



**United Nations Development Programme**  
GLOBAL ENVIRONMENT FACILITY



**Date:** May 16, 2000

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**From:** Emma Torres  
Deputy Executive Coordinator and Officer-in-Charge

**Subject:** PDF A Funding for Medium Size Project:

Please find attached for your review and comments a PDF Block  
A request for funding entitled: "**Conservation System for Guatemala's  
Western High Plateau**"

We would appreciate receiving your comments no later than 24 May,  
2000.

Thank you.

### Medium Size Project Clearance Sheet - PDF A

*(the template for this form can be found on L:\Medium Size Projects\Administration\Templates)*

<b>Project Title</b>	Conservation of Biodiversity in the Western Plateau of Guatemala		
<b>Country (ies)</b>	Guatemala	<b>Focal Area</b>	Biodiversity
<b>Regional Bureau</b>	RBLAC	<b>PIMS Number</b>	1458
<b>Task Manager</b>	Nick Remple <i>[Signature]</i>	<b>GEF Amount (PDF A)</b>	US\$ 24,250

**PDF A Circulation**

Clearance	Date	Signature
Technical Advisor Clearance (including verification of govt support letters)	11/5/00	<i>[Signature]</i> (technical advisor)
Programme Support Unit Clearance (including verification funds available)*	15/5/00	<i>[Signature]</i> (PSU)
Distributed to IA's and GEFSEC	<i>[Signature]</i>	(task manager)
Comments Received UNEP		(task manager)
Comments Received World Bank		(task manager)
Comments Received GEFSEC		(task manager)
Endorsed by UNDP GEF Executive Coordinator		(UNDP GEF Exec. Coordinator)

**UNDP Project Document Information**

**UNDP Project Number**

Clearance	Date	Signature
Technical Advisor Clearance (including verification all GEFSEC & IA technical comments addressed)		(technical advisor)
Programme Support Unit Clearance of UNDP Budget		(PSU)
Verified that all the above data is entered in PIMS		(task manager)
Endorsed by UNDP GEF Executive Coordinator		(UNDP GEF Exec. Coordinator)
Delegation of Authority Sent to Resident Representative / Executing Agency		(task manager)

**\* from new replenishment after Apr. 2000.**

<sup>1</sup> Note and attach e-mail or fax if not physically signed

Block A PDF

<b>Part 1: ELIGIBILITY</b>	
<b>1. Project Name:</b> Conservation of Biodiversity in the Western Plateau of Guatemala	<b>2. GEF Implementing Agency:</b> United Nations Development Programme (UNDP)
<b>3. Country or countries in which the project is being implemented:</b> Guatemala	<b>4. Country eligibility:</b> Guatemala ratified the Convention on Biodiversity on 10 July 1995.
<b>5. GEF Focal area:</b> Biodiversity	<b>6. Operational program/Short-term measure:</b> OP 3 Forest Ecosystems OP 4 Mountain Ecosystems
<b>7. Project linkage to national priorities, action plans, and programs:</b>	
<p><u>National priorities</u></p> <p>The objectives of the proposed project are not only in accordance with national conservation and sustainable use priorities but also with the emphasis being laid by the Government of Guatemala (GOG) on decentralized management of biodiversity and natural resources. The project will contribute to improving the representation of globally significant biodiversity in the national system of protected areas (PA), an important national priority.</p> <p>Guatemala has prepared a draft National Biodiversity Strategy and Action Plan with support from the GEF and UNDP and the proposed project is in line with the strategic vision of this draft document. In particular, the vision statement stresses <i>in situ</i> conservation and the equitable sharing of biodiversity resources among all Guatemalans. The proposed project will contribute to this vision through its strategy of co-management of important habitats in the Guatemalan Western Plateau by indigenous landholders and municipal authorities.</p> <p>The proposed project also conforms to the Peace Treaties signed between the GOG and the Guatemalan National Revolutionary Unit (URNG) in December 1996. The agreement entitled: "Identity of Indigenous Peoples, Socioeconomics and Agriculture", recognizes the interdependence and linkages between conservation, sustainable resource use and sustainable development, thereby assigning projects falling into this category as high priority initiatives for both government and donor financing.</p> <p><u>Ongoing National and Regional Programs</u></p> <p>Guatemala is a country with rich and varied biodiversity of important conservation significance and there are several important conservation programs under implementation. In particular, the proposed project complements the conservation efforts of the regional UNDP/GEF supported project for the "Establishment of a Programme for the Consolidation of the Mesoamerican Biological Corridor", the UNDP/GEF funded project entitled "Biodiversity Conservation in the Sarstun-Motagua Region" (RECOSMO) and the ProBosques project being implemented by HELVETAS.</p> <p>The <b>Mesoamerican Biological Corridor (MBC)</b> project seeks to establish a strategic regional framework for biodiversity conservation, agricultural development, and watershed protection. Site-specific conservation interventions such as this one, which will extend necessary conservation coverage to unite the globally significant volcanic chain of the Sierra Madre, are important to consolidating the MBC.</p>	

The **RECOSMO** project is active in the East and Northeast of Guatemala (Municipalities of Izabal, Alta y Baja Verapaz, El Progreso and Zacapa, see map in Annex 1). The proposed project shares programmatic similarities with RECOSMO in that they both focus on the management and sustainable use of biodiversity in PAs and buffer zones while promoting the active participation of local communities and stakeholders in conservation efforts. [These complementary objectives provide the potential for sharing and exchanging experiences and best practices between the two projects. While the RECOSMO project is managed by the GOG through an NGO and targets already established PAs, this MSP is supported by an international organization, designed to work with municipalities and indigenous landholders as counterparts, and is geared to facilitate and further the process of decentralization in the management of PAs. In terms of ecosystems, both projects are complementary and they will ensure a more effective representation of globally significant ecosystems within the Guatemalan System of Protected Areas (SIGAP). While RECOSMO is focusing on tropical forest ecosystems and mangrove swamps, this MSP focuses on mountainous forests that are currently under represented in the SIGAP.]

The proposed project will also complement and draw valuable lessons from ongoing biodiversity conservation activities being implemented under the **HELVETAS-ProBosques** project in the Guatemalan Western Plateau (in the municipalities of Quetzaltenango, Totonicapán, Zunil, and San Martín Sacatepéquez, see map in Annex 2). One of the principal objectives of the ProBosques project is to establish a decentralized participatory structure for the management, sustainable use and conservation of natural resources. The experience, best practices and participatory methods gained from HELVETAS-ProBosques are an important contribution to the present proposal. By complementing and extending the efforts of ProBosques to five additional municipalities in the Western Plateau, this MSP will address the important representative gaps in the national system of PAs and also further the decentralized management of relic forests in the area.

#### Proposed initiatives

This project team will also work in close coordination with a World Bank (WB) initiative entitled: "**Western Altiplano Integrated Natural Resource Management**" (currently in the PDF-B stage). As discussed with the WB team and the GEF Secretariat, it is expected that this MSP's site-specific activities will serve to provide valuable lessons to the larger full-scale initiative of the WB particularly on issues pertaining to community-based PA management, community-based participation mechanisms, and resource use in communally owned forests. While the WB initiative will operate at a macro level (covering six departments) to strengthen the national system of PAs, primarily at national and departmental levels, this MSP will target select globally significant sites and work at community and municipal levels. This approach will offer the possibility of replicating positive experiences and scaling up pilot models and processes on a national scale within the framework of the larger initiative.

#### **8. GEF national operational focal point and date of country endorsement:**

The National Commission of Environment (CONAMA) endorsed the project on April 14, 1999.

#### **9. Project rationale and objectives:**

The objective of the proposed project is to conserve and protect the rich biodiversity of the Guatemalan Western Plateau by collaborating with ethnic groups and municipal authorities in the area to establish co-management of municipal forests that will be designated as Municipal Regional Parks (MRPs). The project will target its efforts in the municipalities of Concepción

Chiquirichapa, Cantel, San Cristobal Cuchu, San Pedro Sacatepéquez, and Tajumulco (see map in Annex 2). Importantly, it will draw on the wealth of experience gained by the proponent (HELVETAS) through the ProBosques project in mobilizing indigenous landholders, and municipal and central authorities to further conservation and sustainable use. The ProBosques project has been operational since 1996 in the Municipalities of Quetzaltenango, Totonicapán, Zunil, and San Martín Sacatepéquez, also in the Guatemalan Western Plateau, and has established successful decentralized participatory structures for the management, conservation and sustainable use of biodiversity. (See Annex 3 for a detailed account of the methodology, lessons and achievements of the HELVETAS-ProBosques project.)

The project will also lay the foundation for coordinated management of the 9 MRPs in the Western Plateau (5 established under this project and 4 already established by the ProBosques project) by relevant municipal authorities as an integrated system of protected areas (referred to as SAPAO). The aim is to include SAPAO as an integral part of SIGAP. The project is designed to provide a replicable model for the conservation of biodiversity in areas similar to that of the Western Plateau (e.g. the Northwestern and Central plateau of Guatemala). Through its example the project will seek to influence government policy toward the decentralized management and administration of municipal lands in other parts of the country.

The sustainability strategy envisaged by the project – *and to be further developed with PDF-A financing* – includes the following goals: a) to guarantee and officialize community and municipal authorities' participation in the rational use, protection and conservation of municipal forests, through established co-management mechanisms and decision-making structures, b) to make municipal entities responsible for the management of MRPs (Municipal Regional Parks) and for mobilization of resources to cover recurrent costs of PA operations; c) to design and implement alternative income generating options (such as eco-tourism ventures) for both municipal entities and affected resource users; and d) to mobilize national financing with municipal counterparts.

A particularly challenging issue to be addressed by the project is the expanding agrarian frontier and the attendant impact on biodiversity. By strengthening municipal institutions and their capacity to plan, manage, regulate and control the use of municipal forests and natural resources, the project will contribute to a more democratic and equitable management arrangement between municipal and national authorities. This enhanced capacity at the municipal level is expected to result in more rational and sustainable use of local natural resources and conservation of local biodiversity. The project also proposes to advocate for more rigorous government enforcement of existing environmental policy and standards to regulate the expansion of agricultural frontiers.

#### Conservation significance of the project area

Located strategically between the continents of North and South America, Guatemala is a country of important conservation significance. The country has 14 different life zones and is a refuge for migratory birds flying from north to south with more than 75 migratory bird species identified here to date<sup>1</sup>. Guatemala is the southern most region that has northern species, and the northern most region which has southern species making it the Ecotono Continental between southern and northern flora and fauna<sup>2</sup>. These conditions make Guatemala the center of origin of germplasm with a high degree of endemism, unique at the global level. It also has the most diverse

<sup>1</sup> Tencs, D. *Study of Birds 1 and 2*. Forests of the Western High Plateau of Guatemala Project. HELVETAS. 1998.

<sup>2</sup> *Guatemala: Los Contrastes del Desarrollo Humano*. 1998 edition. UNDP. Guatemala.

amphibian, reptile, mammal and fish species in Central America.

The target area of the project is mountainous and encompassed by the Sierra Madre, a volcanic chain that runs from Mexico to Nicaragua (1,800 to 4,200 meters), which is recognized as a globally significant ecosystem harboring endemics, major habitat types and endangered species. The conservation significance of the various forest types in the area is summarized below<sup>3</sup>:

Sierra Madre moist forests	Endangered, bioregionally outstanding, high priority at regional scale
Central American mountain forests	Endangered, bioregionally outstanding, high priority at regional scale
Central American Pacific dry forests	Critical, bioregionally outstanding, high priority at regional scale
Central American pine-oak forest	Vulnerable, bioregionally outstanding, moderate priority at regional scale

According to the Center of Conservation Studies (CECON)<sup>4</sup>, the area has high indices of floral and faunal endemism with numerous species deserving concerted protection efforts. The species that are important for conservation (because they are endemic or in danger of extinction) include<sup>5</sup>:

#### Flora

<i>Cavendishia guatemalensis</i>	(Guatemalan garden pink)	Endemic
<i>Lobelia cardinalis</i>	(Bellflower)	Endemic
<i>Rojasianta supherba</i>	(Broom plant)	Endemic
<i>Abies guatemalensis</i> Rehder	(Guatemalan Christmas tree)	Endemic, CITES Appendix I <sup>6</sup>
<i>Juniperus stanleyi</i>	(Small Cypress)	Endemic
<i>Quercus guatemalensis</i>	(Guatemalan Oak)	Endemic

#### Fauna

<i>Pharomachrus mocinno mocinno</i>	(Quetzal)	CITES Appendix I
<i>Oreophaps dervianus gra</i>	(Wild Turkey)	CITES Appendix I
<i>Lepus flavigularis</i>	(Brown hare)	Endemic

#### Threats to biodiversity

The extension of the agrarian frontier into forested areas. This phenomenon is precipitated by government support to transform natural forests into agrarian areas without taking into account the suitability of soils for agriculture or other agrarian activities occurring in the area. Once forests are cleared, the most prevalent land-use is the intensive production of vegetables.

Illegal harvesting and trade of flora and fauna, for example Pinabete Christmas trees (CITES I), rare woods such as Cedro (*Cedrela* spp.) unique to the area, firewood (*Alnus arguta*) and the endemic *Quercus guatemalensis*, all subject to illegal harvesting. Although there are decrees and laws in place that are meant to regulate and control illegal activities and support the conservation of biodiversity (Protected Areas Law, Legislative Decree Number 4/89 and its modification 110/96; Forestry Law, Legislative Decree Number 101/96; Law of Environmental Improvement, Legislative Decree Number 68/86), the application and enforcement of the law is inadequate. This is due to the weak presence of public institutions charged with enforcement and regulation of the law and the management and protection of biodiversity, coupled with

<sup>3</sup> Dinerstein, E. and others. *A Conservation Assessment of the Terrestrial Ecoregions of Latin America and the Caribbean*. World Bank, 1995.

<sup>4</sup> Center of Conservation Studies of the University of San Carlos de Guatemala. *Fifty sites of special interest for conservation in Guatemala*. The Nature Conservancy, 1997

<sup>5</sup> Source: Technical Studies for Municipal Regional Parks Quetzaltenango, Totonicapan, Zunil and San Martin S.

<sup>6</sup> Appendix I includes all species threatened with extinction which are or may be affected by trade.

limited experience and capacity in these institutions.

*Barriers to effective management of protected areas include:*

- Limited technical capacity of municipal authorities to manage PAs. (Risk level: medium)
- Lack of political will on the part of different municipal authorities to work together. (Risk level: low)
- Conflict between community and municipal authorities. (Risk level: medium)
- Community acceptance of the regulations for protected areas. (Risk level: low)
- Active participation of communities in co-management. (Risk level: medium)
- Lack of definition of roles and functions between central government and municipal entities. (Risk level: low)
- Boundary conflicts between community and individual lands. (Risk level: medium)

The project will apply the co-management methodology and lessons of the HELVETAS-ProBosques project to address the above threats to biodiversity in the area. More specifically, the project will:

- Develop and strengthen capacity of municipal authorities and stakeholders to monitor, regulate, protect, conserve and use biodiversity sustainably;
- Enhance the technical and administrative capacity of municipal authorities to manage the Municipal Regional Parks;
- Strengthen the capacity of municipal authorities to enforce national environmental laws and standards, monitor and regulate the use of biodiversity;
- Establish incentives and concession arrangements that support and foster sustainable use and conservation of forests and adherence to existing laws;
- Develop alternative economic activities with communities in buffer zones to reduce existing pressures on forest resources (ecotourism, curios and such from local products), and to contribute to the economic self-sufficiency of the population living near the protected areas.
- Raise awareness of all stakeholders about the importance of conservation and sustainable use of biodiversity.

#### **10. Expected outcomes:**

Project activities are expected to result in the conservation of globally significant biodiversity, maintenance of environmental services and benefits, including the generation of water, protection of soils, and carbon sequestration in PAs. Project proponents anticipate the following specific outcomes:

- a) Five new PAs, categorized as Municipal Regional Parks (MRP), are established in accordance with the Law of Protected Areas and in consensus with CONAP.
- b) Master plans for the PAs are approved and implemented including administration and management plans in the respective buffer zones. Master plans will be developed with the input of appropriate stakeholders and resident communities and approved by the municipalities in accordance with CONAP requirements. The master plans are expected to include the following principal elements:
  - Land demarcation;
  - Technical studies;
  - Consultations to develop co-management strategies;
  - Management programs: administration, education, conservation, public use;
  - Monitoring and evaluation systems for the conservation status of biodiversity as well as the execution of the programs;

- Functional mechanisms for ensuring the sustainability of the conservation and development efforts.
- c) Municipalities will form a partnership to manage the MRPs in the proposed system of PAs for the Western Plateau (SAPAO). The SAPAO will include a total of 9 MRPs – 5 established under this project and the 4 already established by the HELVETAS-ProBosques project. In particular, they will define and agree on rules regarding administration of the MRPs, the relation with public entities that are responsible for national environmental legislation and policies, and also outline a common strategy for the management of shared zones of the SAPAO.
  - d) Co-management arrangements will be defined and accepted in each MRP. This will include the establishment of consultative councils with the participation and representation of different social sectors, indigenous communities, grassroots organizations, businessmen, churches, municipalities and mayors.
  - e) Development of sustainable use strategies for the buffer zones and initiation of priority activities. Proposals to manage buffer zones will be accepted by stakeholders and presented to Councils for urban and rural development in the municipalities. These proposals will relate to the conservation and management of soils, water, forests and wildlife. Initiation of ecotourism projects for increased incomes, based on a common initiative for the 9 municipalities – four municipalities where the ProBosques project is active and five municipalities being targeted by this MSP.
  - f) Increased individual and family incomes for communities in buffer zones through sustainable use projects, which will be carried out in coordination with conservation and development organizations active in the area (AECI – Spanish Cooperation, European Union, among others)<sup>7</sup>.
  - g) Greater public awareness, improvements in environmental literacy, and enhancement of technical skills of municipalities and indigenous communities particularly regarding biodiversity conservation and sustainable use, MRP management, and traditional natural resource management.

#### 11. Planned activities to achieve outcomes:

Indicative project activities are summarized below. However, PDF-A consultations and activities will result in a more detailed set of project activities.

##### 1) Establishment of Protected Areas and initiation of Master Plans. (First Phase)

Initially, a participatory diagnosis of each area in the five target municipalities will be conducted to collect information on the social, economic and cultural characteristics of the communities located in each area<sup>8</sup>. During the course of the diagnosis, extensive discussions

<sup>7</sup> At present there are several projects in the Guatemalan Western Plateau aimed at integrated development with a sectoral focus on education, health and environment. Approximately 20 of these projects function autonomously under the government's social funds. The proponent will explore the potential of coordinating efforts and benefiting from synergies between this MSP and these integrated development projects with a view to benefiting the population living in the buffer zones. HELVETAS-ProBosques already has cooperation agreements with AECI, Prodeto Project of the European Community, CARE, IBIS of Denmark and the MBC. Helvetas also maintains an inter-institutional relationship with the World Bank that is implementing the project "Proyecto de Desarrollo Productivo (PDP) in the Department of San Marcos. Additional avenues for working with other institutions mentioned here will be explored in detail during the PDF stage

<sup>8</sup> Participatory diagnoses undertaken by the HELVETAS-ProBosques project require the active participation of local landholders, local authorities and governmental agencies and include the following elements: identifying the conservation areas and buffer zones in the target municipal forests; a preliminary inventory based on existing data and assessments of flora and fauna; identifying settlements in the surrounding areas and conducting a socio-economic analysis; identifying needs and concerns of the population (such as potable

and planning workshops will be held with the main actors in each project area about the goals and objectives of the project. Preliminary studies of the legal situation in each area will be conducted. Maps summarizing the information collected in this phase will be prepared for each area.

The above will provide the basis for the elaboration of the Technical Studies that are part of the Master Plan. They will be based mainly on the viability and sustainability of each PAs as well as the foreseen impact of the PA. Lobbying and discussions with CONAMA, CONAP and other government entities will be a central activity for the development of the PA.

**2) Establishment of a System of Protected Areas in Western Guatemala (SAPAO) (Second Phase)**

Lobbying with Municipalities, CONAMA, CONAP and other government entities to lay the foundation for the establishment of SAPAO. The project will negotiate, define and set up coordination mechanisms across the relevant municipal authorities to realize effective coordinated management of SAPAO.

**3) Co-Management (Third Phase)**

The consultations, agreements and consensus reached during the first phase will form the basis for implementation of co-management regimes. The project will seek to establish Consultative Councils that will facilitate participatory decision-making regarding the use, management and administration of the Municipal Regional Parks between all stakeholders.

**4) Development of Buffer Zone Activities (Fourth Phase)**

Alternative economic activities based on sustainable use of biodiversity will be introduced in buffer zones in line with State development plans and with the coordination of local and regional development councils. Cofinancing from national and other sources will be mobilized for non-incremental activities and will complement GEF resources for the project.

**5) Finalizing the Master Plans and their implementation (Fifth Phase)**

**6) Biodiversity Awareness Building (Ongoing)**

A continual public awareness campaign will be conducted from the initiation of the project to sensitize the population living near the MRPs about the importance of biodiversity conservation and the environmental services it provides.

**12. Stakeholders involved in project:**

- Municipalities. They will provide personnel and some equipment and office space at the municipal level and in rural areas.
- National Council of Protected Areas (CONAP). A national entity responsible for PAs. They will provide scientific information and national experience in management and conservation of PAs. HELVETAS has a Letter of Understanding with CONAP that will facilitate communications and the implementation of specific actions related to the project. CONAP along with other governmental and non-governmental organizations manage the Guatemalan System of Protected Areas (SIGAP).
- INAB – Instituto Nacional de Bosques – (National Institute of Forests). This is a national

water, firewood, land tenure) and potential conflicts among municipality, community and private landholders. This methodology will be adapted and applied to the target sites of this MSP.

entity responsible for the forests in the country. They provide information and local experience. They also supervise and authorize land development in protected areas. HELVETAS has signed a cooperation agreement with INAB at the regional level.

- INGUAT – Instituto Guatemalteco de Turismo – (Guatemalan Institute of Tourism). This is a governmental entity in charge of tourism activities at the national level. INGUAT will contribute ecotourism expertise.
- CONAMA – Comisión Nacional de Medio ambiente – (National Commission on Environment). A national commission that protects the environment. It will provide information and local expertise.
- Grassroots organizations will contribute through volunteer work on conservation activities. They will be active participants in the consensus-based consultations regarding implementation of the project. The organizations include: Xelajú Cooperative in Quetzaltenango; Association of Parcelarions of Palajunoj Valley, Quetzaltenango; Coordinator of the Development of the Valley of Palajunoj, Quetzaltenango; Association of Ecological Farmers, San Martín S.; Association of Integrated Development, Malacateco, San Marcos; Association Qalbal, Zunil; Association Ulew Che Ja, Totonicapán; Farmers Association of Miniriego, San Martín S. y Zunil; among others.
- Several local NGOs involved in issues related to the project will coordinate conservation actions. They may facilitate the creation of partnerships to administer the protected areas. PRODELMAS (Project of Local Development) and UNODESMA (Union of Development Organizations) in San Martín S.; Coordinator of Development Organizations, of Quetzaltenango; FUNDAP (Foundation for Development of Socioeconomic Programs); CCIC (Center of Farmer Research and Training); APDENA (Association for the Protection of Nature); Pastoral of the Earth, San Marcos; MuniKat (Institute for Municipal Development); Social Pastoral of San Miguel Totonicapán; among others.
- International NGOs may support the project with financial resources for the project and contribute to the formation of partnerships for conservation. CARE; Greenpeace of Central America; Prodetoto (Development Project of Totonicapán); IIZ (Institut für Internationale Zusammenarbeit, of Austria); IBIS, of Denmark; Action Aid of Great Britain; principally.)
- HELVETAS-ProBosques will provide the local expertise, information and personnel in the project area.

## **Part II – INFORMATION ON PDF ACTIVITIES**

### **13. Activities to be financed by the PDF:**

PDF-A resources are being requested to formulate a Medium size/Full project brief<sup>9</sup>. The following activities are envisioned as part of the PDF-A:

- Review existing studies and inventories of the flora, fauna and other resources in the project area and information on current activities and their attendant impact on biodiversity.
- In consultation with local landholders, local authorities and governmental agencies, identify the areas to be conserved as Municipal Regional Parks based on physical, chemical, biological anthropological, social, economic and cultural characteristics. This identification will again draw on existing inventories of the flora, fauna and other resources in the area.

<sup>9</sup> Project proponents expect that PDF-A consultations and assessments will result in a medium-size GEF grant complemented with financing from other sources. It is possible, however, that the scope of the required intervention may be somewhat broader than a medium-size project.

- Initiate a consultation process with the different communities and stakeholders in the project area to introduce the concept of co-management through workshops and visits to the communities.
- With information from these meetings, prepare the stakeholder participation plan and initiate the preparation of an outline of the Master Plans for the five MRPs.
- Initiate a plan of co-management according to the specific characteristics of each of the MRPs.
- Conduct consultations with stakeholders on biodiversity-friendly income-generating activities that can contribute to recurrent costs of conservation.
- Conduct consultations with other donors on their existing and planned support to conservation in the area and seek their support for the project, particularly for activities that are important complements to GEF-supported activities. Potential donors include CARE, Greenpeace of Central America, Development project of Totonicapán, IIZ of Austria, IBIS of Denmark, and Action Aid of Great Britain.
- Write a project brief and draft project document detailing the project components: Master Plan Development, Protected Area Co-Management, Buffer Zone sustainable use activities, Capacity Building, Biodiversity Education and Awareness Building. The project brief will: a) clearly detail the principal threats affecting biodiversity in the target areas; b) analyze the baseline to determine the extent to which national development plans and programmes in the project area are supportive of biodiversity conservation; c) identify existing gaps in the baseline and the corresponding actions needed to effectively mitigate threats and ensure the effective conservation of the biodiversity of the MRPs; d) determine which required actions are incremental in nature and therefore eligible for GEF financing.

**14. Expected outputs and completion dates:**

The PDF A will produce the following outputs:

- a) Preliminary identification of the MRPs and the corresponding buffer zones according to the international criteria of protection of an area for conservation.
- b) Identification of the global and regional conservation significance of the target sites.
- c) Agreements on the establishment of 5 MRPs by the Municipal Council in the municipalities of San Pedro Sacatepéquez, Tajumulco and San Cristóbal Cuchu (Department of San Marcos), Concepción Chiquirichapa and Cantel (Department of Quetzaltenango).
- d) Preliminary versions of Master Plans and Co-management Plans for the 5 Municipal Regional Parks.
- e) Medium-size/Full project brief, in GEF format, including:
  - logical framework that clearly describes the project strategy, project outcomes, global and national benefits;
  - incremental cost analysis;
  - stakeholder participation plan;
  - monitoring and evaluation plan.

The PDF-A will be completed over a period of six months.

**15. Other possible contributors (donors and amounts):**

To finance the Block A PDF it will be necessary to obtain funds for consultations, travel, technical consulting, publications and miscellaneous. HELVETAS ProBosques will provide the balance with infrastructure, materials and human resources for a total of US\$ 3,700. Other sources like CONAP and INAB will contribute human resources totaling US\$ 2,000. The total

co-financing is US\$ 5,700 for the implementation of PDF A.

**16. Total budget (US\$) and information on how costs will be met (including the Block A grant)**

<u>Budget Item</u>	<u>GEF</u>	<u>Co-financing</u> (in-kind)	<u>Total</u>
Consultants	21,750	3,700	25,450
Travel	2,500		2,500
Communications		500	500
Office Space		1,000	1,000
Miscellaneous		500	500
<b>TOTAL</b>	<b>24,250</b>	<b>5,700</b>	<b>29,950</b>

It is expected that GEF financing of the MSP will be complemented with resources from HELVETAS and others. Resource mobilization from other sources is an integral part of PDF-A activities. An initial assessment of resource requirements is as follows: GEF US\$740,000 and co-financing US\$200,000.

**Part II. INFORMATION ON THE APPLICANT INSTITUTION**

<p><b>17. Name:</b>  HELVETAS (Swiss Association for International Cooperation)</p>	<p><b>18. Date of establishment, membership, and leadership:</b>  HELVETAS Guatemala was established in 1974. At present, HELVETAS has a staff of 10 and the Director is Mr. Ralf Octzel.</p>
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<p><b>19. Mandate/terms of reference:</b>  HELVETAS is a Swiss association working in Guatemala since the early 1970s. HELVETAS implements technical and financial cooperation with the NGO sector, Municipal Governments and grassroots organizations in sustainable agriculture, farmer organization, rural infrastructure, education and culture, management and conservation of natural resources. It also supports initiatives to strengthen Guatemalan civil society at national and regional level. At present, the geographic focus for HELVETAS is in the Region of the Western Plateau, in the Departments of Solola, San Marcos, Totonicapán and Quetzaltenango.</p>	<p><b>20. Sources of revenue:</b>  HELVETAS obtains funds from donations granted by affiliates, friends, Swiss entities, sale of products from southern Guatemala, and a contribution from the Swiss Government.</p>
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<p><b>21. Recent activities/programs, in particular those relevant to the GEF:</b></p> <ul style="list-style-type: none"> <li>• Letter of understanding with CONAP to establish the MRPs.</li> <li>• Agreements with the municipalities of Quetzaltenango, Zunil, Totonicapán and San Martín S. in 1997 to carry out technical studies.</li> <li>• Four areas Quetzaltenango, Zunil, Totonicapán and San Martín Sacatepéquez were declared as MRPs by the respective municipalities. Two MRPs (Totonicapán and San Martín Sacatepéquez) were included under the SIGAP system.</li> </ul>
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- Production of aerial pictures of the project area.
- Maps showing land use, forest cover, topography, slopes, etc. produced.
- Agreements (including operational plans) with the four municipalities of Quetzaltenango, Zunil, Totonicapán and San Martín Sacatepéquez to establish the Department of Protected Areas signed on 1 July 1998.
- In the agroecological field the contribution of Helvetas-ProBosques has been towards increased financing, and strengthening of political and technical capacity of local key actors to manage their natural resources and MRPs as well. HELVETAS has 28 years of experience in Guatemala with projects of agroecology and strengthening of municipal technical units.
- Conducted several studies on gender, alternative economic activities, and land-use analysis with aerial photos.
- Support to spruce tree protection and conservation, nurseries and reforestation campaigns.
- Development of three campaigns to protect the Spruce tree that included public awareness, community participation and coordination with other state institutions.

**Part IV. INFORMATION TO BE COMPLETED BY IMPLEMENTING AGENCY**

**22. Project identification number:** 1458

**23. Implementing Agency contact person:**  
Edgar Pinca, Engineer, UNDP/Guatemala.

**24. Project linkage to Implementing Agency program(s):**  
UNDP-Guatemala is involved in several biodiversity conservation initiatives namely, the Mesoamerican Biological Corridor, the RECOSMO Project, and the National Biodiversity Strategy and Action Plan. This MSP has important links with these initiatives as outlined in Section 7 of this proposal.

**ANNEX 1**  
**MAP OF RECOSMO-PROJECT: WORKING AREAS IN GREEN COLOR**  
**(January 2000)**

**ANNEX 2**  
**TARGET SITES (IN YELLOW)**  
**(January 2000)**

### ANNEX 3

#### Methodology, Lessons and Achievements of the HELVETAS-ProBosques Project

Since 1996, HELVETAS has been implementing the ProBosques project in four municipalities of the Western Plateau (Quetzaltenango, Totonicapán, Zunil and San Martín Sacatepéquez). One of the main thrusts of the HELVETAS-ProBosques project is to get local actors, municipalities and central government to work together in planning and implementing the conservation and sustainable use of local resources. The high level of acceptance and participation levels achieved in the ProBosques experience lies in the formulation of proposals that are consistent with the prevailing socio-cultural context and the traditional relationship between local Mayan culture and the environment, a culture that lays emphasis on respect for the forest. Once municipalities have issued Municipal Accords declaring the Municipal Forests as Protected Areas in the category of Municipal Regional Parks (MRP), HELVETAS mediates the efforts of different local stakeholders to facilitate and coordinate project implementation thus ensuring the active participation of key local actors in conservation activities.

In order to implement participatory decision-making in the conservation and use of local resources, the ProBosques project has set up Resource Management Councils to implement co-management of PAs. Co-management involves forging partnerships among local actors and establishing a new relationship between local stakeholders, local government institutions, and even national government institutions such as CONAP. Co-management is not simply the delegation of management functions of a PA to a local institution but, above all, requires instilling the required skills, capacities, and awareness among the different actors involved. This approach of vesting the responsibility for conservation in local actors can be seen in the conservation of the Pinabete.

In terms of establishing decentralized management the ProBosques project expects the following to occur in the four target municipalities:

- (a) Each municipality includes operational entities integrated into their budgetary and municipal structures that will execute programs included in the Master Plans of each MRP.
- (b) Each municipality works with Resource Management Councils that include representatives of popular organizations, community authorities, municipalities and competent institutions. The main function of these Councils is to obtain approval of Master Plans and working plans of operational entities, and supervise their implementation.
- (c) Encouragement of inter-municipal and inter-institutional cooperation in biodiversity conservation.

An external evaluation of the HELVETAS-ProBosques Project by the Swiss Consulting Firm "CreaConsult GmbH" (July 1999) identified the following major achievements of the first phase of the project:

- Municipal forests in three of the participating municipalities have been declared Municipal Regional Parks (MRPs). CONAP has officially registered these with the SIGAP.
- CONAP declared the Laguna de Chicabal as a cultural monument.
- Technical studies, including baseline inventories on biological diversity, socio-economic assessments of current land-use, social structure, and land tenure, were carried out in all four participating municipalities.
- Master Plans for each region were prepared in consultation with local actors and in agreement with CONAP.
- Aerial photos were taken of the project zone to actualize existing cartographic material.
- Three Departments of Protected Areas were established (one each in the Departments of Quetzaltenango, Zunil and San Martín Sacatepéquez) and a UTM was installed in Totonicapán

based on an assessment of administrative capacities of each municipality conducted jointly with municipal authorities.

- Resource Management Councils were formed in each of the 4 working areas applying participatory methodologies developed by ProBosques and carried out with communities and CONAP.
- Training workshops for park wardens and guides carried out by CONAP.
- Existing nurseries in each area were expanded.
- A total of 160 hectares were reforested.
- *In situ* conservation of endangered species (i.e. the Pinabete, *Abies guatemalensis*) including the development of a national campaign against the illegal use of the Pinabete.
- Design and implementation of four income-generating projects to promote self-sustaining conservation and to cover the recurrent costs of park operations. For example, ecological and cultural tourism projects include tours of colonial churches, Mayan culture, and health baths.
- Design and implementation of four eco-tourism projects.
- Development of cooperation agreements with the regional office of CONAMA, the Spanish Cooperation Agency, the European Union, IBIS of Denmark and IIZ of Austria for the mobilization of technical expertise and bilateral funding.
- International institutions such as CECI (Canada) have also been contacted and have expressed interest in assisting the ProBosques initiative.

HELVETAS proposes to apply the co-management approach and lessons from the ProBosques project in the current project. CONAP has developed a Master Plan for the conservation, protection and regulation of PAs that includes environmental education. The most important lesson of ProBosques in applying and elaborating this Master Plan at the local level is that the Plan must be drafted in accordance with the real capacity of the local managers of PAs, be suited to the needs of local key actors, while working in close coordination with CONAP to facilitate its approval. ProBosques worked on the elaboration of Master Plans for each MRP in consultation with communities living in the buffer zones of MRPs and other stakeholders. ProBosques is planning to complete these Master Plans and begin implementation in 2000.

At present, HELVETAS is the only institution working with municipalities in promoting decentralized municipal forest management in Western Guatemala. As a result of the HELVETAS-ProBosques Project 12 PAs have been declared in the Western Plateau<sup>10</sup>. By building and expanding on the HELVETAS ProBosques achievements and experiences, the proposed MSP would apply the co-management methodology to five additional municipalities thereby extending necessary conservation coverage to unite the volcanic chain of the Sierra Madre. This critical extension will further contribute to the establishment and solidification of this segment of the Mesoamerican Biological Corridor. The strong links that HELVETAS has developed with local actors over the years will ensure that HELVETAS will continue to work with local municipal and community authorities, indigenous and community representatives, and resource users with a stake in the conservation of community and municipal forests in all nine municipalities.

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<sup>10</sup> *Guatemala Los Contrastes del Desarrollo Humano*. 1998. UNDP. Guatemala. Page 106.

# ◀ helvetas Guatemala ▶

## Annex 1

(Enero 2000)



Map of Recosmo-Project (Working areas indicated in green color)

# ◀ helvetas Guatemala ▶

## Annex 2

(Enero 2000)



**Working areas distributed by municipalities (Yellow color: municipalities included in the present GEF-project Proposal)**

RECIBIDO 01 JUL. 1999

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PRESIDENCIA DE LA REPUBLICA  
GUATEMALA, C. A.

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Abril 14 de 1999

Estimado Señor Franklin:

Por este medio la Comisión Nacional del Medio Ambiente apoya a HELVETAS, avalando el trabajo descrito para el Bloque A PDF de Conservación de la Biodiversidad en el plano occidente de Guatemala. Para ser implementado por el GEF a través de PNUD

Por favor considere esta nota de aval actualizada para dicho proyecto, reconfirmando nuestro aval dado con anterioridad; por su vinculación con prioridades nacionales, planes de acción y programas de gran interés para Guatemala.

Agradecemos el apoyo continuado a este tipo de programas de gran valor para la conservación del capital natural de nuestro país.

Sin otro particular, me suscribo atentamente.

  
Dr. - Ing. Adrián Juárez P.  
Coordinador Nacional



Señor  
Lars Franklin  
Representante Residente PNUD  
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c. c.: HELVETAS