

TRANSACTION REPORT

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FACSIMILE TRANSMISSION



United Nations Development Programme
GLOBAL ENVIRONMENT FACILITY (GEF)



To: Mr. Avani Vaish

Date: 23 January 1997

Fax: 202 522 3240

Pages: (11 including this sheet)

From: Eduardo Fuentes
Principal Technical Adviser

Subject: Revised version of Guatemala

MESSAGE:

Please find enclosed the revised version of Guatemala proposal for your comments.
With my best regards;

Eduardo Fuentes

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Eduardo Fuentes

New York, January 23, 1997

To: Mr. Avani Vaish
GEF Secretariat, Washington D.C.
Fax: 1 202 522 3240

From: Dr. Eduardo Fuentes 
UNDP/GEF
Principal technical Adviser for Biodiversity
Fax: 1 212 906 6998

This is to acknowledge receipt of GEFSEC comments for Guatemala. We have carefully reviewed the comments in consultation with the recipient country and the proposal has been revised as appropriate:

1. International experts in the identification of options.

Guatemala has requested the assistance of international experts in the identification of options stage for three activities. The first is to plan and conduct the biodiversity planning instruction session for the project team and members of CONAMA, CONAP, CONADIBIO. This will entail approximately 2 weeks work, (one for travel and preparation and one for running the instruction session). The second is for assisting the project co-ordinator in planning the identification of options workshops to maximise participation of a wide range of stakeholders with different technical expertise and different ethnic origins. This will entail approximately two weeks work. The third refers to the request for the assistance of an international specialist to facilitate the five regional identification of options workshops. The need for such a high level facilitator is related to the fact that the workshops will involve participants from very different professional areas and ethnic backgrounds and will require an expert to bring such a wide range of viewpoints to a coherent product. This will entail approximately four days per workshop including travel time and preparation (total 1.5 MM). The international assistance requested in this stage thus totals approximately 2.0 MM. The request of US\$ 25,000 includes this 2 MM and DSA. The separate allocation refers to the airfares for the international consultants as this may involve three different specialists. Although these resources are proportionate to the activities to be undertaken some budgetary alterations have been made in this area. (see revision).

2. Forestry as a Priority area.

CONADIBIO has identified energy, tourism, agriculture and industry as priority areas to be addressed in the development of the NBS. The selection of these reflects the desire to address the problem of biodiversity conservation and sustainable use as part of sectoral development plans and not as an isolated issue that should fall within the traditional environment sector. This does not mean that deforestation, which is indeed a serious problem has been excluded. To the contrary, there is such a wide acknowledgement that

this presents a critical area that it is being addressed as an overarching priority through the traditional activities of environmentally related institutions. In relation to the NBS development, deforestation will be included under each of the four sectors selected as priority rather than through a separate sector approach.

3. Institutional Structure

At present, environmental issues in general in Guatemala fall under CONAMA which is responsible for defining policy and norms and providing guidance and supervision to institutions implementing activities in the environmental area. CONAP falls under the supervision of CONAMA and is responsible specifically for Protected Areas implementing activities in this area under the guidance of CONAMA. Traditionally biodiversity issues have fallen under the responsibility of CONAP. CONADIBIO has recently been formed as a multi-disciplinary and multi-sectoral steering committee to guide the implementation of the CBD and the development of the NBS and to facilitate the incorporation of biodiversity related issues into sectoral development. There is presently a proposal for institutional changes in the environmental area in Guatemala in which a Ministry of the Environment would be created, effectively absorbing and replacing CONAMA. CONAP would fall under this Ministry if created.

4. NGO Participation

There will be considerable and continuous participation of NGO in the NBS formulation process. Firstly, CONADIBIO, which will provide guidance to the whole process and review and approve the final version of the NBS, has NGOs as members. Secondly, NGOs will form an important part of the participants for the regional workshops for identification of options, in the National Workshop to review the first draft, and in the National meeting for dissemination of the final version. Additionally, NGOs will undertake specific activities in the project where appropriate. The selection of specific NGOs as participants at the different stages of the process will be undertaken at the start up of the project with the project co-ordinator, CONAP and CONADIBIO.

5. The Peace Agreement

The full peace agreement, to be signed on December 29th, has been built on a series of agreements in different areas in which members from a wide range of public and private sectors have reached agreement on lines of actions and goals to be reached in the future. The agreement that deals with issues relevant to the NBS is titled "Socio-economic Aspects and the Agrarian Situation". This agreement covers issues such as environmental protection and resource use and conservation, outlining approaches and targets that the country should follow. Within this document, the sections on access to land and productive resources, environmental protection, and decentralisation include issues that relate to biodiversity conservation and use. The agreement thus represents a validated starting point, outlining goals for the future, and the NBS and Action Plan a means of achieving them.

The project text and budget have been revised to reflect these and the other comments made by the GEF. Requested funds now stand at US\$ 214,700.

GLOBAL ENVIRONMENT FACILITY

Country:	Guatemala
Project Title:	National Biodiversity Strategy and Action Plan
GEF Focal Area:	Biodiversity
Country Eligibility:	Convention Ratified 10 July 1995
GEF Financing:	US \$214,700
Government Contribution:	in kind
GEF Implementing Agency:	UNDP
National Executing Agency:	National Environmental Commission (CONAMA)
GEF Operational Focal Point:	none designated
CBD Focal Point:	National Commission for Protected Areas (CONAP) and National Biodiversity Committee (CONADIBIO)
Estimated Starting Date:	February 1997
Duration of Project:	10 months

1. Background

The Republic of Guatemala is located between Mexico, Honduras, Belize and El Salvador and borders both the Caribbean and the Pacific Ocean. An estimated 10.6 million people with a per capita GNP US\$ 1,100, live within this country's 108,889 km². Guatemala comprises 14 life zones according to Holdridge, which include dry, humid and very humid montane forests, lowland forests, swamps and coastal plains, and constitute extraordinary ecological gradients supporting a broad variety of species of flora and fauna. Over 8,000 species of plants, of which 1,171 are deemed endemic, include 527 species of orchids, of which 57 are endemic, and many important staple crops such as corn (*Zea*), chiles (*Capsicum*), tomatoes (*Physalis*), cotton (*Gossypium*), avocados (*Persea*), papayas (*Carica*), cacao (*Theobroma*), guisquiles (*Sechium*) and pines (*Pinus*) that originated in this northern part of Mesoamerica. The country is also the most vertebrate species rich in Central America, with at least 1,453 species of vertebrates (250 mammals, 664 birds, 231 reptiles, 88 amphibians, and 220 fresh water fish species), 50 of which are endemic.

Foreign exchange earnings are derived primarily from agricultural exports (coffee, sugar, bananas, meat, cardamom and cotton), although in the last few years, non-traditional exports have grown and tourism has become the third largest generator of foreign exchange. Conversion of natural habitats for this agriculture, and unsustainable migrant farming, together with colonization, cattle ranching, contamination of water, and wildlife poaching, has caused substantial losses in forest cover and biodiversity has been seriously effected. Although 53.4% of the country is covered by forests (c.1993) this represents a 17.4% change in forest cover since 1981-1983. Estimates indicate that 50% of annual logging of closed broad leaf forests between 1981-1990 took place in primary forest.

The new Government of Guatemala (GoG) took office in January 1996 and, aware of this increasing loss, is committed to promoting the conservation and sustainable use of the country's biodiversity. Following ratification of the Biodiversity Convention 10 July 1995, the newly elected GoG is looking for a strategy and action plan for the implementation of the convention and the incorporation of biodiversity issues into national development plans and sector policies. This will be undertaken through

the intermediary of the multi--sectoral National Environmental Commission (CONAMA), the National Commission for Protected Areas (CONAP) and the recently established National Biodiversity Committee (CONADIBIO). It is also aiming to decentralize its administration and, subsequently, render its decision-making mechanism more participatory through the creation of several CONAMA and CONAP regional offices.

Although a range of biodiversity information exists for Guatemala, it is dispersed amongst various institutions and organizations and the data is often outdated with respect to forest cover and critical biodiversity areas. Due to the 35 year-long armed conflict, several regions of Guatemala, particularly the western border, have been off-limits to scientists. There is consequently a lack of data and information on biodiversity resources in these areas which can now be addressed in the light of the pending signing of the final peace agreement. Furthermore, the considerable indigenous knowledge of biodiversity management and use that exists in the 22 distinct ethnic groups present in Guatemala, has yet to be incorporated into a national biodiversity or environmental strategy and action plan, primarily due to the armed conflict and the centralized nature of decision-making.

A national study on protected areas and potential biological corridors was recently undertaken as part of a GEF regional preparatory assistance initiative for Central America ("Mesoamerican Biological Corridors"). National action plans for forests (1991) and for the environment (1994) exist although the latter has not yet been implemented. A biodiversity strategy and action plan would strongly complement existing sector initiatives by linking known information and identifying gaps. The strategy will provide a coherent path for the GoG to follow with regards to biodiversity conservation and use, and particularly with respect to recent moves to decentralize environmental and protected area management activities. Additionally, it will provide an effective mechanism for fulfilling the recently signed agreement "Socioeconomic Aspects and the Agrarian Situation" that covers issues related to biodiversity conservation and use (sections "Access to land and productive resources", "Environmental Protection", and Decentralization) and that forms part of the basis for the final peace agreement to be signed in December 1996.

2. Project Objective and Description

The immediate objective of the project is to help Guatemala define strategic approaches, priority actions and implementation mechanisms in a participatory manner to conserve and sustainable use its biodiversity in the context of economic and human development and new peace agreements. The biodiversity strategy and action plan (BSAP) will provide a practical and coherent guide towards implementing recommendations of the CBD and identifying concrete response measures to biodiversity loss which can be further developed with national and/or international funds.

A project coordinator and multi-disciplinary team will undertake an assessment of the existing information on a series of biodiversity related issues (see Activity Matrix) in close coordination with related on-going initiatives. Emphasis will be placed on a regional compilation of existing knowledge taking into account indigenous knowledge of biodiversity management and use, and focusing on four key areas recently identified by the CONADIBIO as priority: energy, tourism, agriculture, and industry. Deforestation, as a major issue, will be included under each of these areas. This compilation will be

incorporated into existing GIS systems in CONAMA and SEGEPLAN (General Secretariat for Economic Planning) to facilitate the identification of gaps. Once identified these gaps will be confirmed, and options to close them identified, in five regional workshops, with a the participation of a broad range of stakeholders, organized to cover the country's main eco-regions. These regions will correspond to those recently defined in the WWF-World Bank Conservation Assessment of the Terrestrial Ecosystems of Latin America and the Caribbean and are: (i) Peten (*Humid broadleaf tropical forest*); (ii) Central-east (covering the Caribbean coastal area, the *dry spiny forest* and RECOSMO project area); (iii) Central-west (*tropical and sub-tropical coniferous forests* and including the highlands, the Cuchumanteous mountains and the volcano range); (iv) South Central (*dry tropical broadleaf forests*); and (v) the Pacific Coast (*mangrove forest ecosystems*).

Findings from the regional workshops will be collated, by the project team, into a first draft BSAP with regional components that reflect the different needs and options of the major eco-regions as well as the various indigenous groups within them. A national workshop with participation of public and private stakeholders from the thematic sectors of energy and mines, tourism, finance, agriculture and cattle, fisheries, industry, forestry, and transport, will be held to review the draft strategy and proposed regional components and to make any necessary adjustments to ensure these follow national guidelines. The final strategy will incorporate the findings of this seminar and will be reviewed and approved by the CONADIBIO, CONAP and CONAMA before being made public in a national meeting. The First Report to the Conference of Parties will be prepared by consultants, following the guidance provided by the CoP in November 1995.

3. Operational Criteria

Coverage Without Duplication: This initiative supports and complements the national forestry action plan and the national environmental action plan, by providing coherent guidance to CONAP in the conservation and sustainable use of biodiversity in protected areas and buffer zones respectively. It will built on the results of past initiatives and will be undertaken in close coordination with related current activities, and those pending approval. These are summarized in Standard Activity Matrix - Annex 1. In view of this no duplication is envisaged.

Time Plan and Sequencing: The project will follow the sequence recommended in the WRI/IUCN/UNEP Guidelines. Activities will be carried out according to the following time table:

Activity/Month	1	2	3	4	5	6	7	8	9	10
Biodiversity planning instruction workshop, detailing of workplan and definition of TORs for project coordinator and consultants.	X	X								
Regional assessment of existing information consultants		X	X	X						
Regional analysis and assessment of options				X	X					
Prep. of regional strategies and action plans in draft BSAP						X	X			
National Seminar to adjust draft BSAP to national policies								X		
Preparation of final BSAP								X	X	
National Meeting to disseminate BSAP										X
Preparation of final report to the CBD									X	X

Best Practice: The methodology for the implementation of the project will be based on the "Guidelines for Country Study on Biological Diversity (UNEP 1993), the "Guide to the Convention on

Biological Diversity" (IUCN 1994), and the "Guidelines for Preparing National Biodiversity Strategies and Action Plans" (WRI/IUCN/UNEP 1995). Final approval of the BSAP will be sought from the CONAMA to ensure that it is integrated into sector development. It will support the implementation of the peace agreements recently signed by the GoG, and the National Revolutionary Unit of Guatemala (URNG) by providing specific information and guidelines on the use and conservation of the country's biodiversity. The process will be country-driven under the guidance of the National Biodiversity Committee (CONADIBIO), and will be conducted in a multi-disciplinary and multisectoral manner. National capacities will be strengthened through the hiring of national consultants and their subsequent teamwork with international experts, particularly with regards to planning activities.

Deviations from Criteria and Norms: None

4. Institutional Framework and Project Implementation

Environmental issues in Guatemala fall under the responsibility of the National Environmental Commission (CONAMA), located under the Presidential Cabinet. CONAMA will appoint a Project Coordinator who will manage a multi-disciplinary team of national and international consultants under the supervision of the National Commission for Protected Areas (CONAP) and the guidance of the recently formed National Biodiversity Committee (CONADIBIO). This Commission will act as inter-sector steering committee assuring the full participation of all stakeholders the process and facilitating the incorporation of the final NBS into national and sectoral development planning. Members of CONAMA, CONAP, CONADIBIO, together with the Project Co-ordinator and national team of consultants, will take part in a biodiversity-planning instruction workshop and project planning meeting at the start up of the project to become more familiar with the procedures outlined in the guidelines prepared by WRI, IUCN and UNEP (1995), and to facilitate the detailing of the work schedule.

TORs for national and international consultants will be defined by CONAP and CONADIBIO and approved by CONAMA and UNDP. International technical expertise will be required in the form of a planning specialist, a protected areas/biodiversity expert and a facilitator or participation specialist to ensure the full participation of representatives from different ethnic and linguistic backgrounds and diverse stakeholders.

The execution of the project will be subject to a terminal tri-partite review (TPR) according to UNDP rules and procedures. An external review of the project is suggested after the detailed workplan is defined. CONADIBIO, under the aegis of CONAMA, will be responsible for monitoring the project on a continuous basis. The project coordinator will assist the CONADIBIO in this task through the preparation of periodic reports, as agreed to during the formulation of the workplan.

5. Project Financing (in US\$)

	Product	Process	Total
<i>Stocktaking and Inventory of Existing Information</i>	20,500		20,500
1. National Consultants (9 MM)	18,000		
3. Documentation, travel and miscellaneous	2,500		
<i>Identification and Analysis of Options</i>	42,500	54,000	96,500
1. Biodiversity planning instruction workshop		6,000	
2. International Consultants for biodiversity planning instruction, for advice and guidance for options identification and for facilitating regional workshops	16,000	5,000	
3. National Consultant for regional documents (5) 7.5PM and 2.5 PM for national counterpart facilitators	20,000	3,000	
4. Regional workshops for identification of options (5)		40,000	
5. Travel (international experts)	4,000		
6. Misc (specific needs for ethnic group participation.)	2,500		
<i>Preparation of a Strategy and Action Plan (BSAP)</i>	58,000	14,500	72,500
1. First draft of BSAP (National consultants 12 PM)	20,000		
2. Printing and dissemination	2,000	1,000	
3. National Workshop to review first draft		5,500	
4. International Consultants for first and final drafts	18,000		
5. Final version of Strategy and Action Plan (National consultants 4PM), editing and printing)	14,000		
6. National meeting for dissemination of final version		8,000	
7. Travel (international experts)	2,000		
8. Miscellaneous (materials, communications etc.)	2,000		
<i>First National Report</i>	8,000	2,000	10,000
1. National Consultants	4,000		
2. Publication, translation and promotion	4,000	2,000	
<i>Co-ordination and Management</i>	15,200		15,200
TOTAL	144,200	70,500	214,700

STANDARD ACTIVITY MATRIX

ENABLING ACTIVITY	OUTPUT	CAPACITY BUILDING		PUBLIC PARTICIPATION	COMMENTS
Commitment	Execution	Institutional Strengthening	Training		
<i>1. Stocktaking and Assessment, based on Existing Information</i>					
1.1. Biodiversity and biological resources	Var / X				1
1.2. Cross-sector Issues	X				2
1.3. Policy and Regulatory Framework	X				3
1.4. Institutional and Human Capacity	X				
1.5. Analysis of root causes of BD loss	BS / X				4
1.6. Technologies for Conservation and SU	X				
1.7. Activities with Adverse Impact	X				
1.8. Existing Measures and Programmes	X				5
1.9. Preliminary Statement of Objectives	EAP /NBC/ X				6
1.10. Identification of Gaps	X				
1.11. Assessment of Existing Needs	X				
<i>2. Identification and Analysis of options to Meet the Objectives of the CBD</i>					
2.1. Strategies for Conservation in situ,ex situ	X	X	X	X	7,8,9
2.2. Strategies for Sustainable Use	X	X	X	X	7,8,9
2.3. Strategies for Benefit Sharing	X	X	X	X	7,8,9
<i>3. Planning and Preparation of a Strategy and Plan</i>					
3.1. National Strategy	X			X	9, 10
3.2. National Action Plan	X			X	9, 10
<i>4. Preparation of First National Report to CBD</i>					
4.1. First National Report	X				

X = Activity Undertaken Within Enabling Activities Proposal; Var = Various on-going projects that cover specific regions see footnote 1; BS = USAID funded Biodiversity Survey (1988) undertaken by CI/ WRI/CECON
 EAP = Environmental Action Plan 1995; NBC =National Biodiversity Congress 1995

Footnotes to the Activity Matrix

1. *Although a range of information exists on biological resources* it is scattered in different institutions, relates to specific areas or needs to be reviewed in the light of the CBD. This project will collate existing information from a range of institutions, organizations (including NGO such as Defensores de la Naturaleza and the Fundación para el Eco-Desarrollo) and universities and compile it on a regional basis using the five eco-regions defined in a recent World Bank/WWF assessment. Specific sources to be reviewed will include the USAID funded 1988 Biodiversity Survey Report (CI/CECON/WRI), the GEF Regional Preparatory Assistance Project for the Mesoamerican Biological Corridors, the Proceedings of the National Biodiversity Congress and the USAID projects MAYARE (Patén region) as well as that to be produced through the national components of the USAID funded regional programme PROARCA/CAPAS-COSTAS, GEF funded regional programme "Mesoamerican Biological Corridors; and the GEF-funded "Conservation of Biological Resources in the Satsún/Motagua Region" (RECOSMO) which is pending approval.

2. *A National Forestry Action Plan and National Environmental Action Plan* exist, however these do not specifically address biodiversity issues or the cross-sectoral dimension that the implementation of the CBD will require. A multi-sector National Biodiversity Committee has recently been set up and includes

SEGEPLAN, FIDEICOMISO, IUCN, CONAMA, CONAP, NGOs, Universities, USAID and UNDP, however it is still to undertake an analysis of cross-sector issues. This project will provide such an analysis.

3. *CONAP is legally responsible for the country's biodiversity* according to Article 5 and 62 of the law 4-89. National policies for protected areas exist as approved by CONAP on the 3 and 4th of June 1996. The Government Plan 1996-2000 and the laws 4-89, 70-89, and 68-86 provide further policy and legal guidance, however it is necessary to undertake a review of the full range of sector policies that relate and impinge on biodiversity in order to fully evaluate the regulatory framework and identify gaps.

4. *The USAID funded Biodiversity Survey (1988)*, undertaken by CI/CECON/WRI includes an overview of root causes of biodiversity loss. Findings need to be reviewed in the light of the CBD and to include the issues of changes in land and soil use, rural poverty, appropriate technologies and incentives for the sustainable use of biodiversity.

5. *Many of the on-going projects* are already known especially large scale, internationally funded ones, however it will be necessary to complete this review to include smaller NGO projects and those in universities.

6. *The National Environmental Action Plan (1994)* will provide some preliminary objectives as will the proceedings from the National Biodiversity Congress (1995). These will be reviewed by the recently formed CONADIBIO.

7. *Members of CONAMA, CONAP, CONADIBIO*, the Project Co-ordinator and national team of consultants will take part in a biodiversity-planning instruction workshop and project planning meeting at the start up of the project, run with the assistance of an international expert. This will permit the different members to become more familiar with the procedures outlined in the guidelines prepared by WRI, IUCN and UNEP (1995), and establish a more uniform level of understanding and the careful detailing of the work schedule and consultations to be held throughout the process.

8. *Five regional workshops* will be held to review the findings of the stocktaking exercise, confirm gaps identified and to define regional options and strategies for CBD implementation in the country. These workshops will count with the participation of a broad range of stakeholders from public and private sectors, including local governments, NGOs and ethnic groups. In order to ensure participation of this latter group, specialised facilitators will be required to run the workshop and it is expected that some preparation of additional material may be necessary to appropriately address the wide cultural and linguistic diversity present. Whilst emphasising on the specific characteristics of each eco-region, the workshops will also focus on the impact and benefits of biodiversity with respect to four sectors identified by CONADIBIO as priority. These are energy, tourism, agriculture, and industry.

9. *A range of stakeholders* from the public and private sector will have strengthened capacities for the management of biodiversity related issues and heightened awareness to CBD implementation, indirectly through participation in the regional and national workshops, national meeting, and directly through the biodiversity-planning training.

10. *A national meeting* will be held with a range of stakeholders to disseminate and discuss the final BSAP



MISION PERMANENTE DE GUATEMALA
ANTE LAS NACIONES UNIDAS

New York January 23, 1997

OE/16/81

Dear Mr. Asenjo:

We would hereby wish to submit our proposal entitled Guatemala: National Biodiversity Strategy and Action Plan for your consideration for GEF funding. This document has been forwarded by the GEF Operative Focal Point in Guatemala Mr. Juan Francisco Asturias, National Coordinator of CONAMA and it is the result of consultations with CANADIBIO, CONAP, and UNDP Guatemala as well as with the GEF Regional Coordinator for Latin America and the Caribbean in UNDP.

This project has been formulated following the guidelines published by the GEF Secretariat for the elaboration of Enabling Activities for Biodiversity and request the current needs and priority actions of the country in this area.

The Government of Guatemala would be grateful for your kind attention to this request and your support for this timely initiative.

In thanking for your cooperation, we remain

Sincerely yours,

Julio Armando Martini Herrera
Ambassador Extraordinary and Plenipotentiary
Permanent Representative of Guatemala
to the United Nations.

Mr. Rafael Asenjo
GEF Executive Coordinator
United Nations Development Programme
New York, N.Y. 10017