areas (SIGAP). As a reflection of this work, the country, together with the civil population and international cooperation, increased the protected areas system with the addition of 37 new protected areas to what it is today in a step-wise manner. Other achievements include the empowerment of the protected areas administration by co-administration agreements with non-governmental organizations and other government organizations. To complement these efforts, Guatemala is developing the National Implementation Support Partnership (NISP), in order to facilitate the implementation of the CBD's Programme of Work on Protected Areas. In this matter, the work has been focused on three main areas: the development of capacities for better management of protected areas; the identification of representative areas within the protected areas system (GAP analysis); and the development of a financial plan. The NISP is formed of 10 entities including government agencies and national and international NGOs, with CONAP at the head of this process. In spite of good coverage and current efforts, management effectiveness is not homogeneous across the board, with room for improvement in many parts of the country.

On May, 2011, Guatemala signed the Nagoya Protocol on Access and Benefit Sharing (ABS); STAR5 funding from CDB has been set aside for four year project that will implement ABS. Early ratification of the Protocol is expected on 2012. The Cartagena Protocol on biosafety issues is being implemented through a four year GEF project that will establish the National Biosafety System; the Second Biosafety Report was submitted by the end of 2011.

Other mainstreaming measures that take place include the MSAA Plan that has one objective destined to secure ecologic and biodiversity equilibrium through conservation, protection and sustainable management of natural resources. In addition, the National Environmental Education Policy was recently approved, and will be implemented through the Ministries of Education, Environment and the National Council for Protected Areas.

Barriers Identified for the effective implementation of the CBD Strategic Plan at the national level

Guatemala is characterized by a small institutional apparatus and precarious institutional networks that limit its capacity to respond to pressing issues, similar to many countries in the Isthmus. Until recently, environmental issues including biological diversity were not considered a national priority; in addition, current risks derived from climate change combined with social vulnerability have increased the risk to infrastructure, national production and survival of people and species, particularly those of fragile ecosystems. One of the most significant barriers to effective implementation of the CBD Strategic Plan is the lack of coordination among institutions involved in environmental management. This weakens the effectiveness of state policies aimed at promoting conservation and sustainable use of biodiversity. There are challenges in terms of determining common priorities across sectors and coordinating efforts among governmental, non-governmental and civil society institutions. In addition, this lack of coordination is worsened by the European and American economic crisis that has had an effect on aid flows that historically have been key for social and environmental investment in countries such as Guatemala. Low aid flows added to a poor tax base limit available funding for programs focused on conservation and sustainable use, as well as the promotion of biodiversity knowledge and valuation.

In 1999 a National Biodiversity Strategy was developed and adopted by the National Council for Protected Areas. Despite the fact that this Strategy proposed a series of coordinating mechanisms between institutions to articulate conservation and sustainable use actions, these mechanisms are yet to be developed and implemented and the instrument was not considered as policy, despite its high technical quality. Until the recent approval of the National Biodiversity Policy (Governmental Agreement 220-2011) the lack of a policy that integrated institutions towards biodiversity conservation and sustainable use was considered a barrier for effective integration and implementation of the Strategic Plan at a national level, especially considering CONAP's limited operative capacity. State disarticulation is evident in all areas and processes; in most cases, governmental periods of four years allow the advancement on specific topics but most processes are not continued when government personnel changes.

Additional background information of the country's 'biodiversity planning' process

During the past COP 10 celebrated in Nagoya, Japan, Guatemala was accepted as a Like-minded Megadiverse Country, demonstrating that Guatemala is rich in culture, traditional knowledge and biological diversity; the country is now working towards an integrated approach to all three International Conventions on Biological Diversity, Climate Change and to Combat Desertification. Furthermore, Guatemala recently approved the National Biodiversity Policy (Governmental Agreement 220-2011) after two years of a participative planning and strategizing process that included key stakeholders from public and private organizations, indigenous peoples and research institutions. This National Policy constitutes a window of opportunity to establish biodiversity management as a cross State priority, where institutional responsibilities must be shared to contribute to sustainable development. Currently, a National Biological Diversity Strategy is being developed using the recently approved National Policy as framework to develop a widely participative process; the updated Strategy will propose a set of strategic actions that need to take place in the short, mid and long terms, as well as the institutions or organizations responsible of their implementation.

1) National Reporting to CBD			
Reports	Date of Submission to CBD Secretariat (dd/mm/yyyy)	Current Status*	Comments
National Biodiversity Strategy and Action Plan	1/27/2002	Outdated	Submitted to CBD Secretariat. Implementation was assessed in 2009 with results presented in the 4NR.
Revision of NBSAP	Not submitted	A "bridging" version from 2011 exists	Guatemala has developed a "bridging" updated NBSAP in 2011 with the purpose of aligning it to the National Biological Diversity Policy, which was approved in July 2011. However, much remains to be done in terms of defining targets in line with the Aichi Targets, and in terms of anchoring the new NBSAP into national development frameworks.
1 st National Report	-	Not submitted	Report was developed to a draft phase but was not submitted to Secretariat
2 nd National Report	8/2/2002	Submitted	
3 rd National Report	8/6/2006	Submitted	

4 th National Report	24/9/2009	Submitted	
2) Capacity Needs Assessments carried out		YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>
Start Date: June 2004		End Date: March 2008	
Please list all of the CBD Program of Work and cross-cutting themes that were addressed in the Biodiversity Enabling Activities Capacity Needs Assessments:			Dates
▪ <i>In Situ</i> and <i>Ex Situ</i> conservation and sustainable use of biodiversity			2004-2008
▪ Design of conservation incentive mechanisms for biodiversity			2004-2008
▪ Access and benefit sharing of genetic resources			2004-2008
▪ National Capacity Self-Assessment: See: http://ncsa.undp.org/report_detail.cfm?Projectid=349			2005-2008
3) Clearing House Mechanism (CHM) established?			YES <input checked="" type="checkbox"/> NO <input type="checkbox"/>
Consult also: www.cbd.int/chm and www.cbd.int/chm/network			
CHM link(s):	www.chmguatemala.gob.gt		
Is the CHM website maintained up to date?			YES <input checked="" type="checkbox"/> NO <input type="checkbox"/>
How many people currently operate and maintain the national CHM?			2 people
How many people visited the national CHM website in the past 12 months?			> 50,000
Note: A total of 54,065 visited the CHM site from March 1 st to August 15 th , time during which this statistic has been available.			

B. ENABLING ACTIVITY GOALS AND OBJECTIVES (The proposal should briefly justify the need for the project.)

The Baseline Project: The Current NBSAP and the new CBD Strategic Plan

The new CBD Strategic Plan, adopted at CoP-10 in 2010 in Nagoya, clearly addresses the need for updating NBSAPs, stating in Target 17 that “By 2015, each Party has developed, adopted as a policy instrument, and has commenced implementing an effective, participatory and updated national biodiversity strategy and action plan.” The strategic plan also covers a range of issues that will need to be incorporated into the revised NBSAPs, including guidance to countries to: a) fully realise the value of biodiversity and ecosystem services, and incorporate these values into national and local development and poverty reduction strategies (Targets 1 and 2); b) increase the global terrestrial protected area estate from 12% to 17% and the marine estate from 6% to 10% (Target 11); c) restore and safeguard key ecosystem services, especially for water, health and livelihoods (Target 14); and d) strengthen ecosystem resilience to climate change and promote ecosystem-based approaches to climate change adaptation and mitigation (Target 15).

The previous NBSAP was developed in 1999, though only submitted to the CBD in 2002.

Currently, Guatemala is taking the first steps towards updating the 1999-NBSAP, first and foremost by ensuring that the Strategy is aligned with the recently approved National Biological Diversity Policy. Following a participative process involving local and national key stakeholders for biodiversity management, the Policy, approved by Governmental Decree 220-2011 of July 15th.

The process included national and sub-national workshops carried out with key stakeholders to determine the pressing needs that should be addressed through the Strategy. In addition, these inputs were collected and contrasted with CBD’s Strategic Plan producing five strategic axes that are in line with CBD’s Aichi Targets as well as Guatemala’s priorities. They include: (1) Institutional strengthening and stakeholder coordination; (2) Awareness and valuation; (3) Sustainable productive landscapes and conservation planning; (4) Management of threat to biodiversity; and (5) Restoration of biological diversity and its ecosystem services.

The five mentioned axes represent the pillars of the new NBSAP being developed. Defining these strategic axes was considered urgent because the first NBSAP was very outdated and the National Biological Diversity Policy needed to be quickly backed up by the blue-print of a Strategy. Hence, the current draft is being treated as a “bridging” document, but it is far from constituting the new NBSAP.

Guatemala has also started the review and stocktaking of products and results from previous biodiversity planning processes in order to enrich the current NBSAP development process. The plan is to produce a new NBSAP by 2012/13. Still, much remains to be done in order to develop a NBSAP that is amply anchored into national development frameworks, and not just in a single policy. The process of fully developing the new NBSAP also will need to be participative and widely disseminated. The resulting Strategy and Action Plan will equally need to be fully implementable. Currently, the elements of implementation are not part of the “bridging” NBSAP. Another key step is the development of targets, in line with the Aichi Targets. This also implies defining indicators which will evidence improvements in the management of biodiversity at the national and sub-national levels and as a contribution to global efforts towards saving biodiversity.

Finally, Guatemala still needs to fully integrate into the NBSAP new aspects of the CBD strategic plan, such as: (i) mainstreaming; (ii) the valuing of ecosystem goods and services; and (iii) the incorporation of challenges and opportunities linked to ecosystem-based adaptation and resilience. While these aspects can be fit into the strategic axes defined for the new NBSAP, there is a need for generating relevant knowledge and analysis to underscore and explore these aspects and to fully integrate them in the strategy.

In sum, through the current proposal, Guatemala would like to take the opportunity to address two issues. First, the previous biodiversity planning processes were not fully participative processes and failed to involve several groups of local and national stakeholders for biodiversity management. Second, due to the nature of challenges to biodiversity management in Guatemala, the implementation aspect of the NBSAP will need to be not just realistic, but also transformational.

The National Biodiversity Policy has identified the valuation of ecosystem services and on ecosystem-based adaptation to climate change as two key issues for the conservation and sustainable use of biological diversity, which in turn will help Guatemala meet the CDB global targets. The development of stocktaking activities and national target setting will emphasize these topics in the establishment of targets in line with the global Aichi Targets as part of Guatemala’s updated NBSAP. These aspects are particularly important for Guatemala due to two interconnected reasons: (1) the rural poor depend to a large extent on biodiversity and ecosystem services for their livelihood; and (2) while these are the most vulnerable groups, including to climate change, there are win-win opportunities to explore solutions to climate change that are “natural” (or ecosystem-based), including adaptation solutions.

More specifically, Guatemala’s new NBSAP will require the development of the following elements of the CBD Strategic Plan’s Aichi Targets:

- A plan for integrating the value of biodiversity into national and local development and poverty reduction strategies and planning processes and are being incorporated into national accounting, as appropriate, and reporting systems (Target 2)
- A plan for creating incentives and removing harmful subsidies (Target 3)
- A plan for developing landscapes that have sustainable production and consumption and ensure the use of natural resources falls well within safe ecological limits. (Target 4)
- A plan for fully implementing the Programme of Work on Protected Areas, including increased protection and landscape/seascape connectivity (Target 11)
- A plan for restoring and safeguarding ecosystems that provide essential services, including services related to water, and contribute to health, livelihoods and well-being (Target 14)
- A plan for strengthening ecosystem resilience and the contribution of biodiversity to carbon stocks, including the restoration of at least 15 per cent of degraded ecosystems (Target 16)
- A plan for the mobilization of financial resources for effectively implementing the Strategic Plan for Biodiversity 2011-2020 from all sources (Target 20)

Proposed Response and Rationale: The new generation of BD EA. This project seeks to fully establish mechanisms to effectively implement the new generation NBSAP. This ‘new generation’ of NBSAP will help set a global and regional standard of excellence by creating a national road map for achieving the Aichi Targets involving key public, private and civil society stakeholders in Guatemala. Special emphasis will be placed on mainstreaming biodiversity into development plans, developing a national capacity development program from biodiversity management and creating

sustainable finance for biodiversity conservation.

The Project *Objective* is:

To integrate Guatemala's obligations under the Convention on Biological Diversity (CBD) into its national development and sectoral planning frameworks through a renewed and participative 'biodiversity planning' and strategizing process, in a manner that is in line with the global guidance contained in the CBD's Strategic Plan for 2011-2020.

This will be achieved through the following *Outcomes* (corresponding to components described in detail below):

- Outcome 1 – National targets that are in response to the global Aichi Targets are systematized and follow-up mechanisms are developed.
- Outcome 2 - The NBSAP is updated and it fully integrates new aspects of the CBD strategic plan, such as mainstreaming and anchoring the implementation of the plan into national development frameworks.
- Outcome 3 – National frameworks for resource mobilization, capacity assessment and development for NBSAP implementation for relevant stakeholders, as well as Convention reporting and exchange mechanisms are established and strengthened

Refer to Part I, Table A and to the next section for more details.

How the project plans to build national capacity

Enabling Activities are considered foundation activities within the framework of the GEF.

The ultimate goal of Biodiversity Enabling Activities is to build national capacity across the board for biodiversity management. The effective achievement of global biodiversity benefits depend on the development of national capacity for managing biodiversity. The more robust this capacity is in a given country, the more effective the national implementation of the CBD will be.

The approach to building of national capacity in this proposal follows the guidance from the *GEF Strategic Approach to Enhance Capacity Building* (2003)¹³ under the GEF's cross-agency Capacity Development Initiative. Three levels of capacity were identified: individual, organizational and systemic. Quoting from a recent GEF publication on the theme of capacity (GEF 2010)¹⁴:

“At the individual level, capacity development refers to the process of changing attitudes and behaviors, most frequently through imparting knowledge and developing skills through training. However it also involves learning by doing, participation, ownership, and processes associated with increasing performance through changes in management, motivation, morale, and improving accountability and responsibility.

Capacity development at the organizational level focuses on overall performance and functioning capabilities, such as developing mandates, tools, guidelines and management information systems to facilitate and catalyze organizational change. At the organizational level, capacity development aims to develop a set of constituent individuals and groups, as well as to strengthen links with its environment.

At the systemic level, capacity development is concerned with the “enabling environment”, i.e., the overall policy, economic, regulatory, and accountability frameworks within which organizations and individuals operate. Relationships and processes between organizations, both formal and informal, as well as their mandates, are important.”

¹³ GEF, 2003: “Strategic Approach to Enhance Capacity Building”. Global Environment Facility. See also: GEF Evaluation Office, 2006: “Evaluation of GEF Capacity Development Activities. Approach Paper”. GEF EO.

¹⁴ GEF Capacity Development Initiative, Global Support Programme for National Capacity Self-Assessment, 2010: “Monitoring Guidelines of Capacity Development in GEF Operations”.

In this light, this project will build national capacity in Guatemala in the following manner:

Individual	Much of the work under this project will be carried out through working groups. This is an ideal forum for imparting knowledge among different individuals involved in biodiversity planning and in environmental matters in Guatemala in general. For many of the civil servants and NGO staff in Guatemala, the opportunity for working within a project like this is a form of training. Furthermore, consultation, participation and ownership are guiding principles of biodiversity planning processes. These are part and parcel of this proposal.
Organizational	<p>UNDP's approach to Biodiversity Enabling activities in GEF5 goes beyond the mere production of national reports and strategies to the CBD and the development of a website for the CHM. Rather, it is concerned with developing a permanent framework for reporting to the CBD. This implies institutionalising the capacity for eventually achieving this with as little external assistance as possible. Given the ambitious targets of the CBD Strategic Plan (2011-2020), it is recognized that actions to engage external assistance and retain national are in the meanwhile needed. This will be availed through the project. In particular, the following activities are specially targeted at building organizational capacity:</p> <ul style="list-style-type: none"> ▪ Setting targets and priorities ▪ Developing implementation plans for the revised NBSAP ▪ Assessing and strengthening capacity needs ▪ Developing a permanent framework for reporting to the CBD
Systemic	<p>The approach that UNDP has developed for Biodiversity Enabling Activities in GEF5 is transformational with respect to systemic capacity elements (i.e. policy, economic, regulatory, and accountability frameworks within which organizations and individuals operate). The aim is to ensure that the objectives, targets and guidance from the CBD Strategic Plan (2011-2020) become fully anchored into national development frameworks. This will be achieved by the development of mainstreaming as a new aspect of the CBD strategic plan. The knowledge developed through these activities will become part of Guatemala new NBSAP and will have a greater chance of influencing and even becoming policy. In particular, the following activities are specially targeted at building systemic capacity:</p> <ul style="list-style-type: none"> ▪ Mainstreaming biodiversity into development policies, plans and practices and into sectoral plans and strategies ▪ Integrating the NBSAP implementation plan with the CBD Programme of Work on Protected Areas implementation plan ▪ Securing sustainable finance for NBSAP implementation ▪ Monitoring and reporting on the status of biodiversity

C. DESCRIBE THE ENABLING ACTIVITY AND INSTITUTIONAL FRAMEWORK FOR PROJECT IMPLEMENTATION
(discuss the work intended to be undertaken and the output expected from each activity as outlined in Table A).

Detailed Description of Activities per Project Component / Outcome

The description that follows has been organized in five modules (I -V), following the GEF's guidance, but which for the sake of simplicity were grouped within the three already mentioned Components / Outcomes. The following are modules:

Component	Outline of modules for NBSAP Revision and Related Activities	Indicative percentage of total GEF funding in the proposal excl. project management costs
1	<p>I. Preparation</p> <p>II. Setting national targets, principles, & main priorities of the strategy</p>	31%
2	III. Strategy and action plan development	36%

3	IV. Development of Implementation plans and related activities	33%
	V. Institutional, monitoring, reporting and exchange	

Component 1. Stocktaking and national target setting

Key Outputs expected under this component includes the following:

- 1.1 In response to the global Aichi Targets, national biodiversity targets are developed in a manner that is attuned to Guatemala's reality.
- 1.2 The achievement of national targets, developed in line with the global Aichi Targets, is duly monitored during the project duration and beyond, and this is reported upon to the CBD through the 5th national report, and through other means.
- 1.3 In an iterative manner, Guatemala taps into useful information on, and participates into, global networks and initiatives on biodiversity data and indicators (such as the Biodiversity Indicators Partnership , Global Biodiversity Information Facility and the World Conservation Monitoring Centre, the Global Environment Outlook portal, among other relevant ones).

Key Outcomes:

- By early 2012, a multi-sectoral/multi-stakeholder working group is established and it completes the stock-taking exercise.
- By October 2012, national targets in response to the global Aichi Targets are developed.

Key Products or publications resulting from activities:

- Brief Review of the Biodiversity Planning Process in Guatemala: routes of action to anchor NBSAP into national development frameworks in five institutions
- Biodiversity Targets for Guatemala: As part of national efforts to implement the CBD's Strategic Plan for 2011-2020

Key Activities (I-II):

I. Preparing for the NBSAP implementation

- Taking stock of the NBSAP and identifying barriers to its implementation: This activity, which has in part started, will focus on rapidly but accurately identifying the root causes of biodiversity loss, and taking stock of existing plans, policies and practices in key public institutions such as CONAP, MARN, MAGA, INAB, SEGEPLAN, and the decentralization system of municipalities and development councils through ANAM and SCEP. Within country-specific contexts, the aim is not only to identify key threats, but to understand the drivers behind these threats, as well as the key aspects of the policy environment that are barriers and challenges to effective conservation/sustainable use. Based on existing studies and analyses, including conceptual ecological models, the emphasis of this activity will be on prioritizing and identifying key gaps in the existing NBSAP, understanding the primary drivers and root causes, and identifying the means of overcoming existing barriers and challenges.
- Stakeholder consultation and participation: This activity will focus on ensuring a robust consultative process that engages representatives from key public and private sectors, administrative leaders, and traditionally under-represented groups involved directly or indirectly in biodiversity knowledge, conservation and sustainable management. The aim is to develop and sustain a participatory process in order to increase the likelihood of successful implementation of the NBSAP. This activity is especially important relative to the goals of mainstreaming biodiversity into national development plans. It is equally important in terms of incorporating the valuation of environmental goods and services nationwide into institutional plans, including those services provided by the Guatemalan System of Protected Areas. Stakeholder consultation and participation is also important for the goals of promoting resilient landscapes that include production sectors as part of the new NBSAP development process. Social mediation services specialised in stakeholder engagement at the local level

will play a role in ensuring wide participation in meetings and consultations. The costs of such consultations will be kept to a minimum, representing no more than 5% of the total GEF cost. The distribution of printed material will also be important for the wide engagement of national stakeholders; especially taking into account the fact that in Guatemala there are 24 different languages which proves to be a challenge when guaranteeing full participation of all key stakeholders at a national, sub-national and local level, not only in the development of targets but especially for NBSAP implementation. Mediated versions of NBSAP are included as part of the project to guarantee that language is not a barrier for the sustainable use and conservation of the national cultural and natural heritage our biological diversity provides, making all activities outlined in the action plan are understandable to the different cultures our country encompasses.

II. *Setting targets*

- Feedback mechanisms for target monitoring: This activity focuses on monitoring specific, measurable, achievable and time-bound targets for the NBSAPs based on the global Aichi Targets, emphasizing targets on assessing and capturing the value of ecosystem goods and services, restoration of ecosystems, protected area coverage, overall biodiversity loss, and other aspects of the Strategic Plan. Previous stakeholder consultation and participation will be key in developing and incorporating mechanisms for target monitoring in each sector linked to biodiversity. This activity, which is linked to priority setting among different aspects within the NBSAP, will be completed before CoP-11.

Component 2. NBSAP Update

Key Outputs expected under this component includes the following:

- 2.1 A National Biodiversity Strategy and Action Plan (NBSAP) for Guatemala, anchored into national development frameworks (SEGEPLAN, Ministry Council and Institutional Strategic Plans), is updated in a manner that is participative, widely disseminated and fully integrates new aspects of the CBD strategic plan, including (i) mainstreaming of biodiversity concerns into the activities of in CONAP, MARN, INAB, MAGA, SCEP, SEGEPLAN, FUNDESA, CACIF¹⁵ and organized civil society organizations, such as Cooperatives.
- 2.2 The updated and fully endorsed NBSAP for Guatemala is submitted to the CBD preferably within the deadline set by the COP.¹⁶

Key Outcome:

- By early 2014, Guatemala's NBSAP is fully updated, it is in line with the guidance in the CBD Strategic Plan (2011-2020) and has been submitted to the CBD COP

Key Products or Publications resulting from activities

- Second National Biodiversity Strategy and Action Plan for Guatemala

Key Activity (III)

III. *Implementing the NBSAP*

This step will seek to achieve the following: (i) Identify strategies to implement NBSAP at sub-national and local levels, including the National Development Council System; and (ii) Sectorial integration including mainstreaming into development, poverty reduction and climate change plans through sectorial consultations and jointly identify implementation mechanisms.

- Assessing and integrating ecosystem services through economic valuation: Despite the fact that the recently

¹⁵ CONAP: National Council for Protected Areas; MARN: Ministry of Environment Natural Resources, INAB: National Forestry Institute, MAGA: Ministry of Agriculture, Livestock and Food, SCEP: Presidential Secretariat, SEGEPLAN: Planning Secretariat FUNDESA: Foundation for the Development of Guatemala (NGO); CACIF: Coordination of Agricultural, Livestock and Industry Associations.

¹⁶ The actual submission of the NBSAP to the CBD Secretariat is the responsibility of the government of the Republic of Guatemala, not UNDP.

approved National Biodiversity Policy places biological diversity as the main component that guarantees human sustainable development, Guatemala has yet to link the value of biodiversity and ecosystem services to its own national development goals, especially regarding poverty eradication and sustainable livelihoods. Based on the results developed through stocktaking activities, Guatemala will demonstrate the benefits and values of ecosystems and biodiversity at a national level. The aim is to strengthen the point that biodiversity not only underpins human well-being, but that biodiversity and associated ecosystem services can make a significant contribution to poverty reduction, as well as human and economic development. By engaging national technical expertise, hard economic data will be collected and processed at the country level to demonstrate the costs and benefits of investing in biodiversity management. This sub-activity will allow Guatemala to “make the case” for biodiversity and will facilitate the process of mainstreaming biodiversity into sectoral planning through concrete biodiversity valuation examples.

✓ Specific steps in this process include:

- a. Identify and assess the full range of values of key ecosystem services within the country, based on existing local, national, regional and global studies on the value of ecosystems and biodiversity, including: the ‘biodiversity powerhouse’ study, the valuation of protected areas, any other national ecosystem services studies that have been conducted (e.g., water, carbon), and existing global and regional maps and overlays of key ecosystem services;
- b. Identify the implications of these services for different stakeholder groups within the country, including those who benefit from, and pay for, the maintenance of these ecosystem services, and those that degrade ecosystems through unsustainable use.
- c. Estimate and demonstrate the value of key ecosystem services (using methods appropriate to each service), including the value of the ecosystem service in contributing to climate resilience, adaptation and mitigation; reducing poverty, and sustaining livelihoods.
- d. Where appropriate, this activity will also identify potential means of capturing the value of targeted ecosystem services including through policies such as payments for ecosystem services and other positive incentives.

- Mainstreaming biodiversity into development policies, plans and practices and into sectoral plans and strategies: Mainstreaming has been defined as the internalization of biodiversity conservation goals into economic and development sectors, policies and programs, such that they become an integral part of their functioning of these sectors.¹⁷

- ✓ As part of this process, Guatemala will focus on key sectors involving biodiversity management at a national level, including those sectors prioritized through the stocktaking activities, through the development of prioritization criteria. These key sectors will include national planning and coordinating institutions (such as SEGEPLAN and SCEP), organizations involved in biodiversity management (CONAP, MARN, INAB, MAGA), state and non-state organized sectors (FUNDESA, CACIF and Cooperatives), among others. These actors are directly involved in:

- Agriculture,
- Forestry,
- Livestock,
- Fishery,
- Development Planning & Finance
- Water
- Economic development

- ✓ The Project will also focus on the following development areas / topics:

- Land-use management, including spatial and infrastructural development planning
- Rural development and livelihoods
- Local development and decentralization
- Rights of indigenous groups
- Development finance
- Poverty alleviation
- Food security
- Climate change mainstreaming

¹⁷ Petersen, C and B. Huntley. 2005. Mainstreaming Biodiversity in Productive Landscapes. Working Paper 20. Washington DC: GEF.

- ✓ Specific steps in this process will include:
 - a. Forming partnerships between relevant stakeholders interested in biodiversity conservation issues and in development issues, this process will have begun through stocktaking activity development
 - b. Produce a validated draft of the NBSAP and submit it to the press for the publication of 2000 copies to be widely disseminated thanks to the key partnership with relevant stakeholders identified and prioritized.
 - c. Explicitly identify key stakeholder's interests and desired outcomes (for at least CONAP, MARN, MAGA, INAB, SEGEPLAN, SCEP and FUNDESA). This will allow elaboration of a NBSAP dissemination plan tailoring routes of action for each key stakeholder.
 - d. Identifying potential conflicts and trade-offs, and work towards mutually acceptable solutions, including strategies that serve mutually beneficial interests and achieve mutually beneficial outcomes.
 - e. Embedding and institutionalizing these strategies in the institutions, policies, agreements, programs and mechanisms of each sector, through the agreement on courses of action plans to mainstream NBSAP in key identified institutions.

Component 3. National frameworks for NBSAP implementation, CDB reporting and exchange mechanisms

Key outputs expected under this component includes the following:

- 3.1 National frameworks for NBSAP implementation is in place and includes: (i) institutional leadership for implementation is established and strategic partnerships forged (nationally and internationally); (ii) a costed and prioritized Action Plan is appended to the NBS; (iii) needs assessments on capacity, technology and finance are carried out; and (iv) a strategy for resource mobilization for the implementation of the NBSAP is produced and includes a baseline assessment of existing biodiversity finance.
- 3.3 Immediate CBD reporting obligations are met by Guatemala in a timely manner: (1) By 2012 Guatemala has developed national targets to achieve the CBD Strategic Plan; and (2) The Fifth National Report to the CBD by December 2013.

Key Outcomes:

- By 2014, complete plan for implementing the NBSAP, including capacity, technology and finance needs assessment

Key Products or publications (maybe combined into one):

- Set of 'straight-forward' and feasible NBSAP implementation plans, which ensure the effective implementation of the Action Plan contained in the NBSAP

Key Activities (IV – V)

IV. Developing implementation plans

This activity will focus on developing an overall plan for implementing the NBSAP. This implementation plan will include the following components:

- a) Developing an overall implementation plan: The primary output of this activity is an overall implementation plan that delineates major steps, responsible parties, costs for main activities, expected outcomes and a timeline. As with other activities under this project, this one will be highly participative to ensure the wide societal support to the implementation of the new NBSAP.
- b) Integrating the NBSAP implementation plan with the CBD Programme of Work on Protected Areas implementation plan: Guatemala has made great strides in implementing the Programme of Work on Protected Areas. Many protected areas have concrete management plans, and the country has developed regulation enforcement measures to maintain ecosystem services. However, there are many areas that lag behind, including

sustainable finance, transboundary areas and connectivity, effective management of existing areas, and the establishment of sufficient coverage and representativeness of protected areas. The updated NBSAP will include a specific plan for implementing the PoWPA, with specific milestones and targets, along with an assessment of how this implementation will help achieve the main objectives included in this proposal.

- c) Securing sustainable finance for NBSAP implementation: Article 20 of the Convention mentions the need for Parties “to provide, in accordance with its capabilities, financial support and incentives in respect of those national activities which are intended to achieve the objectives of this Convention.” In the past few years, there has been a wide proliferation of innovative biodiversity finance mechanisms, such as payments for ecosystem services, conservation trust funds, biodiversity offsets and bio-carbon funding, among many others. Guatemala is still in the early stages of exploring these mechanisms. Based on the identification of existing financial gaps for NBSAP implementation, this activity will therefore focus on the following:
- Develop mechanisms to guarantee governmental budget assigned to biological diversity activities, linking tax collection based on biodiversity valuation.
 - Promote the development and use of economic indicators linked to biological diversity management and its use to assign institutional budgets at a national level.
 - Develop a Resource Mobilization Plan for NBSAP implementation, based not only on Official Development Assistance mechanisms (ODA), but also on other innovative sources of conservation finance / biodiversity finance, which remain sub-explored in Guatemala.
 - Assessing the feasibility for these revenue sources.
- d) Assessing and strengthening capacity needs: One of the primary areas of enabling activities is the assessment of capacity needs. The decisions at CoP-10 place new and ambitious demands on countries, including requirements to protect and sustainably manage their lands and water, to develop comprehensive plans that integrate climate change into their land use, development and sectoral plans and strategies, and to develop appropriate biodiversity and climate policies, laws and incentives. This activity will ensure that we develop a road map for strengthening these specific capacities through the design and implementation of a Capacity Development Program based in updating, training and professional accreditation of personnel involved in biological diversity management; as well as building alliances with key national stakeholders to implement the plan (based on stocktaking stakeholders and developed activities). The first step to develop is a capacity needs assessment that will identify main gaps along with capacity-building strategies to fill those gaps. A National Capacity Development specialist for NBSAP implementation will be engaged to lead this activity.

V. Institutionalizing, monitoring and reporting

- Monitoring and reporting on the status of biodiversity under climate change scenarios: Monitoring and reporting on the status of biodiversity is a key aspect of several Programs of Work within the CBD. To date, efforts to monitor and report on the status of biodiversity have been sporadic and have typically not taken into full account the status and trends of biodiversity, the status of effective conservation, the contribution of ecosystem services (such as water and carbon), and the likely impacts of climate change on biodiversity and ecosystem services. Through this project, we will ensure that future monitoring and reporting on the status of biodiversity and ecosystem services is comprehensive, and fully incorporates climate change issues. Indicators developed for the NBSAP will be evaluated to guarantee they respond to human wellbeing, climate change, poverty alleviation, food security and vulnerability reduction issues.
- Developing clearinghouse mechanisms (CHM): Of the 90 countries that accessed funding under the Fourth National Report joint global project (UNDP-UNEP/GEF), only 44 had national CHM sites, and of those, 25 were kept up-to-date (data from 2010). At the same time that CHMs are largely out of date, reliance on digital information has increased exponentially. Guatemala is no exception, despite the fact that efforts have been made to incorporate up-to-date information to the site, it is yet to be used as an effective clearinghouse mechanism for supporting decisions regarding biological diversity management. Guatemala has obtained important achievements in terms of keeping its CHM alive, up-to-date and interesting. A token on this is sheer number of people that visit the site daily. The key challenges relate to expanding webhosting services, using more modern software to use and publish certain services and applications within the site linking up to other services and databases. This aspect of the project will help Guatemala overcome those challenges so as to more effectively

share information nationally, regionally and globally. The project will also work in collaboration with the CHM of the Secretariat of the CBD, to ensure that lessons and information are disseminated globally. Proposed activities will include:

- Identifying programmatic areas that are priority for the country, based on the recently approved National Biological Diversity Policy, allowing the redistribution and reorganization of the CHM website.
 - Developing a network of associates and biodiversity related institutions, organizations and national actors, creating linkages that facilitate scientific and technical cooperation. This activity aims to establish the National Biological Diversity Observatory with wide participation from national public and private sectors, including national, international and State funds that will allow the development of an interconnected system of information technologies.
 - Building and inventory of biological diversity projects and initiatives fed by key governmental and non-governmental organizations and universities.
 - Assessing sustainability and funding potential of the CHM national site.
- Developing a permanent framework for reporting to the CBD: Parties to the CBD committed to submitting a fifth national report by 2014. In this project, Guatemala will submit a 5th National Report that fully covers the NBSAPs, key changes in the status and trends in biodiversity status, threats and conservation, and will develop a long-term reporting framework that will enable Guatemala to better track changes over time. An expert working group of 4-6 people will be engaged in completing this activity, preferably before the deadline, given the short duration of the project. The report will build on the studies and the NBSAP produced with assistance from the project. Activities will include:
 - Agreement on the V National Report structure based on CBD guidelines
 - Identification of key components of biodiversity whose status must be updated, establishing trends
 - Identification of main threats to biodiversity (ecosystems, populations and genes)
 - Establishment of information to be included as part of strategies and action plans of the Report
 - Identify indicators to measure progress to meet the Aichi targets, in line with current NBSAP
 - Selection of key stakeholders, consultants and specific tasks to be developed to compile information to be submitted in the Report. 500 copies will be published of the V National Report, submitting it to the CBD in a timely manner.

Project consistency with national strategies and plans or reports and assessments relevant for the CBD, as well as other cross-cutting assessments and priority setting exercises

Guatemala ratified the UN Convention of Biological Diversity in 1992 and it is making important efforts to fulfil its obligations under it, as well as to implement the Convention at the national level, including several of its Programmes of Work. Yet, there are gaps linked to national capacity and for which Guatemala needs external assistance to address.

Part II, Section A of this proposal contains a matrix listing different reports and assessments relevant for the CBD, as well as other cross-cutting assessments and priority setting exercises. This proposal fits well with the progress presented in the mentioned matrix, including the several gaps that need to be fulfilled in connection with this progress so far.

Else, this proposal is consistent with the following national plans and strategies:

- National Social Development and Population Policy 2002
- National Decentralization Plan 2002
- National Biodiversity Strategy and Action Plan (NBSAP, 1999), although now outdated
- National Tourism Development Policy 2004-2014
- Integral Rural Development Policy 2009.
- National Policy for Integral Development and Promotion of Women 2008-2023
- National Human Rights Policy 2006-2015
- Gender Equity within the Environmental Sector Action Plan 2003-2008
- Food and Nutritional Security Policy 2005-2015
- Agricultural Policy 2008-2012
- Central American Agricultural Policy 2008-2017
- National Environmental Education Policy 2009
- National Climate Change Policy 2009

- Clean Production Policy 2010
- Guatemalan Plan for Equal Opportunities 2008-2023
- National Policy Framework for Environmental Management 2008-2015
- Forestry Policy of Guatemala
- Conservation, Protection, and Improvement of Environment and Natural Resources 2007
- National Wetlands Policy 2005

Collaboration and synergies with related initiatives

Guatemala is gradually building a relevant GEF portfolio of Biodiversity and related projects. The Enabling Activities Technical Coordinator, the host institution and the UNDP Country Office will ensure that this project can benefit from technical synergies with other related initiatives. These synergies will be created primarily with the following projects:

Central American Markets for Biodiversity (CAMBio) which supports the mainstreaming of biodiversity conservation and sustainable use within small, micro and medium sized enterprise (SMME) development and financing in Guatemala. The project works with the region's financial sector network, namely the Central American Bank for Economic Integration (CABEI) and members of its extensive network of financial intermediaries (FIs), to develop and extend new financial products that can generate substantial increased lending to Biodiversity friendly small businesses. It also works with Biodiversity friendly producers to investments are made efficiently and in a manner that maximizes economic, social and environmental benefits.

Guatemala's MPAs. UNDP is currently implementing the Preparation Grant (PPG) of a new GEF project on Conservation and sustainable use of biodiversity in coastal and marine protected areas (MPAs) in Guatemala. The project will promote the conservation and long-term sustainable use of marine and coastal biodiversity of global importance through effectively and equitably managed marine-coastal protected areas (MPAs), which will contribute to improving the economic welfare of the Guatemalan population. For this, the project activities will address threats from key sectors (energy, fisheries, maritime ports/transportation, and urban development) in order to strengthen MPA management and the conservation and sustainable use of marine-and coastal BD in the Pacific region of Guatemala; strengthen the institutional and individual capacities for effective management of MPAs and the conservation and sustainable use of marine-coastal BD; and strengthen the MPA legal, policy, and financial frameworks for the protection of marine-coastal biodiversity (BD) and its sustainable use. Much of the baseline data that will be generated during the PPG will be useful to strengthen the coastal and marine biodiversity element of the new NBSAP, the CHM and the 5NR.

UNDP/GEF project Sustainable Forest Management and Multiple Global Environmental Benefits which under development. Currently in the PPG stage, the project will strengthen land/forest management processes and biodiversity conservation in order to secure the flow of multiple ecosystems services while ensuring ecosystem resilience to climate change. This will be achieved through the execution of pilot projects for SFM/REDD+ and SLM reduce land degradation, improve C stocks, and enhance BD conservation in South-eastern and Western Guatemala, and by integrating principles of sustainable forest management (SFM) and sustainable land management (SLM) into regulatory and institutional frameworks. This will help provide the case of carbon ecosystem services with respect to forests, which will be focused under one of the key NBSAP studies (Component 2 of this project).

Institutional arrangements

The project will be implemented over a period of two years. The National Council for Protected Areas, CONAP, is the government institution responsible for the implementation of the project and will act as the *Implementing Partner*. UNDP is the *GEF Implementing Agency* for the project and accountable to the GEF for the use of funds. The project is nationally implemented (NIM), in line with the in line with the Standard Basic Assistance Agreement (SBAA, signed 1998 and agreed 2000) between the UNDP and the Government of Guatemala and the Country Programme Action Plan (CPAP) for 2010-2014.

The overall responsibility for the project implementation by CONAP implies the timely and verifiable attainment of

project objectives and outcomes. CONAP will provide support to, and inputs for, the implementation of all project activities.

CONAP will nominate a high level official who will serve as the National Project Director (NPD) for the project implementation. The NPD will chair the Project Steering Committee (PSC) and be responsible for providing government oversight and guidance to the project implementation. The NPD will not be paid from the project funds, but will represent a Government in kind contribution to the Project. This arrangement will ensure the effective involvement of national focal points for the CHM and Cartagena Protocol, as well as RAMSAR, CITES, the PoWPA, UNFCCC, UNCCD among others.

The NPD will be technically supported by the Enabling Activities Technical Manager (functioning as the 'Project Manager' for approximately one third of his/her time) and by the project's technical team (refer to Annex A for more detail), as well as the Biodiversity Technical Office, OTECBIO.

The project will also count on UNDP's technical backstopping provided by the UNDP/GEF Regional Technical Advisor responsible for the project and by the Environment Focal Point at the UNDP Country Office in Guatemala City (CO).

All consultants hired by the project will be recruited using standard UNDP-CO recruitment procedures and will report directly to the National Enabling Activity Technical Manager in close consultation with the NPD.

Working closely with the CONAP the UNDP CO will be responsible for: (i) providing financial and audit services to the project; (ii) recruitment of project staff and contracting of consultants and service providers (if so requested by CONAP); (iii) overseeing financial expenditures against project budgets approved by PSC; (iv) appointment of independent financial auditors; and (iv) ensuring that all activities including procurement and financial services are carried out in strict compliance with UNDP/GEF procedures. A UNDP staff member will be assigned with the responsibility for the day-to-day management and control over project finance.

The *National Project Steering Committee* (PSC) will be convened by CONAP and will serve as the project's coordination and decision-making body (Project Board). The PSC will include representation of all the key project stakeholders. The PSC meetings will be chaired by the NPD. It will meet according the necessity, but not less than once in 6 months, to review project progress, approve project work plans and approve major project deliverables. The PSC is responsible for ensuring that the project remains on course to deliver products of the required quality to meet the outcomes defined in the project document.

The day-to-day administration and coordination of the project activities will be carried out by the Enabling Activities Technical Manager (tasked with both with managerial and technical functions) with support from a National Enabling Activity Assistant. Both will be located in offices availed by CONAP. The project's finance that will be managed in close collaboration with the UNDP-CO.

The Enabling Activities Technical Coordinator will liaise and work closely with all partner institutions and the UNDP/GEF Regional Technical Advisor to ensure synergies with related national programs and initiatives.

Comparative advantage of UNDP in Guatemala with respect to this project:

UNDP has historically been the largest GEF implementing agency in terms of assisting countries in undertaking biodiversity enabling activities, having assisted more than 100 countries with it through several projects. The GEF2 global project 'Biodiversity Support Programme' was jointly implemented with UNEP and has set the stage at the global level in the field of biodiversity planning among GEF eligible countries.

UNDP assisted Guatemala in the preparation of its existing NBSAP as well as with previous Reports to the CBD.

The Government of Guatemala has requested UNDP assistance in designing and implementing this project due to UNDP's track record in assisting governments with the management of biodiversity. UNDP currently supports the

development and implementation of four GEF projects in Guatemala (plus two regional initiatives) in different focal areas. UNDP has an established Representation in Guatemala city with well-developed working relationships with the key stakeholders for this project.

UNDP also has extensive experience in integrated policy development, human resources development, institutional strengthening, and non-governmental and community participation.

Project's alignment with UNDP's programme for Guatemala

The current UNDP Country Programme Document and its accompanying Action Plan (CPAP) for Guatemala covers the period 2010-2014. The United National Development Assistance Framework (UNDAF) also covers 2010-2014. Environment and the fight against poverty will be important themes within these programming documents.

In particular, the CPAP aims to ensure that, by 2014, the Guatemalan population, in particular rural communities and those most vulnerable groups to climate change, will have improved environmental management services and enjoy of greater access to clean energy. The UNDAF also aims to improve environmental management skills to revert degradation processes; strengthen biodiversity and sustainable use of natural resources by SIGAP and improve business opportunities compatible with sustainable development.

UNDP is the lead agency for this strategic area, promoting, environmental protection and management and contributing to the sustainable management of natural resources (water, soil, forests) and to an increase in forest area and land management, throughout the country.

As for the current CPAP, a key outcome defined in it is the support the government to lift certain barriers to the sustainable management of natural resources and the improvement of rural and urban people's livelihoods. More specifically, this project will contribute to establishing and operationalising the institutional and legal framework necessary for biodiversity conservation and the sustainable use of natural resources as a contribution to the CPAP.

Stakeholder involvement in the implementation of the project

The stakeholder involvement element is embedded in the description of several activities within this proposal which will have a consultative and participatory character, under CONAP's leadership. A full stakeholder involvement plan will be developed in connection with the preparation of the UNDP Project Document that will operationalize this proposal at the level of UNDP, allowing Guatemala to access the funding. This plan will depart from the following indicative and non-exhaustive list:

- Ministry Environment and Natural Resources MARN
- Ministry of Education of Guatemala ion MINEDUC
- Ministry of Foreign Relations MINEX
- Ministry of Public Finance MINFIN
- Monitoring Roundtable of the Mayan Biosphere Biological Reserve MMB-RBM
- Ministry of Public Health and Social Assistance MSPAS
- Reserve Areas State Control Office OCRET
- Technical Office for Biodiversity OTECBIO
- National Programme of Incentives for Small Forestry and Agro forestry Land Tenants PINPEP
- National Action Programme to Combat Desertification and Drought in Guatemala PROANDYS
- National Network of Action and Environmental Research
- Environmental Affairs Secretariat SAA
- Presidential Planning and Programming Office SEGEPLAN
- National Science and technology Secretariat SENACYT
- Food Security and Nutrition Secretariat SESAN
- Guatemalan Protected Area System SIGAP
- National Strategic Planning Secretariat SINPET

- Rural University UR
- Rafael Landívar University URL
- San Carlos University Guatemala USAC
- Guatemalan Office of Joint Implementation OGIC

More specifically, the participation of NGO and CSO stakeholders in the implementation of this project will be ensured in every stage of it. The government of Guatemala welcomes the efforts engendered by NGOs and CSOs active in the environment arena, noting that there is scope for strengthening those efforts. These organisations, either national or international, play an important advocacy and ‘watchdog’ role with respect to biodiversity. Many of them count on extensive networks of stakeholders and have produced research data that can help enrich the products that this project will be concerned with. These advantages will be explored in full during project implementation.

The participation of indigenous and traditional groups in project will be ensured by aligning project activities with the Guatemalan Plan for Equal Opportunities 2008-2023, that aims to ensure full collective and individual rights of Mayan, Garifuna and Xinka men and women, acknowledging their role in the integral development of the country. This Plan provides the adequate framework through which to conduct the national biodiversity planning process to update the NBSAP inclusive of traditional knowledge and priorities of indigenous communities in Guatemala. Many of these groups live traditional lifestyles deeply linked to the use biodiversity as an intrinsic part of it. The Enabling Activity Technical Manager will ensure that the voice of indigenous and traditional groups will be duly heard and taken into consideration in the preparation of the new NBSAP. Specific COP guidance on the matter, linked to implementation of the Convention’s Article 8(j), will be followed.¹⁸

Gender marking

The Constitution of Guatemala upholds equality between men and women as a fundamental right, but many forms of discrimination remain evident and prevalent with persistent bias in the social hierarchy favouring males. Under the Gender Equity within the Environmental Sector Action Plan 2003-2008, the Ministry of Environment and Natural Resources aims to mainstream gender concerns into environmental planning.

Rural women in Guatemala contribute to the household by taking on productive (weeding the fields, planting garden plots) and reproductive chores (cooking and cleaning, and looking after the children). Some of these activities have an impact in the management of biodiversity, although the specific links between biodiversity and gender in Guatemala, either positive or negative, remain to be more closely established. The existing NBSAP from 2002 had treated gender mainstreaming issues in a superficial manner, leaving room for improvement in the new NBSAP.

The project coordination will ensure that gender considerations become part and parcel of the updated NBSAP. COP guidance will be followed.¹⁹ More specifically two are worth mentioning: (i) COP Decision 1X/24 on the approval and endorsement of the CBD Gender plan of Action; and (ii) COP Decision X/19, which amongst other matters invited Parties to consider gender as a core cross-cutting issue in the implementation of biodiversity-related activities.

During the project inception the mandatory UNDP gender marker will be applied. This requires that each project in UNDP's ATLAS system be rated for gender relevance. This will for example include a brief analysis of how the project plans to achieve its environmental objective by addressing the differences in the roles and needs of women and men.

Furthermore, gender marking implies the production of the following data by the project's year 2 and by its end:

- Total number of full-time project staff that are women
- Total number of full-time project staff that are men
- Total number of Project Board members that are women
- Total number of project Board members that are men
- The number jobs created by the project that are held by women
- The number jobs created by the project that are held by men

¹⁸ See e.g. www.cbd.int/traditional.

¹⁹ See e.g. www.cbd.int/doc/nbsap/nbsapcbw-pac-02/nbsap-nadi-scbd-gender.pdf and www.cbd.int/doc/publications/cbd-ts-49-en.pdf.

D. DESCRIBE, IF POSSIBLE, THE EXPECTED COST-EFFECTIVENESS OF THE PROJECT:

The proposed GEF project will ensure that a national strategy and action plan guide all stakeholders and partners in the conservation of these precious resources. This is one way of making optimal use of biodiversity planning resources.

The project combines GEF EA and STAR funding with UNDP co-financing and a government investment in order to achieve the project objective without duplication to ensure the application of resources in the most critical areas. The government contribution to the project include the staff time of a Project Director and of technical, managerial and support staff from CONAP, CONCYT and CECON. They will provide support to a number of project activities, organization of and participation in Project Board meetings, plus other work related to reporting, workplan approvals, signing off on CDR reports, RDPs, reviewing APRs/PIRs. In addition, information and data will be collected and provided by CONAP, and by the other mentioned state agencies regularly over the 2 years of project duration.

The cost-effectiveness of the proposed activities will be further ensured by combining government internal, national and international expertise in implementing the project.

The government of Guatemala wishes the work on the new NBSAP to be transformational from a biodiversity planning point of view, in particular with respect to the mainstreaming. This requires extensive consultation of stakeholders in particular indigenous communities in remote parts of the country. Yet, the GEF's funding of consultation costs will be kept to a minimum, as government can finance much of it from existing resources. The same applies to the national contribution to EA working groups.

Hence, the GEF's financing will complement government budgets to reach key stakeholders to the extent that it finances the costs of going beyond what government would be able to do without foreign assistance. The GEF funding to the project will focus on overcoming this specific barrier.

UNDP is well positioned to assist Guatemala source the necessary expertise for this EA project in a cost-effective manner.

Other options have been considered, e.g. sub-contracting an NGO to assist in NBSAP update as an entire 'package' of services to be rendered. High costs in fees from service providers would make such option less cost effective, coupled with the risk of biasing a document such as the NBSAP, which is supposed to reflect broad societal views on the national strategy for biodiversity.

The project adopts the least-cost means of achieving the project's objectives and follows the activity norms and cost benchmarks defined by GEF guidelines. It will be built upon the strong foundation of the previous developed NBSAP, Capacity Assessments and National Reports.

E. DESCRIBE THE BUDGETED M&E PLAN:

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Time frame
Inception Workshop	Project Coordinator UNDP CO / UNDP GEF	\$5,000	Within first two months of project start up
Inception Report	Project Team UNDP CO	None	Immediately following IW
Measurement of Means of Verification for Project Purpose Indicators, Project Progress and Performance (measured on an annual basis)	Oversight by Project Manager Project team	To be finalized during the inception phase and determined as part of the Annual Work Plan's preparation.	Annually prior to ARR/PIR and to the definition of annual work plans

Simplified Biodiversity Enabling Activities Annual Project Review / Project Implementation Report (APR/PIR)	Project Team UNDP-CO UNDP-GEF	None	Annually
Quarterly progress reports	Project team	None	Quarterly
CDRs	Project Manager	None	Quarterly
Issues Log	Project Manager UNDP CO Programme Staff	None	Quarterly
Risks Log	Project Manager UNDP CO Programme Staff	None	Quarterly
Lessons Learned Log	Project Manager UNDP CO Programme Staff	None	Quarterly
Terminal Report	Project team UNDP-CO /local consultant	Printing costs only if any	At least one month before the end of the project
Lessons learned	Project team UNDP-GEF Regional Coordinating Unit (suggested formats for documenting best practices, etc.)	To be determined as part of the Annual Work Plan's preparation.	Yearly
Audit	UNDP-CO Project team	\$2,000 in total To be included in the CO audit plan.	Yearly
TOTAL indicative COST <i>Excluding project team staff time and UNDP staff and travel expenses</i>		~ US\$ 7,000	

F. EXPLAIN THE DEVIATIONS FROM TYPICAL COST RANGES (WHERE APPLICABLE):

Guatemala has the largest and most diverse population in Central America, with 24 different languages in 108,889 square kilometres. This proves to be a challenge when ensuring a sufficient level of participation of all key stakeholders at a national, sub-national and local level, not only in the development of targets but especially for NBSAP implementation. Language must not be a barrier for effective sustainable use and conservation of the national cultural and natural heritage our biological diversity provides. For this reason, this proposal considers mediated versions of NBSAP so that the strategies and activities outlined in the action plan are understandable to the different cultures our country encompasses, which in turn will help achieve the set national targets for biological diversity conservation and sustainable use. This, along with its status as a member of the Group of Like-Minded Megadiverse Countries (LMMC), creates the basis for more extended biodiversity planning needs in terms of focusing on Guatemala's considerable cultural and ecological differences across its territory. Fulfilling these needs is vital to ensure the transformational role that is expected from the development and implementation of Guatemala's new NBSAP.

The biodiversity planning process should involve national targets based on the local environmental, social and economic reality, which is in turn key for a successful implementation process and the further sustainability of Guatemala's biological diversity as part of the Group of Like-Minded Megadiverse Countries. In consequence, a pre-requisite to determining national targets for the updated NBSAP is to first establish sub-national targets and priorities that capture the diverse natural characteristics and socio-economic differences across the country's main regional and constituent departments. Furthermore, in order to emphasise innovative biodiversity planning elements.

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

A. RECORD OF ENDORSEMENT OF GEF OPERATIONAL FOCAL POINT(S) ON BEHALF OF THE GOVERNMENT(S):
(Please attach the [country endorsement letter\(s\)](#) with this template).

NAME	POSITION	MINISTRY	DATE (<i>Month, day, year</i>)
Ms. Roxana Sobenes	GEF Operational Focal Point	Ministry of Environment and Natural Resources	February 26, 2013


B. CONVENTION PARTICIPATION*

CONVENTION	DATE OF RATIFICATION (mm/dd/yy)	NATIONAL FOCAL POINT
CBD	07/10/95	Mr. Erick Fernando Cabrera Castellanos, Executive Secretary, CONAP

*To be filled for NCSA proposals only

B. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF policies and procedures and meets the standards of the GEF Project Review Criteria for Biodiversity Enabling Activity approval.

Agency Coordinator, Agency name	Signature	Date (<i>Month, day, year</i>)	Project Contact Person	Telephone	E-mail Address
Adriana Dinu, Officer-in-Charge and Deputy Executive Coordinator, UNDP-GEF		March 7, 2013	Santiago Carrizosa Ph.D., Regional Technical Adviser Environment and Energy Group, EBD	+507 302 4510	santiago.carrizosa@undp.org

ANNEX A. CONSULTANTS TO BE HIRED FOR THE ENABLING ACTIVITY

<i>Position Titles</i>	<i>\$ / Person Week</i>	<i>Estimated Person Weeks</i>	<i>Tasks to be Performed</i>
For EA Management			
<i>Local</i>			
National Enabling Activity Technical Manager (managerial inputs corresponding to 10% of the person's time, shown with 4 digits to avoid round-off errors)	40.0625	96	<p><i>Objective (managerial):</i> To undertake the general administrative requirements of the project, including those related to the management of the project and its funding.</p> <p><i>Key tasks are:</i></p> <ul style="list-style-type: none"> - Ensure that project Objective, Outcomes, Outputs and Activities are executed in a timely and appropriate manner. - Develop annual work plans and budgets, and submit these to the Steering Committee and to the UNDP Country Office for approval. - Develop TORs for Consultants for technical services, consultants, experts, and specifications of materials as required by the project, in consultation with the Project Director/UNDP. - Facilitate, guide and monitor the work of consultants, and approve their deliverables in association with the Project Committee. - Organize and assist in project related activities, where required. These may include planning for meetings, local and national workshops, consultations, trips, and other project related activities. - Establish and maintain linkages with national and international organizations and persons which/who can be of assistance to the objectives of the Project. - Provide timely reporting of project status as required by the Project Committee and the UNDP. - Maintain records of Project Committee meetings, decisions, actions etc. - Coordinate with other initiatives and programs whose outcomes and outputs are relevant to this project's objectives. - Any other duties assigned by the Project Committee that have direct relevance to the project.
National Enabling Activity Assistant- administrative tasks (shown with 4 digits to avoid round-off errors)	145.8333	96	<p><i>Objective</i> Provide general support to the Enabling Activity Technical Manager with respect to all administrative, financial and logistical requirements of the project</p> <p><i>Key tasks are:</i></p> <ul style="list-style-type: none"> - Assist in project related activities, in particular the planning and budgeting processes and logistics; - Prepare the project's financial reports on a quarterly basis, maintaining detailed records of expenditure and budget balance;

<i>Position Titles</i>	<i>\$ / Person Week</i>	<i>Estimated Person Weeks</i>	<i>Tasks to be Performed</i>
			<ul style="list-style-type: none"> - Provide input into finalization of the project's consolidated Annual Workplan and Budget (which also includes activity descriptions and a chronogram) in a timely manner, reviewing and analysing data with respect to the finalization of cost estimates and budget proposals; - Take a proactive role in the organization of logistics for meetings, workshops and in connection with the contractual engagement of national and international consultants, consultancy firms etc. with respect to all project activities. - Maintain a contact database with national and international organizations and persons which/who can be of assistance to achieving the objective and outcomes of the project. - Assists the Enabling Activity Technical Manager in maintaining records of Project Committee meetings, decisions, actions etc. - Any other duties assigned by the Enabling Activity Technical Manager that have direct relevance to the project.
Government financed: National Project Director (support throughout the duration of the project)	<i>n.a</i>	<i>n.a</i>	<p>The National Project Director (NPD) is a senior civil servant, who will serve as the focal point for the project within the national executing agency, the CONAP. Specifically with respect to this project, the NPD will be responsible for the following tasks:</p> <ul style="list-style-type: none"> - Have overall responsibility for the implementation of the Project and the engagement of the government. - Guide and oversee the work of the Enabling Activities Technical Coordinator on a daily basis together with UNDP; - Certifying the workplans for the project, financial reports and request for advance of funds under the project, ensuring their accuracy and in accordance with the project document; - Be responsible for the conduct of Project Steering Committee meetings, ensuring in particular high level participation from government and of other relevant stakeholders. - Ensure that products and publication produced by the project follow due the processes of approval within the government.
For Technical Assistance			
<i>Local</i>			
National Enabling Activity Technical Manager (technical inputs, corresponding to 90% of the person's time)	360.5	96	<p><i>Objective (technical):</i> To lead the overall process of the stocktaking, stakeholder consultation, national target setting and the development of the NBSAP in Guatemala and be responsible for the timely drafting and finalization of the NBSAP, the maintenance of the CHM and the production of the 5th National Report to the CBD.</p> <p><i>Key tasks are:</i></p> <ul style="list-style-type: none"> - Serve as team leader for other consultants involved in the NBSAP and be overall responsible for the timely drafting of the document for submission to UNDP, the GEF and the CBD Secretariat; strictly adhering to the deadlines agreed to; and ensuring quality control.

<i>Position Titles</i>	<i>\$ / Person Week</i>	<i>Estimated Person Weeks</i>	<i>Tasks to be Performed</i>
			<ul style="list-style-type: none"> - Ensure that the inception meeting results in a clear roadmap on the scope of services and project tasks to be accomplished under the guidance of the NBSAP Advisors, key national implementing partners and the UNDP technical staff. - Submit draft and revised versions of all studies and reports of the NBSAP activities to NBSAP International Advisor, key national implementing partners and consultants and to UNDP technical staff for review and support in finalization. - Play a pivotal role in developing the substantive part of the project’s work plan and coordinating the input and outputs of all consultants, as well as overseeing the technical quality of deliverables. - Ensure that implementation adheres to the approved work plans and that it reaches the desired results. - Identify implementation partners for the undertaking of the various activities and develop an overall implementation plan. - Play a leading role in keeping the CHM up-to-date. - Prepare the project’s monitoring reports, more precisely, the Abridged PIR, the Risk Log, the Terminal Report and the Lessons learned reporting. <p><i>Contribution to the following deliverables:</i></p> <ul style="list-style-type: none"> ➤ Brief Review of the Biodiversity Planning Process in Guatemala ➤ Biodiversity Targets for Guatemala: As part of national efforts to implement the CBD’s Strategic Plan for 2011-2020 ➤ Second National Biodiversity Strategy and Action Plan for Guatemala ➤ Set of ‘straight-forward’ and feasible NBSAP implementation plans, which ensure the effective implementation of the Action Plan contained in the NBSAP ➤ Fully functional CHM for Guatemala, based on best international practice on the matter <p><i>Qualifications and experience:</i></p> <p>Should have a relevant university degree, preferably with specialization in environmental natural sciences, environmental planning, economics, social sciences, management, administration or related field, preferably with professional exposure to biodiversity conservation issues in Guatemala. Minimum of 5 years management experience at a senior level, or an advanced degree with 3 years management experience. Knowledge and understanding of the relevant UN Convention, environmental issues in Guatemala, good leadership, coordination, communication, and facilitation skills are essential. Proven track record of drafting relevant materials in the biodiversity/ecosystem management theme (publications, reports and related documentation). Proven ability to collect, verify and analyze information, and to finish and present work with a high degree of accuracy and technical quality. Ability to communicate effectively orally and in writing, in order to communicate complex, technical information to both technical and general audiences. Previous experience in the development of NBSAPs is a plus.</p>

<i>Position Titles</i>	<i>\$ / Person Week</i>	<i>Estimated Person Weeks</i>	<i>Tasks to be Performed</i>
<p>Nat. EA Capacity Development specialist for NBSAP implementation (shown with 4 digits to avoid round-off errors)</p>	<p>594.7692</p>	<p>13</p>	<p><i>Objective</i> To undertake the capacity development for NBSAP implementation of the project.</p> <p><i>Key tasks are:</i></p> <ul style="list-style-type: none"> - Conduct a comprehensive assessment of capacity development needs at a national level, prioritizing key institutions involved in NBSAP update (component 2) related activities - Identify and prioritize specific requirements to integrate climate change into Guatemala's land use, development and sectorial plans and strategies - Identify national capacity needs to develop appropriate biodiversity and climate policies, laws and incentives - Identify main gaps along with capacity-building strategies to fill those gaps - Develop a road map to strengthen identified capacities - Collaborate in the design and implementation of a Capacity Development Program that includes the update, training and professional accreditation of personnel involved in biological diversity management - Contribute to build alliances with key national stakeholders to implement the plan - Coordinate with Project Manager to develop these activities
<p>Local NBSAP Specialist (focus on economics & finance, and resource mobilisation for implementation)</p>	<p>1,531</p>	<p>10</p>	<p><i>Objective:</i> The consultant will be responsible for carrying out the tasks under two sub-activities: i) assessing and integrating ecosystem services through economic valuation (Component 2); and ii) the mobilisation of financing for the implementation of the Action Plan of the NBSAP and in raising awareness among key stakeholders on the NBSAP (under Component 3). The tasks foreseen will be carried in close collaboration with the Ministry of Finance and the Ministry of Environment.</p> <p><i>Key tasks are:</i></p> <p><u>With respect to Economic Valuation aspects:</u></p> <ul style="list-style-type: none"> ▪ Identify potential means of capturing the value of targeted ecosystem services including through policies such as payments for ecosystem services and other positive incentives. ▪ Identify priority Biodiversity investment needs and opportunities based on the NBSAP. <p><u>With respect to Finance and Resource Mobilisation.</u></p> <ul style="list-style-type: none"> ▪ Analyse internal sources of finance for action in the NBSAP including i) the national budget cycle and the allocation to public administrations (ministries), ii) the budget of local governments, iii) national funds to support local development, and iv) fiscal and economic instruments. ▪ Conduct an analysis of institutional capacities for resource mobilization. ▪ Develop and implement capacity building process for lead NBSAP implementation institutions and partners on resource mobilization. ▪ Analyse external sources of finance for actions in the NBSAP including trends for i) bilateral

<i>Position Titles</i>	<i>\$ / Person Week</i>	<i>Estimated Person Weeks</i>	<i>Tasks to be Performed</i>
			<p>sources, ii) multilateral sources, iii) regional development banks, iv) international foundations and non-governmental organisations (NGOs).</p> <ul style="list-style-type: none"> ▪ Analyse innovative sources of finance for actions in the NBSAP, especially fiscal measures related to: i) tourism and infrastructure development (to encourage the mainstreaming of biodiversity into their operations, ii) bank loans for investment projects. NBSAP Integrated Financing Action Plan summarising concrete activities required to mobilise BD finance for the 10-year period of the implementation of the NBSAP. ▪ Facilitate the definition of a Resource Mobilization strategy between the lead NBSAP implementation institutions and partners ▪ Develop tools to ensure effective and efficient information flow and internal networking between lead NBSAP implementation institutions ▪ Support the discussion and signing of a Letter of Understanding between at least two major donors for the NBSAP implementation process and the lead NBSAP implementation institution. <p><i>Contribution to the following deliverables:</i></p> <ul style="list-style-type: none"> ➤ Second National Biodiversity Strategy and Action Plan for Guatemala ➤ Set of ‘straight-forward’ and feasible NBSAP implementation plans, which ensure the effective implementation of the Action Plan contained in the NBSAP

ANNEX B. Indicative Activity Chronogram

Comp	Modules	Guiding activities under each module	Q2	Q3	Q4	Q1	Q2	Q3
1	I. Preparation	1. Rapid stocktaking and review of relevant plans, policies and practices in key public institutions	X					
		2. Identification of stakeholders; consultations and awareness to ensure a robust consultative process that engages representatives from key public and private sectors	X					
		3. Rapid assessment of the root causes and consequences of biodiversity loss highlighting the value of biodiversity and ecosystem services and their contribution to human well-being	X	X	X			
		4. Identify key aspects of the policy environment that are barriers and challenges to effective conservation/sustainable use	X	X				
		5. Prioritization and identification of key gaps in the existing NBSAP, identifying the means of overcoming existing barriers and challenges	X	X	X			
	II Setting national targets, principles, & main priorities of the strategy	6. Setting national targets, principles, & main priorities of the strategy through national consultations and mainstream them into national development plans of key public institutions		X	X			
		7. Establish feedback mechanisms for target monitoring		X	X	X		
	III. Strategy and action plan development	8. Developing the strategy and actions to implement the agreed targets through national consultations		X	X	X		
		9. Application of the NBSAP to sub-national entities through sub-national and local consultations			X	X	X	
		10. Sectorial integration including mainstreaming into development, poverty reduction and climate change plans through sectorial consultations			X	X	X	
3	IV. Development of Implementation plans and related activities	11. Development of a plan for capacity development for NBSAP implementation.				X	X	X
		12. Development of a plan for resource mobilization for NBSAP implementation					X	X
		13. Development of indicators and monitoring approach				X	X	X
		14. Fifth national report	X	X	X	X		

ANNEX C. TOTAL BUDGET AND WORKPLAN

GEF Component (Outcome) /Atlas Activity	Responsible Party/ Implem. Agent	Fund ID	Donor Name	ERP / ATLAS Budget Code	Atlas Budget Description	TOTAL Amount (USD)	Amount Year 1 (USD)	Amount Year 2 (USD)	Budget Notes
Comp 1. Stocktaking and national target setting	NEX	62000	GEF-10003	71400	Contractual Services – Individ	11,536	5,768	5,768	a
	NEX	62000	GEF-10003	71600	Travel	10,064	6,424	3,640	b
	NEX	62000	GEF-10003	72100	Contractual Services-Companies	17,951	12,513	5,438	c
	NEX	62000	GEF-10003	72100	Contractual Services-Companies	5,000	5,000	-	d
	NEX	62000	GEF-10003	74100	Professional Services	18,000	12,000	6,000	e
	GEF Subtotal Atlas Activity 1 (Comp 1)						62,551	41,705	20,846
TOTAL ACTIVITY 1 (Comp 1)						62,551	41,705	20,846	
Comp 2. NBSAP update	NEX	62000	GEF-10003	71300	Local Consultants	15,310	7,653	7,657	f
	NEX	62000	GEF-10003	71400	Contractual Services – Individ	11,536	5,768	5,768	a
	NEX	62000	GEF-10003	71600	Travel	8,182	4,091	4,091	g
	NEX	62000	GEF-10003	72100	Contractual Services-Companies	15,000	15,000	-	d
	NEX	62000	GEF-10003	72500	Supplies	2,400	1,200	1,200	h
	NEX	62000	GEF-10003	72800	Information Technology Equipmt	4,500	4,500	-	i
	NEX	62000	GEF-10003	74100	Professional Services	7,000	3,500	3,500	j
	NEX	62000	GEF-10003	74200	Audio Visual&Print Prod Costs	6,500	1,500	5,000	k
	NEX	62000	GEF-10003	74500	Miscellaneous Expenses	2,246	1,125	1,121	l
GEF Subtotal Atlas Activity 2 (Comp 2)						72,674	44,337	28,337	
TOTAL ACTIVITY 2 (Comp 2)						72,674	44,337	28,337	
Comp 3. National frameworks for NBSAP implementation, CDB reporting and exchange mechanisms	NEX	62000	GEF-10003	71300	Local Consultants	7,732	3,866	3,866	m
	NEX	62000	GEF-10003	71400	Contractual Services – Individ	11,536	5,768	5,768	a
	NEX	62000	GEF-10003	71600	Travel	11,683	6,157	5,526	g
	NEX	62000	GEF-10003	72100	Contractual Services-Companies	5,000	5,000	0	d
	NEX	62000	GEF-10003	72100	Contractual Services-Companies	6,546	3,814	2,732	n
	NEX	62000	GEF-10003	72500	Supplies	2,400	1,200	1200	o
	NEX	62000	GEF-10003	72800	Information Technology Equipmt	7,774	7,774	0	p
	NEX	62000	GEF-10003	74100	Professional Services	11,263	11,263	0	q
	NEX	62000	GEF-10003	74500	Miscellaneous Expenses	2,000	1,000	1,000	l
	GEF Subtotal Atlas Activity 3 (Comp 3)						65,934	45,842	20,092
TOTAL ACTIVITY 3 (Comp 3)						65,934	45,842	20,092	
Project Mgt	NEX	62000	GEF-10003	71400	Contractual Services – Individ	3,846	1,923	1,923	a

	NEX	62000	GEF-10003	71400	Contractual Services – Individ	14,000	7,000	7,000	r
	NEX	62000	GEF-10003	74100	Professional Services	2,000	1,000	1,000	s
GEF Subtotal Atlas Activity 4 (Proj Mgt)						19,846	9,923	9,923	
TOTAL ACTIVITY 4 (Project Management)						19,846	9,923	9,923	
SUB-TOTAL GEF						221,005	141,807	79,198	
GRAND TOTAL (in cash)						221,005	141,807	79,198	

Budget Notes	
a	Nat. EA Technical Manager (\$38,454 financed by GEF, of which 10% of all inputs are managerial, and included under Project Management, and 90% are technical, spread equally among all three Components).
b	Travel and fuel costs in connection with stocktaking activities, including stakeholder articulation for valuation mechanisms, threats to biodiversity identification, and the implementation of a network of key stakeholders in the National Biodiversity Observatory.
c	Consultations and meetings to initiate the stakeholder engagement process. This will ensure that the NBSAP Revision and the preparation of the 5NR and the updating of the CHM will be supported by a robust consultative process that engages representatives from key public and private sectors. This will allow: (i) the rapid stocktaking and review of relevant plans, policies and practices in key public institutions; (ii) the assessment of the root causes and consequences of biodiversity loss highlighting the value of biodiversity and ecosystem services and their contribution to human well-being; (iii) the identification of key aspects of the policy environment that are barriers and challenges to effective conservation/sustainable use; and (iv) the prioritization and identification of key gaps in the existing NBSAP, identifying the means of overcoming existing barriers and challenges.
d	Output-based Consultancy: Expert working group and team for 5th National Report development, including targeting biodiversity threats at a national level). Total costs (\$25K) spread across Components 1 (\$5K), 2 (\$15K) and 3 (\$5K). Refer to TOR for the Request for Quotes in Annex D.
e	Mediation of technical NBSAP for local communities and governments, in particular indigenous groups of Guatemala in remote and biodiversity rich areas. This will be contracted out to a national NGO with an appropriate profile to play a mediation role. The work may include publication of 1000 copies of NBSAP.
f	Local NBSAP Specialist (focus on economics & finance, climate change and capacity development for implementation) (10 weeks x \$1,530.60/week.).
g	Travel and fuel costs for activities related to anchoring NBSAP into institutions (including local), 5th Nat Report Development and NBSAP national frameworks for capacity development and resource mobilization.
h	Stationary and office supplies for strategy and action plan development related activities.
i	Purchase of 2 laptop computers for EA development (includes software, printer and other peripherals) and a projector to facilitate consultations.
j	Editorial, typesetting, translation and interpretation services.
k	Publication of 500 copies of 5th Report, 500 copies of plan for capacity development for NBSAP implementation and 500 copies of plan for resource mobilization for NBSAP implementation. Newspaper advertisement.
l	Bank charges, insurance, costs of security and other miscellaneous project supplies.
m	Nat. EA Capacity Development specialist for NBSAP implementation (\$594.77 x 13 weeks)
n	Stakeholder meetings, consultations and working groups for capacity development and resource mobilization for NBSAP implementation plans.
o	Stationary and office supplies for capacity development and resource mobilization for NBSAP implementation related activities
p	Computers and software to implement a national system to interconnect institutions involved in biodiversity management.
q	Server hosting, software, internet switches and router to improve connectivity for CHM country driven site, including software and web development (Y1 and Y2) to exchange information and knowledge with networks on biodiversity.

r	Project Assistant - administrative, logistical and financial support (96 weeks at \$145.8333/week).
s	Project Audit.

ANNEX D. TECHNICAL ASSISTANCE SERVICE PROVISION: TOR FOR LAUNCHING A REQUEST FOR QUOTES

As per the Total Budget and Workplan (TBW) in Annex C of this proposal, one output-based consultancy is planned under the project. This Annex describes the work under the consultancy. The content herein will form the basis for prepare complete **Requests for Quotes**²⁰ for it. Below is the overview:

#	Title of the Output-based consultancy	Amount reserved in the TBW (\$)	Relevant budget note
1	Expert working group and team for 5th National Report development, including targeting biodiversity threats at a national level	25,000	d

The consultancy will target primarily national expertise, but will be launched internationally, and may be assigned to a center of excellence or NGO that can avail the required field staff.

The complete **Requests for Quotes** prepared by UNDP normally have the following structure:

- i. Instructions to Offerors
- ii. General Conditions of Contract
- iii. Terms of Reference (TOR)
- iv. Proposal Submission Form
- v. Price Schedule

In this annex, **only the TOR are described**. The remainder of the chapters of the Requests for Quotes will be completed before launching the tender and after due validation by UNDP.

The complete TOR for Requests for Quotes will include the following headings:

- (1) Summary and Background
- (2) Objective of the Consultancy
- (3) Scope of Work
- (4) Expected Results
- (5) Duty station
- (6) Requirements to the documents
- (7) Responsibility
- (8) Qualification requirements
- (9) Available information
- (10) Selection Process

TOR for the Expert working group and team for 5th National Report development, including targeting biodiversity threats at a national level

(1) Summary and Background

Guatemala is in the process of implementing a GEF biodiversity planning project whose objective is to integrate the country's obligations under the Convention on Biological Diversity (CBD) into its national development and sectoral planning frameworks through a renewed and participative 'biodiversity planning' and strategizing process, in a manner that is in line with the global guidance contained in the CBD's Strategic Plan for 2011-2020.

The following key outcomes are sought as part of the project, each representing one Component of the project:

²⁰ With reference to the applicable procurement process for the type of services being sought and budget allocated to financing them.

1) A participative stocktaking exercise on biodiversity planning takes place and national biodiversity targets are developed in response to the global Aichi Targets.

2) Guatemala's National Biodiversity Strategy and Action Plan (NBSAP) is revised/updated and it fully integrates new aspects of the CBD strategic plan, such as mainstreaming and anchoring the implementation of the plan into national development frameworks, valuing ecosystem services and promoting ecosystem-based adaptation and resilience.

3) National frameworks for resource mobilization and Convention reporting, are established and strengthened.

The ultimate goal of the project is to build national capacity within the topic of biodiversity planning. This implies procuring knowledge and capacity building services that are usually not available within State Institutions, due to the specificity of the topics at hand and the technical requirements.

Hence, an international **Request for Quote** is being launched in view of having services rendered by a group of specialized consultants within the following areas of expertise:

(2) Objective

As part of the process of developing specific inputs to Guatemala's NBSAP, the Consultancy in question will be the main driving force in the definition of national targets in line with the global Aichi Targets and in the preparation of Guatemala's Fifth National Report to the CBD within the deadline established by the CBD COP.

(3) Scope of Work

The scope and the specific tasks for this Consultancy will be developed during the project's inception phase. It will involve the completion of the stocktaking exercise and the definition of national targets. This group will also support the development of the NBSAP, playing a key role in stakeholder involvement and organisation of events. In addition, the group will make significant contributions to the Fifth National Report.

Specific tasks for this Consultancy will be developed during the project's inception phase. The above is indicative. The final composition of the teams will depend on a number of factors to be defined during the project's inception phase. The budget for the consultancy is in any case assumed to be for a 5 people team over 3 months.

(4) Expected Results

Contribution to the following deliverables:

- Brief Review of the Biodiversity Planning Process in Guatemala
- Biodiversity Targets for Guatemala: As part of national efforts to implement the CBD's Strategic Plan for 2011-2020
- Second National Biodiversity Strategy and Action Plan for Guatemala
- Set of 'straight-forward' and feasible NBSAP implementation plans, which ensure the effective implementation of the Action Plan contained in the NBSAP
- Fully functional CHM for Guatemala, based on best international practice on the matter
- Guatemala's Fifth National Report to the CBD

(5) Duty station:

- CONAP*

- Home based, for the completion of certain reports

*Note: all travel expenses should be included into the breakdown of contract total amount by submission of financial proposal.

(6) Requirements to the documents

- Draft and final documents should be submitted in Spanish in MS Word (2007 and later). Used font: Arial, size: 12; Presentational documents should be prepared in Power Point.

– *May be complemented when composing the final documentation for the Request for Quotes* –

(7) Responsibility

- Agrees the above results with the NBSAP Technical Coordinator;
- Ensures timely and quality execution of the Terms of Reference;
- Ensures unconditional implementation of requirements of the contract

(8) Qualifications requirements

Areas of expertise: The interface between biodiversity & climate change; environmental economics, finance and biodiversity mainstreaming; editing, editing and publishing national communications documents.

-- The number of minimum mission days and schedule of payment are to be completed when composing the final documentation for the Request for Quotes. --