

**CI-GEF PROJECT AGENCY**

# **GEF Project Document**

## **Conservation and Sustainable Use of Biological Diversity in Priority Landscapes of Oaxaca and Chiapas**

**Mexico**

**December, 2017**

PROJECT INFORMATION			
<b>PROJECT TITLE:</b>	Conservation and sustainable use of biological diversity in priority landscapes of Oaxaca and Chiapas.		
<b>PROJECT OBJECTIVE:</b>	Strengthen the conservation of globally significant biodiversity in the National System of Protected Areas and corridors, through integrated management of culturally diverse coastal and terrestrial landscapes of Oaxaca and Chiapas, Mexico.		
<b>PROJECT OUTCOMES:</b>	<p>Component 1 outcome 1: Integrated management of three priority landscapes for biodiversity conservation is substantially strengthened through land-use planning and the expansion and management of protected areas.</p> <p>Component 1 outcome 2: Expansion of protected areas with globally significant biodiversity created.</p> <p>Component 1 outcome 3: Governance in the three priority landscapes with multi-stakeholder and multi-sector participation improved.</p> <p>Component 2 outcome 1: The area of sustainable agricultural, fishery, aquaculture, forestry and tourism production is substantially increased through best practices and a market-driven value chain approach for biodiversity conservation.</p> <p>Component 2 outcome 2: Increased income of members of Producer Organizations (PO) that have adopted sustainable production practices with a market-driven value chain approach.</p> <p>Component 3 outcome: Access to investments from public and private programs oriented ILM and SPP substantially increased.</p>		
<b>COUNTRY(IES):</b>	Mexico	<b>GEF ID:</b>	9445
<b>GEF AGENCY(IES):</b>	Conservation International	<b>CI CONTRACT ID:</b>	
<b>OTHER EXECUTING PARTNERS:</b>	National Commission of Natural Protected Areas (CONANP) and Conservation International Mexico, A.C. (CI Mexico)	<b>DURATION IN MONTHS:</b>	60
<b>GEF FOCAL AREA(S):</b>	Biodiversity	<b>START DATE (mm/yyyy):</b>	01/2018
<b>INTEGRATED APPROACH PILOT:</b>	N/A	<b>END DATE (mm/yyyy):</b>	12/2022
<b>NAME OF PARENT PROGRAM:</b>	N/A	<b>PRODOC SUBMISSION DATE:</b>	11/01/2017
<b>RE-SUBMISSION DATE(S):</b>			

FUNDING SOURCE	AMOUNT (USD)
<b>GEF PROJECT FUNDING:</b>	7,219,450
<b>PPG FUNDING:</b>	130,800
<b>TOTAL GEF GRANT:</b>	7,350,250
<b>CO-FINANCING 1: CONAMP</b>	9,700,000
<b>CO-FINANCING 2: CI</b>	1,000,000
<b>CO-FINANCING 3: FUNDACION ADO</b>	1,114,845
<b>CO-FINANCING 4: COOPERATIVA AMBIO S.C. DE R.L</b>	413,119
<b>CO-FINANCING 5: CIDIR OAXACA, INSTITUTO POLITECNICO NACIONAL</b>	714,089
<b>CO-FINANCING 6: COSTA SELVAJE</b>	729,405
<b>CO-FINANCING 7: FONDO DE CONSERVACION EL TRIUNFO</b>	2,247,191
<b>CO-FINANCING 8: PRONATURA</b>	600,000
<b>CO-FINANCING 9: UNION COMUNIDADES INDIGENAS - ISTMO</b>	68,900
<b>CO-FINANCING 10: SEMAEDESO OAXACA, SECRETARIA DEL MEDIO AMBIENTE</b>	434,931

<b>CO-FINANCING 11: ALSEA</b>	500,000
<b>CO-FINANCING 12: DANONE</b>	703,515
<b>CO-FINANCING 13: SAGARPA</b>	26,800,000
<b>CO-FINANCING 14: SEMAHN, SECRETARIA DEL MEDIO AMBIENTE E HISTORIA NATURAL</b>	2,430,971
<b>TOTAL CO-FINANCING :</b>	47,456,966
<b>TOTAL PROJECT COST:</b>	54,807,216

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## ACRONYMS & ABBREVIATIONS

<b>ADVC</b>	Areas Designated for Voluntary Conservation
<b>APRN</b>	Área de Protección de Recursos Naturales (Natural Resource Protection Area)
<b>AZE</b>	Alliance for Zero Extinction
<b>BAU</b>	Business-as-usual
<b>BCS</b>	Biodiversity Conservation System
<b>BD</b>	Biological Diversity
<b>CBD</b>	Convention on Biological Diversity
<b>CI</b>	Conservation International
<b>CDI</b>	Comisión Nacional para el Desarrollo de los Pueblos Indígenas (National Commission for the Development of the Indigenous Peoples)
<b>CIIDIR</b>	Centro Interdisciplinario de Investigación para el Desarrollo Integral Regional Unidad Oaxaca (Interdisciplinary Research Center for Integral Regional Development - Unit Oaxaca)
<b>CONABIO</b>	Comisión Nacional para el Conocimiento y Uso de la Biodiversidad (National Commission for the Knowledge and Use of Biodiversity)
<b>CONADEPI</b>	National Commission for Indigenous Peoples Sustainable Development (National Commission for Indigenous Peoples Development)
<b>CONAFOR</b>	Comisión Nacional Forestal (National Forest Commission)
<b>CONAGUA</b>	Comisión Nacional del Agua (National Water Commission)
<b>CONANP</b>	Comisión Nacional de Áreas Naturales Protegidas (National Commission of Natural Protected Areas)
<b>CONAPESCA</b>	Comisión Nacional de Acuacultura y Pesca (National Commission of Aquaculture and Fisheries)
<b>CONEVAL</b>	Consejo Nacional de Evaluación de la Política de Desarrollo Social (National Council for the Evaluation of Social Development Policy)
<b>COPLADER</b>	Comité de Planeación para el Desarrollo Regional, Chiapas (Planning Commission for Regional Development, Chiapas)
<b>CPTM</b>	Consejo de Promoción Turística de México (Tourism promotion council of Mexico)
<b>CR</b>	Critical Endangered (The IUCN Red List Categories and Criteria)
<b>DOF</b>	Diario Oficial de la Federación (Official Gazette of the Federation)
<b>EN</b>	Endangered (The IUCN Red List Categories and Criteria)
<b>ENBIO</b>	Estrategia Nacional sobre la Biodiversidad de México (National Strategy on Biodiversity of Mexico)
<b>EPJ</b>	Estudio Previo Justificativo (Previous justificatory study)

<b>ESMF</b>	Environmental and Social Management Framework
<b>FAO</b>	Food and Agriculture Organization of the United Nations
<b>FINDECA</b>	Financiando el Desarrollo del Campo, S.A de C.V. SOFOM ENR
<b>FPIC</b>	Free, Prior and Informed Consent
<b>GEF</b>	Global Environment Facility
<b>GIAT</b>	Grupo intercomunitario de acción territorial (Intercommunity Group for Territorial Action)
<b>ha</b>	Hectares
<b>IBA</b>	Important Bird Area
<b>ILM</b>	Integrated landscape management
<b>INEGI</b>	Instituto Nacional de Estadística y Geografía (National Institute of Statistics and Geography)
<b>IPS</b>	Índice de Sustentabilidad de los Proyectos (Index of Project Sustainability)
<b>IUCN</b>	International Union for the Conservation of Nature
<b>KBAs</b>	Key biodiversity areas
<b>masl</b>	Meters above sea level
<b>M&amp;E</b>	Monitoreo y Evaluación (Monitoring and Evaluation)
<b>METT</b>	Management Effectiveness Tracking Tool
<b>mm</b>	Millimeters
<b>M/W</b>	Men / Women
<b>NBSAP</b>	National Biodiversity Strategy and Action Plan
<b>NBS</b>	National Business Strategy of CONANP
<b>NGO</b>	Non-Governmental Organization
<b>NOM</b>	Norma Oficial Mexicana (Mexican Official Norm)
<b>NT</b>	Near threatened (The IUCN Red List Categories and Criteria)
<b>OHI</b>	Ocean Health Index
<b>PAs</b>	Protected natural areas
<b>PECC</b>	Programa Especial de Cambio Climático 2014 - 2018
<b>PIR</b>	Annual Project Implementation Report
<b>PIS</b>	Primary intervention sites
<b>PMC</b>	Project Management Cost
<b>PMU</b>	Project Management Unit
<b>PPG</b>	Project Preparation Grant



<b>PSI</b>	Project Sustainability Index of CONANP
<b>PSCOCh</b>	Pacific South Coast of Oaxaca and Chiapas
<b>PRCs</b>	Priority Regional Corridors
<b>ProDoc</b>	Project Document
<b>PRODODES</b>	Conservation Programme for Sustainable Development (Programa de Conservación para el Desarrollo Sostenible)
<b>PROFEPA</b>	Procuraduría Federal de Protección al Ambiente (Federal Authority for Environmental Protection)
<b>PO</b>	Producer Organisations (cooperatives, associations, family businesses, enterprises, other)
<b>RPC</b>	Priority Region for Conservation (Región Prioritaria para la Conservación)
<b>SAGARPA</b>	Secretaría de Agricultura, Ganadería, Desarrollo Rural, Pesca y Alimentación (Secretariat of Agriculture, Livestock, Rural Development, Fisheries and Food)
<b>SC</b>	Steering Committee
<b>SE</b>	Secretaría de Economía (Secretariat of Economy)
<b>SECAM</b>	Secretaría de Campo (Chiapas Agriculture and Field Secretariat)
<b>SECTUR</b>	Secretaría de Turismo (Secretariat of Tourism)
<b>SEDAPA</b>	Secretaría de Desarrollo Agropecuario, Pesca y Acuacultura (Ministry of Agricultural Development, Fisheries and Forestry of Oaxaca)
<b>SEMAEDES</b>	Secretaría del Medio Ambiente, Energías y Desarrollo Sustentable (Secretariat of Environment, Energy and Sustainable Development of Oaxaca)
<b>SEMAHN</b>	Secretaría del Medio Ambiente e Historia Natural (Secretariat of Environment and Natural History of Chiapas)
<b>SEMARNAT</b>	Secretaría de Medio Ambiente y Recursos Naturales (Secretariat of Environment and Natural Resources)
<b>SEPESCA</b>	Secretaría de Pesca (Fishing Ministry of Chiapas)
<b>SINAP</b>	Sistema Nacional de Áreas Protegidas (Mexico's System of Protected Natural Areas)
<b>SMCh</b>	Sierra Madre of Chiapas
<b>SPP</b>	Sustainable production practices
<b>SSB</b>	Sustainable Social Business Strategy of CONANP
<b>SSIO</b>	Sierra Sur and Isthmus of Oaxaca
<b>USD</b>	US-Dollar
<b>VU</b>	Vulnerable (The IUCN Red List Categories and Criteria)

## GLOSSARY OF TERMS

<b>Theory of change</b>	The explanation of how to move from a state (A) to a desired state (B), demonstrating how our action will affect the factors that determine state A to modify it and generate new conditions that result in state B. Bearing in mind that state A is characterized by both the global environmental problems and their root causes, as well as by the barriers to effective conservation management.
<b>Extreme poverty</b>	A person is considered to live in extreme poverty when both, has three or more deficiencies of a total of six of the Social Deprivation Index and has the minimum levels of well-being. People in extreme poverty have such a low income that, even if they spend the total in food, they will not be able to acquire the nutrients needed to lead a healthy life (Coneval).
<b>Globally significant biodiversity</b>	Species recorded in any level of threat in IUCN's Red Data Book.
<b>Green infrastructure</b>	Green Infrastructure (GI) is made up of a wide range of different environmental features which can operate at different scales, from small linear features such as fish ladders or green roofs to entire functional ecosystems, to intact floodplain forests, peatlands or free-flowing rivers. Each one of these elements can contribute to GI in urban, peri-urban and rural areas, inside and outside protected areas.
<b>Integrated Landscape Management</b>	A way of managing a landscape that brings together multiple stakeholders, who collaborate to integrate policy and practice for their different land use objectives, with the purpose of achieving sustainable landscapes.
<b>Long value chain</b>	When the sequence of processes involves the interaction of several actors before reaching the final consumer.
<b>Market driven</b>	With market driven, we mean that it is the market itself that helps us to define how to organize such a value chain. This will avoid the promotion of productive practices or products that will hardly have the possibility of being linked to markets (any market, local, regional, national) during the life of the project and later.
<b>Minimum well-being line</b>	Allows identifying the population that, even when spending all their income on food, will not have good nutrition.
<b>Popales</b>	Freshwater wetlands dominated by emergent herbaceous plants.
<b>PO</b>	Producer Organizations
<b>Relative poverty</b>	Difference between the population in poverty and extreme poverty.
<b>Short value chain</b>	When the sequence of processes in the value chain includes few actors.
<b>Value chains</b>	Series of activities that create and build value at every step between inputs and final consumption, organized around the actors that develop the various links of the chain. This broad concept allows illustrating the external context and the interactions of different actors to bring a product to the final consumer
<b>Vulnerability per</b>	The population that does not show social deprivation and whose income is less

<b>income</b>	than or equal to minimum levels of well-being (Official Gazette of the Federation).
<b>Vulnerable groups</b>	Vulnerable groups are defined as those experiencing at least two situations of marginalization or exclusion (Hall <i>et al.</i> 2015).
<b>Well-being line</b>	It allows identifying the population that does not have sufficient resources to acquire the goods and services required to meet their needs.

**CI-GEF PROJECT AGENCY**  
**Conservation and Sustainable Use of Biological Diversity in**  
**Priority Landscapes of Oaxaca and Chiapas**

**PROJECT DOCUMENT**

**SECTION 1: PROJECT SUMMARY**

1. After more than three decades of biodiversity conservation in Mexico, particularly through protected natural areas (PAs), important achievements can be stated while still acknowledging that the coverage and management effectiveness of these schemes are not sufficient. Now we know better how efforts should be focused to achieve the desired conservation levels. Specifically, more emphasis should be put on harnessing market forces to help improve self-reliance and quality of life of inhabitants that live within or nearby biodiversity hotspots while at the same time conserving the natural heritage. This is particularly important as most of the PAs in Mexico remain under communal land ownership.
2. To address such insights on achievements and shortcomings, this project aims to **strengthen the conservation of globally significant biodiversity in the National System of Protected Areas and corridors, through integrated management of culturally diverse coastal and terrestrial landscapes of Oaxaca and Chiapas, Mexico.**
3. This **project's objective** is consistent with the GEF-6 Biodiversity Focal area, contributing specifically to Objective 1 (BD1: Improve Sustainability of Protected Area Systems) and Objective 4 (BD4: Mainstream biodiversity conservation and sustainable use into production landscapes and seascapes and production sectors).
4. The proposed project intends to establish a difference with what has been done until now in terms of globally significant or threatened<sup>1</sup> biodiversity conservation in Mexico, by integrating the economic perspective into landscape management. Complementing conventional PAs management, a focus will be laid on production landscapes and their market associations particularly in the corridors linking PAs.
5. This way, the integrated landscape management approach involves collaboration among multiple stakeholders with the purpose of achieving sustainable landscapes in which biodiversity is conserved, sustainable land use practices are promoted, and social and economic conditions of local communities are enhanced.
6. The southeastern states of Oaxaca and Chiapas are in a favorable position to adopt a conservation strategy in priority landscapes that would be agreed upon by the main actors in the region. The proposed landscape approach is a particular challenge given current legal and public policy frameworks that up to now have failed to coordinate work plans and strategies between the three levels of government.
7. Fortunately, there is a recent increase in local social participation for reorienting such public policies, and the National Commission of Natural Protected Areas (CONANP, by its acronym in Spanish) is currently developing a new approach to work at the landscape level in PAs and connecting areas (SEMARNAT, 2017)<sup>2</sup>. This project will serve as a demonstration model to inform the design, scaling-up and replication of similar approaches in other regions of the country.
8. The selected region to implement the project is composed of three priority landscapes in Oaxaca and Chiapas: The Sierra Madre of Chiapas, the Sierra Sur and Isthmus of Oaxaca and the Pacific South Coast of Oaxaca and Chiapas.

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<sup>1</sup> "Threatened" according to the International Union for the Conservation of Nature—Red List of Threatened Species, as well as according to Mexican Law, NOM-059-SEMARNAT-2010. See [www.iucnredlist.org](http://www.iucnredlist.org)

<sup>2</sup> SEMARNAT, CONABIO, CONAFOR y CONANP, 2017. Visión Nacional de Manejo Integrado del Paisaje y Conectividad, Secretaría de Medio Ambiente y Recursos Naturales, México.

9. The three landscapes were selected by having in common priority sites for conservation and/or forming critical biological corridors. However, they also present significant environmental, socio-cultural, economic and institutional differences. Thus, the project intends to implement an integrated landscape management approach considering differentiated potentials and particular challenges of each landscape.
10. The focus will be on sixteen primary intervention sites (PIS) where immediate conservation actions are needed due to their regional, national and international biological and cultural importance. The project will also address priority conservation actions for fifteen globally significant species as classified by the International Union for Conservation of Nature (IUCN) under the status of either critical, endangered or vulnerable (EN, VU and CR).
11. The overall objective of the project will be achieved through three components that are interdependent and only have a meaning as part of an integrated landscape management approach where components are run simultaneously and in an articulated manner:
  - **Component 1:** Integrated management of three priority landscapes for strengthening biodiversity conservation through land-use planning and the expansion and management of protected areas.
  - **Component 2:** Mainstreaming models of sustainable production with market-driven value chain approach in agriculture, fishing, aquaculture, forest and tourism activities, as a pillar of integrated management of the three priority landscapes.
  - **Component 3:** Increasing financial sustainability in the integrated management of the three priority landscapes.
12. The project outcomes are expected to contribute to:
  - Strengthen the Mexican System of Protected Areas of Oaxaca and Chiapas by addressing integral management of priority landscapes through land-use planning.
  - Promote and/or strengthen good governance through key stakeholder participation. Build capacity of key local stakeholders particularly women, indigenous communities and other vulnerable populations and including local peoples and governmental institutions, for better decision-making in the use of natural resources, improved actions and benefits from sustainable farming practices and improved landscape management, among others.
  - Enhance economic benefits resulting from sustainable practices in key production activities and convert conventional practices to sustainable ones in key sectors assisted by seven value chains with a market driven approach.
  - Increase the interaction and business transactions between sustainable production and markets in these three landscapes.
  - Increase the financial sustainability for long term integral management of priority landscapes.
  - Provide climate change mitigation and adaptation solutions through the ILM approach to increase green infrastructure in the landscapes; improve sustainable production practices (with an approach that is similar to climate-smart agriculture or low carbon agriculture), develop land-use plans, improve PAs management, assure better governance at the local level, improve coordination among government institutions at the landscape level, and building capacities at different stakeholder levels.
13. The GEF budget is US\$7,219,450; cofinancing is US\$47,340,000.

## SECTION 2: PROJECT CONTEXT

### A. Geographic Scope

14. Located in the southern and southeastern part of Mexico, the states of Chiapas and Oaxaca totaling 16.7 million hectares (ha), stand out for hosting the greatest biological and cultural diversity of the country and Mesoamerica.
15. The project area is composed of three priority landscapes of Chiapas and Oaxaca: The Sierra Madre of Chiapas (SMCh), the Sierra Sur and Isthmus of Oaxaca (SSIO) and the Pacific South Coast of Oaxaca and Chiapas (PSCOCh).<sup>3</sup>
16. The total project area is 2,618,250 ha, of which 806,753 ha belong to the SMCh, 953,972 ha to the SSIO, and 857,525 ha to the PSCOCh.
17. To enhance project implementation, sixteen primary intervention sites of the three priority landscapes were selected (totaling 208,160 hectares) in which immediate conservation actions are needed. Identification of the sites was based on their regional, national and international biological and cultural importance. Table 1 shows the selected primary intervention sites.

**Table 1: Primary intervention sites**

Landscape	Primary intervention site	Total area (hectares)
South Sierra and Isthmus of Oaxaca	1. Istmo- Cerro de las Flores	44,738
	2. Yautepec- Santo Tomas Teipan	3,646
	3. Copalita - Pluma Hidalgo	7,892
Pacific South Coast of Oaxaca and Chiapas	4. Playa Cahuitán	885
	5. Lagunas de Chacahua	22,968
	6. Playa La Escobilla	277
	7. Huatulco – Cacaluta	8,892
	8. Playa Morro Ayuta - Barra de la Cruz	16,348
	9. San Francisco del Mar	3,780
	10. Puerto Arista - Cerro Bernal	14,976
	11. La Encrucijada - Los Patos Solo Dios y Carretas Pereyra	26,299
	12. Laguna del Viejo	7,483
Sierra Madre of Chiapas	13. El Censo - Cerro Brujo	15,444
	14. Montañas de La Frailescana	19,820
	15. Montañas de Tiltepec	7,832
	16. Boquerón - Volcán Tacaná	6,880
<b>TOTAL</b>		<b>208,160</b>

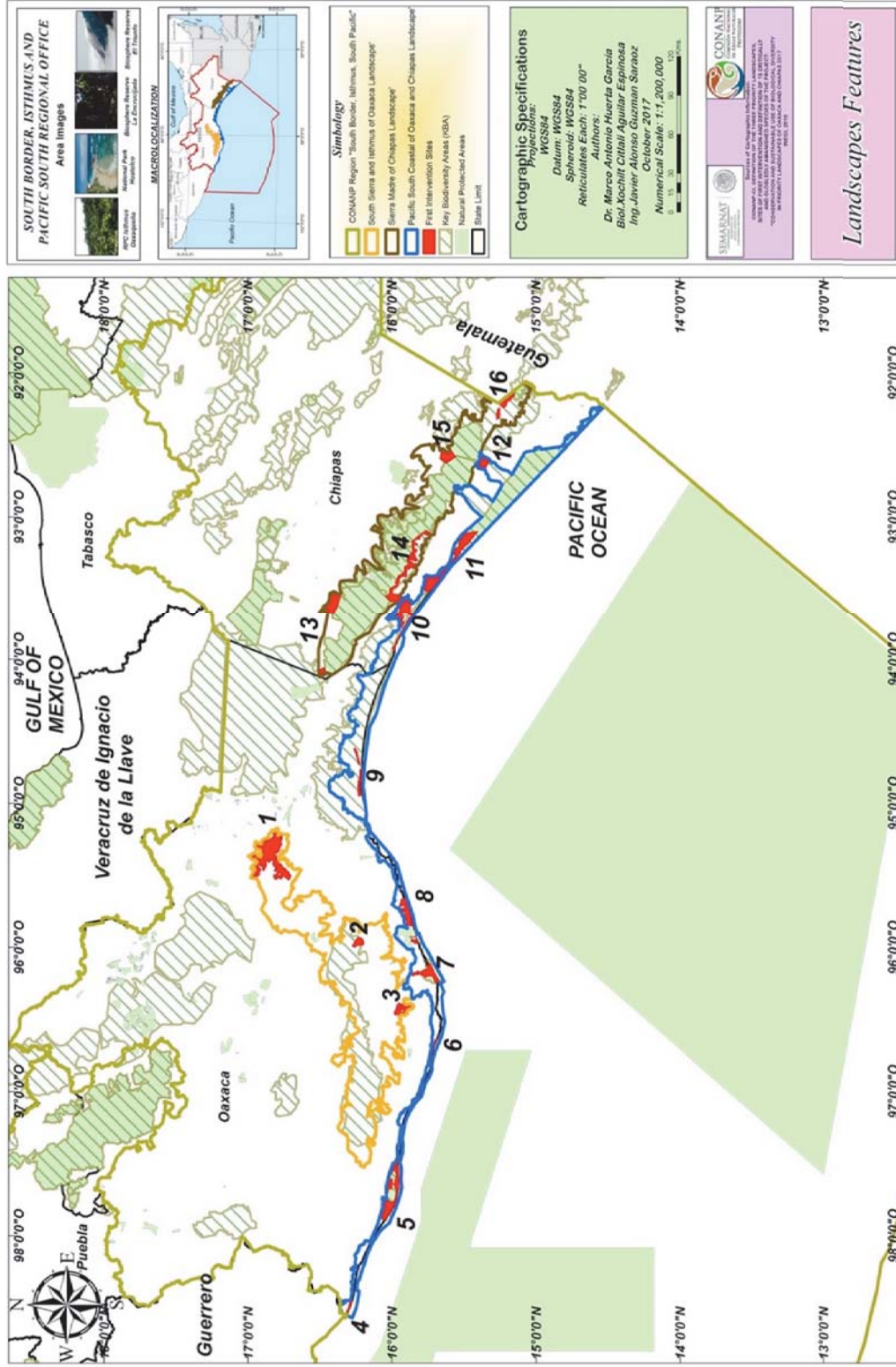
Source: Own elaboration.

18. Map 1 shows the location of PIS within the three priority landscapes covered by this project. The PIS are featured among several regional conservation zones, including PAs and Key Biodiversity Areas (KBAs).

<sup>3</sup> Priority landscapes were selected according to the following criteria: a) Host a wide number of species; b) host threatened species; c) host a significant group of habitats and ecosystems where threatened species live with similar and continuous physiographic conditions; d) landscapes are exposed to ecosystem lost and habitat fragmentation; e) there is cultural diversity, where peoples from different cultures live and use natural capital in a similar way; and f) similar social conditions to implement good governance.



Map 1: Location of PIS within the three priority landscapes covered by this project



19. The climate in the project region is predominantly warm and humid, with specific characteristics in each landscape, as described below.
20. The Sierra Madre of Chiapas divides, topographically and climatically, the regions of the Pacific Coastal Plain and the Central Depression of Chiapas. The climate varies along the landscape being predominantly humid in the south and warm in the north. The altitude ranges from 200 meters above sea level (masl) up to 3,601 masl in the Southern portion where Tacana Volcano is located. The region shows an average temperature varying from 18 to 22°C and annual precipitations reaching up to 4,500 millimeters (mm).
21. The Sierra Sur and Isthmus of Oaxaca stand out due to the climatic microregions which are predominantly warm and humid with annual precipitations ranging from 1,000 mm up to 2,000 mm, and mean monthly temperatures from 18 to 22°C. The altitude varies in the region reaching up to 2,400 masl in the central area.
22. The Pacific South Coast of Oaxaca and Chiapas is a continuous plain with slight increases in altitude. In this project its altitudinal range was defined from 0 to up to 800 masl with some of the highest areas found in the municipalities of Tonalá (Chiapas) and Santa Maria Huatulco (Oaxaca). The climate is also predominantly warm and humid with an average temperature ranging from 18 to 22°C. The annual precipitations along the coastal area varies from 1,000 mm in the Oaxaca's Isthmus up to 3,000 mm in Chiapas.

## **B. Environmental Context and Global Significance**

23. The states of Oaxaca and Chiapas host some of the highest biological richness of this megadiverse country: 5,053 animal and plant species in Chiapas and 9,235 species in Oaxaca have been registered (17% and 32%, respectively, of 29,429 species in Mexico).<sup>4</sup>
24. The proportion of territory designated as federal PAs within each state is about 2% for Oaxaca and 16% for Chiapas. In Mexico, federal PAs are under the administration of the CONANP, which is responsible for their management and protection. There are other protected area designations under state or municipal legislation.
25. In both states, there are several types of PAs in place, including:
  - Federal: 27 federally protected areas totaling 1.16 million ha, representing 7% of the territory.
  - Voluntary: 146 Area(s) Designated for Voluntary Conservation (ADVC) –which are mainly under the ownership and management of indigenous peoples and local communities– totaling 156,783 ha (ADVC are also considered federal PAs, as certificates are given by CONANP).
  - State: 24 state protected areas totaling 157,790 ha.
  - Ramsar wetlands: Seventeen sites totaling 367,012 ha.
26. As shown in Table 2 the three landscapes contain a total of 709,951 ha of PAs (federal, state and voluntary).

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<sup>4</sup> Sarukhan, J. 2009. Capital Natural de Mexico. CONABIO / Garcia-Mendoza, A. 2004. Biodiversidad de Oaxaca. Instituto de Biología / Gonzalez-Espinosa, M. 2005. Diversidad Biológica en Chiapas. El Colegio de la Frontera Sur.



**Table 2: Protected areas contained in the three priority landscapes**

Landscape	Protected Areas	Protected area within the landscape (ha)	Landscape area (ha)	% of Protected Area within each landscape
South Sierra and Isthmus of Oaxaca	29 ADVC	12,866	953,972	1.3%
Sierra Madre of Chiapas	4 Federal PAs	409,601	806,753	58.4%
	1 State PAs	61,268		
Pacific South Coast of Oaxaca and Chiapas	6 Federal PAs	172,106	857,525	26.4%
	3 State PAs	30,533		
	4 ADVC	23,577		
<b>TOTAL</b>		<b>709,951</b>	<b>2,618,250</b>	

Where ADVC= Areas Designated for Voluntary Conservation; PA= Protected Area.

27. The environmental significance of the three priority landscapes is also evident because of the large number of species they host. A total of 75 species listed by the IUCN as either EN, VU and CR inhabit the project area. These species are often distributed both inside and outside PAs.
28. The project's conservation efforts will focus on fifteen priority species of reptiles, birds, mammals and plants representing one fifth of the region's globally significant species, as recognized by IUCN. Different criteria were considered to select the fifteen-priority species out of a total of 300 recorded, including: conservation status, available data, uses, cultural importance, and their categorization as umbrella or endemic species. Table 3 shows the fifteen-priority species that were selected for the project.

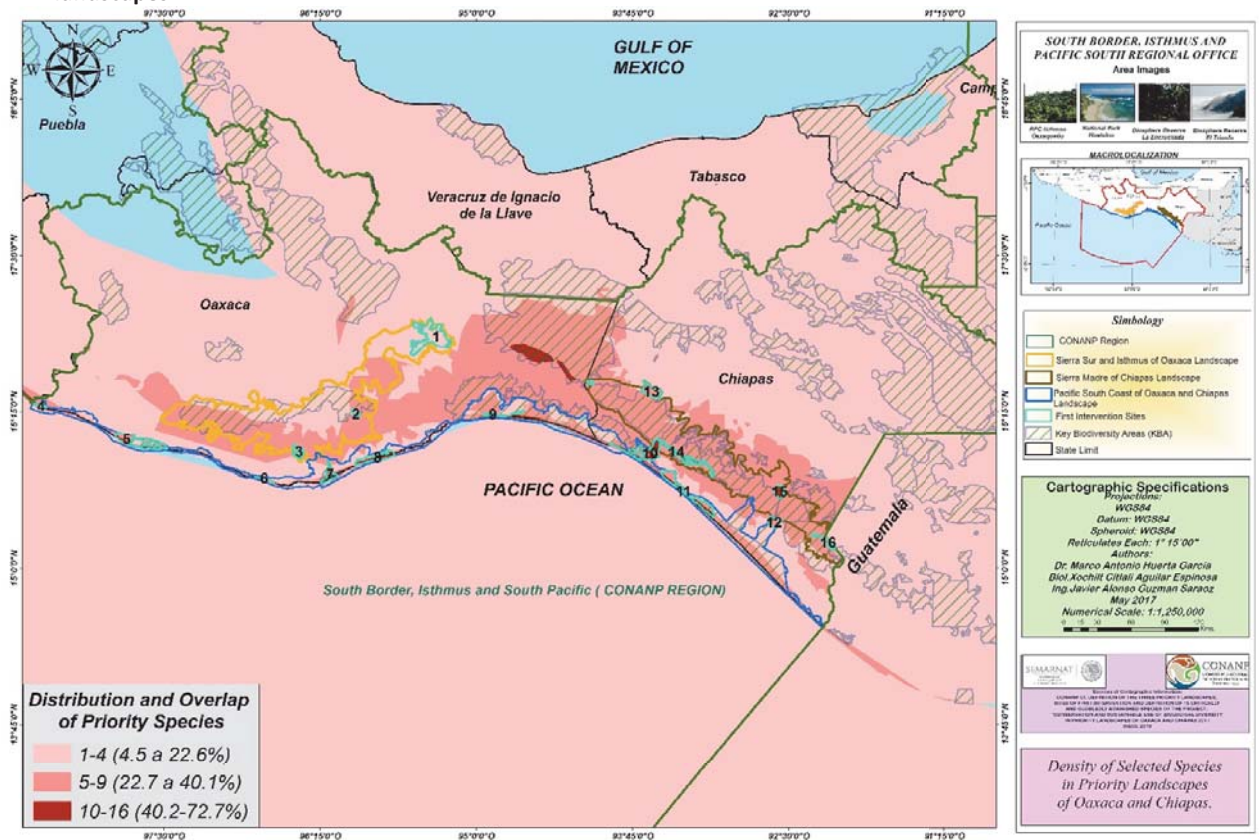
**Table 3: List of the 15 priority flora and fauna species in the three priority landscapes.**

Common name	Scientific name	Taxonomic Group	IUCN
Horned guan	<i>Oreophasis derbianus</i>	Birds	EN
Military macaw	<i>Ara militaris</i>	Birds	VU
Lilac-crowned amazon parrot	<i>Amazona finschi</i>	Birds	EN
Pink-headed warbler	<i>Cardellina versicolor</i>	Birds	VU
Highland guan	<i>Penelopina nigra</i>	Birds	VU
Baird's tapir	<i>Tapirus bairdii</i>	Mammals	EN
Jaguar	<i>Panthera onca</i>	Mammals	NT
Mexican spider monkey	<i>Ateles geoffroyi</i>	Mammals	EN
Leatherback sea turtle	<i>Dermochelys coriacea</i>	Reptiles	VU
Cycad	<i>Ceratozamia norstogii</i>	Plants	EN
Espadaña cycad (Chiapas)	<i>Dioon merolae</i>	Plants	VU
Chiapas' pine	<i>Pinus strobus var. chiapensis</i>	Plants	EN
Mangrove	<i>Avicennia bicolor</i>	Plants	VU
Olive ridley sea turtle	<i>Lepidochelys olivacea</i>	Reptiles	VU
American crocodile	<i>Crocodylus acutus</i>	Reptiles	VU

Where CR= Critical Endangered; EN= Endangered; VU= Vulnerable; NT= Near threatened. Source: Own elaboration with data from IUCN's Red Data Book

29. According to the IUCN red list, *Panthera onca* is “Near threatened”, but in the Mexican Official Norm 059 it is considered in the higher risk category “In danger of extinction”. *Panthera onca* is considered as an umbrella species for the three priority landscapes.
30. The sites of the three landscapes with the highest overlap of priority species are Huatulco (PSCOCh), Tiltepec Mountains (SMCh) and Copalita-Pluma Hidalgo (SSIO).
31. The distribution of locally and globally significant species in the three priority landscapes covered by the project is represented in Map 2.

**Map 2: Distribution and overlap of the 15 selected globally significant species in the three priority landscapes**



Source: CIMEX/CONANP elaboration

32. The Sierra Madre of Chiapas includes four federal PAs (Biosphere Reserves Volcán Tacaná, El Triunfo and La Sepultura, and the Area of Natural Resources Protection La Frailescana), one state PA (Pico El Loro Paxtal) and two KBAs (Sesecapa and Huizapa). This region houses the most important areas of cloud forest in Mesoamerica, as well as pine-oak forest, deciduous forest and other vegetation relevant to biodiversity and connectivity between the PAs that are not officially protected. It contains 75 species classified by IUCN as EN, VU and CR.
33. The Sierra Sur and Isthmus of Oaxaca contains 29 ADVC totaling 12,866 ha. This landscape highlights its vast biological diversity, cloud forest and tropical deciduous forest, other relevant vegetation, different species listed as vulnerable by IUCN, three Alliance for Zero Extinction sites, and one of the largest KBA of the Southeastern Mexico with 300,000 ha of which 290,726 ha are included in the project.
34. The South Pacific Coast of Oaxaca and Chiapas contains six PAs (Biosphere Reserve La Encrucijada, Huatulco and Lagunas de Chacahua National Parks, and the Sanctuaries La Escobilla and Playa de Puerto Arista), a National Mexican Turtle Center, four ADVC, and three state PAs (Cabildo Amatal, Gancho Murillo and Huizapa – Sesecapa). Mangrove forests, reeds, popales and

lagoon systems are found inside and outside the PAs, and 40 species listed under the IUCN categories CR, VU, EN have been registered.

### C. Socio-Economic and Cultural Context

35. The latest population census (2010) showed that the three priority landscapes have a total population of 503,927 inhabitants of which 150,345 are from the Sierra Madre of Chiapas, 147,623 are from the Sierra Sur and Isthmus of Oaxaca, and 205,959 are from the Pacific South Coast of Oaxaca and Chiapas.
36. The main economic activities in the Sierra Madre of Chiapas are the production of coffee, corn, livestock, timber and non-timber forest products; the production for self-consumption is limited, and the participation in agro-livestock trade predominates. In the Southern Sierra and the Isthmus of Oaxaca the main activities include the production of coffee (including the location Pluma Hidalgo, renowned for the quality of its coffee) and varieties of corn. The main activities of the Southern Pacific Coast include fishing, commercial agriculture (livestock, oil palm, plantations of fruit trees), the provision of tourist services (a sector still limited, but on the rise) and the production of subsistence agriculture. To a lesser extent, in the three landscapes activities such as honey production and use of ornamental plants are carried out.
37. In Oaxaca and Chiapas there are 25 different indigenous groups with more than 2 million people concentrated in well conserved areas where most of the PAs are located.
38. Different indigenous groups make up 36.5% of the tree landscapes' total population. The main indigenous groups in the Sierra Madre region are Mam, Tzotzil and Tzeltal (5.3% of the total population), who arrived as immigrants at the beginning of the last century from the regions known as the Highlands of Chiapas, Mariscal and Guatemala. The indigenous groups Binizaa (Zapotec), Chontal and Chatina inhabit the South Sierra and Isthmus of Oaxaca, which is the landscape with the largest indigenous population (53.3%). The Pacific South Coast of Oaxaca and Chiapas stands out for its pluri-ethnic and multi-cultural composition, being integrated by indigenous groups (Amuzgo, Chantino, Mixteco, Nahuatl and Tlapaneca); afro-descendants, and mestizos which have developed a collective identity giving rise to a distinct coastal culture.
39. A total of 3,788 rural localities<sup>5</sup> are distributed among the three priority landscapes.

**Table 4. Demographic data of three priority landscapes**

Priority landscape	Number of localities	Number of municipalities	Number of inhabitants	Number and % of indigenous population
Sierra Madre of Chiapas	1,913	22	150,345	8,028 (5.3)
South Sierra and Isthmus of Oaxaca	821	59	147,623	78,783 (53.3)
Pacific South Coast of Oaxaca and Chiapas	1,054	34	205,959	24,072 (11.6)
<b>TOTAL</b>	<b>3,788</b>	<b>115</b>	<b>503,927</b>	<b>184,099 (36.5)</b>

40. The population of the three priority landscapes lives mostly in poverty. Almost 50% of the total population suffers from malnutrition, and only 3.3% lives in conditions of well-being. (Balderas A. et al, 2017). Most municipalities in the three landscapes have a high level of marginalization resulting in a lack of education, poor access to basic services and low household incomes. (Balderas A. et al, 2017). Although in some aspects due to their geographical location the three

<sup>5</sup> Mexico's official statistics agency (INEGI, by its acronym in Spanish) uses the term "locality" for places constituted by one or more houses, inhabited or not. A community, in turn, can consist of one or more localities.

landscapes present similar social, economic, cultural and environmental conditions, differentiated degrees of complexity have been identified.

41. The project area is characterized for having historic patriarchal societies where land owners are mainly men and the roles of women in rural and indigenous communities are focused on reproduction, child care and housekeeping. Therefore, the three priority landscapes present inequalities for women and opportunities for gender mainstreaming are to be considered by the project components.
42. The landscape with the most complex socio-economic and cultural context is considered to be the South Sierra and Isthmus of Oaxaca. This landscape has the highest percentage of population in poverty and extreme poverty; different municipalities with a very high degree of social marginalization; the largest amount of indigenous population, and various schemes of natural resources management and appropriation.

**Table 5: Poverty and vulnerability in the project landscapes**

Landscape	Sierra Madre of Chiapas	South Sierra and Isthmus of Oaxaca	Pacific South Coast of Oaxaca and Chiapas	Average
Poverty (%)	80.9	85.0	75.3	80.4
Extreme poverty (%)	34.0	49.6	31.1	38.2
Relative poverty (%)	47.2	35.4	44.2	42.3
Poor and vulnerable (%)	96.2	98.5	95.4	96.7
Vulnerability per income (%)	2.1	0.3	1.4	1.3
Income below the well-being line (%)	81.6	85.4	76.7	81.2
Income below the minimum well-being line (%)	49.1	57.3	41.6	49.3

Source: Own elaboration with data from CONEVAL (*National Council for the Evaluation of Social Development Policy*), 2010.

#### **D. Global Environmental Problems and Root Causes**

43. The project will address the following key global environmental problems that are affecting the three priority landscapes of Oaxaca and Chiapas:
  - Habitat loss and fragmentation
  - Overexploitation of wildlife
  - Climate change

##### **Habitat loss and fragmentation**

44. Between 1975 and 2000, the national rate of deforestation within PAs was around 0.56% annually, in part due to natural causes, mainly hurricanes; while from 1986 to 2002, deforestation rate was around 0.85% outside of PAs. Mexico's deforestation rate is medium, when compared to 0% in Costa Rica, though lower than the high deforestation rates seen in South America and Africa (FAO, 2015).
45. The loss of forest cover is associated with habitat fragmentation, which has negative impacts on wildlife, especially those that depend on fragile ecosystems like cloud forests, "tular" reed beds, popal<sup>6</sup> and mangroves.
46. Though habitat fragmentation occurs within the PAs, it is much more significant outside of them. Even in places where there is minimal loss of forest cover, disruption of connectivity by a few hundred meters can be critical for species that require continuous cover of forest wetlands.

<sup>6</sup> Tular and Popal refers to the herbaceous freshwater wetlands. Species related: Tule, *Typha domingensis* and for Popal, *Thalia geniculata*.

47. There is a preliminary list of 75 global significant threatened species (i.e., species listed in IUCN's Red Data Book) within the three priority landscapes including mammals, birds, amphibians, plants and reptiles.

#### **Root causes of habitat loss and fragmentation**

48. The main causes of ecosystem loss and habitat fragmentation are the conversion of forests for agriculture (e.g. oil palm, corn, coffee, etc.) and cattle ranching. Even in areas not suitable for agriculture, such as coastal wetlands and steep mountainous areas, there has been a gradual, but continuous clearing of forest for mostly subsistence agricultural purposes. In addition to these man made causes, forest cover has been lost due to landslides caused by tropical cyclones like the ones that happened in 1998, 2005 and 2010. However, natural recovery with secondary vegetation has taken place.
49. In the buffer zones of the PAs, there is prevalence of conventional crops that use agrochemicals, fire, slash and burn, and other practices that can be unsustainable resulting in habitat loss and fragmentation. The exception is for coffee plots that are certified as organic products, a practice promoted by CONANP and others.
50. Other significant causes of ecosystem loss and habitat fragmentation included:
- Land deemed unsuitable for agricultural activities, due to high salinity in the soil, is cleared for wood for building materials.
  - Construction of hydraulic, rural road and highway, and tourism infrastructure is an increasing factor that leads to habitat loss and fragmentation.
  - Concessions for mining exploration and exploitation are greatly increasing even within protected areas, causing multiple environmental impacts.
  - Coastal and lagoon areas of high biodiversity are threatened because of increased sedimentation in water due to erosion and release of contaminants in upper parts of the watersheds associated with unsound agricultural policies and practices, including poor soil management and vegetation clearing.

#### **Overexploitation of wildlife**

51. Poaching is a recurring problem, mainly in areas close to PAs. The inhabitants of coastal zones have also traditionally hunted for their livelihood. The most commercialized species in the area are sea turtles and their eggs, the green iguana (*Iguana iguana*, not listed) and the Tabasco mud turtle or casquito turtle (*Kinosternon scorpioides*, not listed) which are used in the preparation of traditional dishes. Species such as white-tail deer (*Odocoileus virginianus*, least concern) and Central American red brocket deer (*Mazama temama*, data deficient) are also locally threatened by hunting.
52. Illegal wildlife trade is an other recurring problem. Several species of parrots (such as *Amazona auropalliata*, VU) and orchids are collected for illegal sale in local and even international markets.

#### **Root causes of overexploitation of wildlife**

53. Although subsistence hunting within PAs decreases after PAs are formally established due to the presence of staff who monitor hunting, in recent years there has been an increase of illegal "sport" hunters coming from outside affecting species such as deer. However, there is no reliable data on the amount of hunting and extraction of specimens because few complaints are submitted to authorities.
54. Recently, the hunting of felines, such as pumas (*Puma concolor*, least concern) and jaguars (*Panthera onca*, near threatened) has increased, as farmers encroach into their habitats and seek to reduce attacks on livestock in newly deforested areas.



## Climate change

55. The effect of climate change is evident in changes in forest phenology, such as variation in the beginning of the flowering period of species consumed by birds in their breeding season, causing a delay in the start of courtship and changes in their diets.
56. Climate change is causing irregularities in agricultural cycles, which has led producers to introduce coffee varieties from other regions. Pests and diseases, such as coffee leaf rust (*Hemileia vastatrix*), have become more frequent and virulent in recent years, seemingly due to changing climatic conditions combined with poor management practices.
57. Seasonality of rain and drought, as well as the periodicity of maximum and minimum temperatures, is becoming more irregular. The dry season is often longer than historically recorded, and rains are concentrated and intensified in two or three months with more intense cold periods. Extreme weather events, such as tropical cyclones, have become more frequent and intense in recent decades, significantly increasing landslides and flooding. The latest meteorological phenomena of high impact in the region have been tropical storms “Javier” in 1998, hurricane “Stan” in 2005, hurricane “Matthew” in 2010 and hurricane “Barbara” in 2014.
58. Mexico is among the countries with the greatest vulnerability to impact of climate change, 15% of its national territory, 68.2% of its population and 71% of its GDP, are considered highly exposed to the impacts of climate change (PECC, 2014).

## E. Barriers to Addressing the Environmental Problems and Root Causes

59. **Barrier 1. Insufficient inter-institutional coordination:** Although there have been attempts in promoting inter-institutional coordination, it is imperative to keep working on strengthening these efforts as contradictions between different governmental policies and programs persist. Government programs are prioritized according to sectoral approaches, with no consideration of the landscape’s integrity and the interrelationship of its components. The lack of mechanisms that encourage integration prevents sectors like agriculture, fisheries, forestry, conservation and infrastructure from aligning their programs. Current legal and public policy frameworks have failed to coordinate work plans and strategies at the three levels of government.
60. **Barrier 2. Inefficient public policies to implement integrated landscape management and mainstream the sustainable use and conservation of biodiversity:** Although federal programs influence biodiversity, Mexico has only recently officially recognized the importance of the landscape approach (see SEMARNAT, 2017)<sup>7</sup> or mainstreaming the sustainable use and conservation of biological diversity and natural resources. There is a need for connectivity at the landscape level. Some land-use planning initiatives at local and municipal levels within priority landscapes have been developed but they are stand-alone pieces that do not relate to each other, much less address an integrated landscape management approach.
61. **Barrier 3. Lack of monitoring and evaluation systems at landscape level:** No assessment protocols or robust monitoring systems at the landscape level have been developed to facilitate adaptive management of PAs and critical areas for biodiversity conservation. Assessments of conservation action effectiveness in PAs are limited to the registration of forest cover and the presence or absence of indicator species. Outside PAs, databases of flora and fauna do not exist, environmental impact assessments for specific projects are rarely produced, and only isolated studies on particular species have been completed.
62. **Barrier 4. Inadequate funding to promote sustainable land use practices:** There is a significant financial gap between the resources that conservation institutions have to promote sustainable land use practices, compared to the resources of institutions and businesses that support land-

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<sup>7</sup> SEMARNAT et al., 2017. Visión Nacional de Manejo Integrado del Paisaje y Conectividad, Secretaría de Medio Ambiente y Recursos Naturales, México.

use change. Thus, policies promoting unsustainable production and productivity undermine biodiversity conservation efforts. Generally, production and use of natural resources are based on the demand for commercial products and on the subsidies for subsistence crops that do not take into consideration the land suitability, the biodiversity or existing sustainable production practices. Government incentives to change from conventional to sustainable production and consumption in the region are limited; some initiatives undertaken by the private sector have been very local and haven't had the desired impacts. Best sustainable practices for agriculture, cattle ranching, forestry, fisheries, and tourism have not been replicated due to a lack of a value chain approach and funding constraints. Some governmental institutions provide subsidies for productive projects which aim to reduce poverty in rural areas and to increase household incomes. However, sustainable practices are not applied, and frequently the projects have failed. These kinds of subsidies cause dependence on public funding and promote the prevalence of unsustainable practices.

63. **Barrier 5. Insufficient public funding and inefficient allocation to support the management of the PAs:** Current funding is not enough to support the management of the different types of PAs (federal, state and voluntary). Due to the drastic reduction in oil prices, the federal government has had significant budget cuts. CONANP has suffered one of the heftiest cuts in staff and budget in relation to all government agencies: While in 2016 the budget of CONANP was USD77,635 million, in 2017 it decreased to USD58,193 million which represents a cut of around 25% (27.2% considering inflation) (PEF, 2016-2017). Moreover, sectoral approaches and lack of inter-institutional coordination have contributed to the inefficient allocation of public funds, which frequently result in failure and overlapping of public policies harming natural and social capitals.
64. **Barrier 6. Key stakeholders are unaware of the benefits of conserving biodiversity:** The importance of ecosystem services is unknown by the local population not directly linked to traditional knowledge and sustainable use of biodiversity. The loss of traditional knowledge of local communities is an increasing problem which leads to the gradual decline of different vegetal species of local importance (maize, chiles, quelites) and their associated agricultural practices. Multi-functionality of rural territories and the values of biological diversity are not frequently recognized by decision-makers. Thus, the conservation of cultural and natural capitals is undermined by other governmental priorities. Furthermore, biodiversity conservation efforts often meet resistance, mainly with indigenous and rural people, due to a lack of adequate information; a lack of appropriate processes for addressing stakeholder concerns and needs; a lack of equal participation of men, women and other vulnerable groups, and potential land conflicts with other regional and local groups. If information and consultation mechanisms are insufficient and not aligned to the free, prior and informed consent, the creation and expansion of PAs can face the resistance of local communities.
65. **Barrier 7. Weak governance and stakeholder's participation at different levels:** Integrated landscape management requires the development of local agreements in a participatory manner. Although in the three landscapes there are already several governance platforms between local actors with different types of arrangements and effectiveness, it is still necessary to strengthen them. Participation spaces for local producers and communities are still weak, and those that exist are dispersed and poorly articulated. The lack of systematization and dissemination of good practices prevails. Furthermore, coordination platforms, such as municipal, regional and watershed committees; are not designed to apply an inter-sectoral approach and to address problems at the landscape scale.
66. **Barrier 8. Insufficient capacities of small-scale producers and their organizations to access markets and integrate into value chains:** The following issues were identified as the main obstacles for the success of sustainable productive systems of small-scale producers in rural areas in Mexico:

- Overestimation of markets that value and are willing to pay more for the sustainable practices of production systems
- Variability and uncertainty of the volumes and quality of production due to a weak social integration of producers into Producer Organizations (PO) to systematize processes.
- Low availability and/or reliability of technical information for production
- Incomplete assessments of value chains  
Few spaces and capacities of negotiation and dialogue between the different actors that integrate the value chain.

#### **F. Current Baseline (Business-as-Usual Scenario)/Future Scenarios without the Project**

67. Based on historical and current trends on land use and land-use change related to agriculture, cattle ranching, forest exploitation, infrastructure construction and urbanization, it is expected that the fragmentation, degradation and habitat loss, will increase in the short and medium terms, especially outside PAs. KBAs located both inside and outside the PAs –fundamental for the conservation of the globally significant species identified in the priority landscapes as EN, VU and CR– will become increasingly threatened and may disappear without GEF support.
68. Over the next ten years, environmental, socio-cultural and economic climate change effects are expected to rise in the region, the window of opportunity to adapt to these changes is now. The BAU scenario will put at risk the generation and delivery of crucial ecosystem services of local, regional and global significance; among them provision of water and food, climate regulation and retention and formation of soils.
69. Without the project, there will be less opportunity to implement integrated watershed management addressing key topics such as the ill-use of agrochemicals, deforestation and soil erosion, and increasingly threatened coastal wetlands systems.
70. Under the BAU scenario, land-use change pressures and unsustainable productive practices within priority landscapes and PAs will increase, because of the absence of sound public policies to be implemented by the different government sectors resulting in the absence of good governance. Conservation efforts implemented by government institutions and other key actors in the three priority landscapes, will continue to be isolated, inefficient and with limited technical and financial resources.
71. Most public investments in the region will be allocated in institutions for agricultural and economic sectors, undermining biodiversity conservation efforts aimed at mainstreaming and promoting sustainable use.
72. Sustainable productive practices will be limited and restricted to few communities and producers.
73. Value chains will not be enhanced and strengthened, leading to BAU scenarios where negative social environmental impacts are not considered and better practices are not adopted.
74. The economy of indigenous and rural communities will depend on intermediaries, or in the best case, conventional markets that could promote further land use change (like oil palm) and where the value of their sustainable practices, traditional knowledge, or the unique attributes of their products are not considered. Without the project, local communities will be hindered to exchange good and efficient sustainable practices already fostered by CONANP in the Coast of Oaxaca and Chiapas.

#### **G. Alternatives to the Business-as-Usual Scenario**

75. Alternatives to the Business-as-Usual Scenario will address different possible combinations of barriers to conserving biodiversity. A way to reduce this complexity consists in dividing barriers into four categories: institutional, financial and market, social, and cultural. Table 6 shows the barriers that will be addressed by the project.



**Table 6: Barriers to be addressed by this GEF project**

Barriers	
Institutional	Insufficient inter-institutional coordination
	Inefficient public policies
	Environmentally harmful subsidies
	Lack of Monitoring and Evaluation systems at landscape level
Financial & market	Insufficient funding to promote sustainable land use practices
	Insufficient public funding and inefficient allocation to support the management of the PAs
	Lack of incentives to promote sustainable production and consumption
	Insufficient capacities of small-scale producers and their organizations to access markets and integrate into value chains
Social	Key stakeholders are unaware of the benefits of conserving biodiversity
	Weak governance and stakeholder's participation at different levels
Cultural	Loss of traditional knowledge

76. Taking into account this array of barriers that impede the sustainable use and conservation of biodiversity, various intervention options were considered.
77. The first considered option was to focus the project on *institutional barriers* or drivers, addressing insufficient coordination between institutions, inefficient public policies, environmentally harmful subsidies and lack of monitoring evaluation systems at landscape levels.
78. Under the second intervention option, the project would address a set of *financial and market barriers*: insufficient funding to promote sustainable land use practices; insufficient public funding and inefficient allocation to support the management of the PAs; lack of incentives to promote sustainable production and consumption; insufficient capacities of small-scale producers to access markets.
79. The third intervention option consists in addressing a combination of *social and cultural barriers*: key stakeholders' unawareness on the benefits of conserving biodiversity; weak governance and stakeholder's participation at different levels, and loss of traditional knowledge.
80. Facing the different alternatives, the particular project strategy was selected because it will *address all the barriers identified*. This combination of institutional, financial, market, social and cultural barriers will allow to follow a landscape approach addressing PAs and corridors in an integrated way.
81. This scenario is considered to be the most feasible means for achieving the project objective of strengthening the conservation of globally significant biodiversity in the National System of Protected Areas and corridors, through integrated management of culturally diverse coastal and terrestrial landscapes of Oaxaca and Chiapas, Mexico.
82. Under this scenario the expected key contributions of the project will be:
- To strengthen the Mexican System of Protected Areas of Oaxaca and Chiapas by addressing integral management of priority landscapes through land-use planning.
  - To strengthen good governance through key stakeholder participation.
  - To build capacity of key local stakeholders particularly women, indigenous communities and other vulnerable populations and including local peoples and governmental institutions, for better decision-making in the use of natural resources, improved actions and benefits from sustainable farming practices and improved landscape management, among others.
  - To enhance current sustainable practices in key production activities and convert conventional practices to sustainable ones in key sectors (coffee, fisheries and other) with a market-driven value chain approach to make it financially viable.

- To increase the interaction and business transactions between sustainable production and markets in these three landscapes through value chains.
- To improve the financial sustainability for integrated management of priority landscapes through a combination of economic instruments and financial mechanisms.

#### **H. Cost Effectiveness Analysis of Chosen Alternative**

83. We consider that the least expensive and most effective way for strengthening the conservation of globally significant biodiversity in the national PAs system and corridors of these culturally diverse landscapes in Oaxaca and Chiapas is through an integrated management of the barriers identified in the territory, and through the integrated landscape management (ILM) approach. Most of the barriers being addressed are driven by anthropogenic pressures, hence, by focusing on how the stakeholders in these three territories interact and collaborate with one another and on setting the planning and monitoring mechanisms needed for accountability, we can integrate the social, environmental and economic dimensions simultaneously, rather than diving the issues as institutional, or financial, or environmental, or productive or social barriers alone.
84. The proposed landscape approach is an opportunity to strengthen in a participatory and culturally inclusive way the current legal and public policy frameworks that up to now have failed to coordinate work plans and strategies at the three levels of government, while biodiversity is being rapidly lost.
85. An important factor of this project's cost effectiveness is the adoption of a financial sustainability strategy to ensure long-term implementation of landscape management, by which effective financial mechanisms will be developed with support from key decision makers.
86. Another significant advantage for a cost effectiveness project consists in technical and local experience in the region of key project partners from the governmental and academic sectors, and NGOs, particularly CI Mexico and CONANP. The project implementation strategy capitalizes upon the current and previous experiences of these actors in most components related to this project, thereby reducing substantially transaction costs which are associated with community decision processes and coordination between different participating actors.

### **SECTION 3: PROJECT STRATEGY**

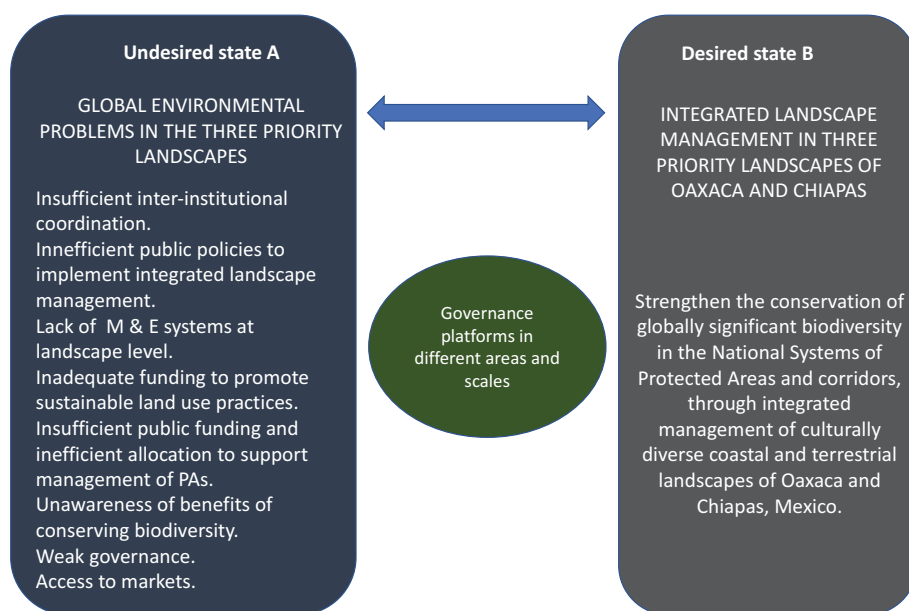
#### **A. Objective, Components, Expected Outcomes, Targets, and Outputs**

87. After more than ten decades of biodiversity conservation in Mexico, particularly through PAs, important achievements can be stated while still acknowledging that the coverage and management effectiveness of these schemes have not been sufficient. It is now better understood where efforts should be focused on to achieve the desired conservation levels. Specifically, more emphasis should be put on the quality of life of the inhabitants of strategic sites for biodiversity conservation and contribute to climate mitigation and adaptation solutions.
88. To address such insights on achievements and shortcomings, the objective of the project is to strengthen the conservation of globally significant biodiversity in the National System of PAs and corridors, through integrated management of culturally diverse coastal and terrestrial landscapes of Oaxaca and Chiapas, Mexico.
89. This project objective is consistent with the GEF-6 Biodiversity Focal area, contributing specifically to Objective 1 (BD1: Improve Sustainability of Protected Area Systems) and Objective 4 (BD4: Mainstream biodiversity conservation and sustainable use into production landscapes and seascapes and production sectors).
90. The proposed project intends to build upon what has been done until now in terms of globally significant or threatened biodiversity conservation in Mexico, by integrating the economic perspective in landscape management, and complementing the conventional PAs approach with

production landscapes and market linkages. This approach will also contribute to the advancement of climate mitigation and adaptation goals in the states of Chiapas and Oaxaca, since it will increase the green infrastructure in these landscapes, support sustainable productive activities that are low in carbon emissions, and diversification of productive activities which help build resilience in communities.

91. The states of Oaxaca and Chiapas are in a favorable position to adopt a conservation strategy in priority landscapes agreed upon by the main stakeholders in the region. The proposed landscape approach is a challenge given current legal and public policy frameworks that up to now have failed to coordinate work plans and strategies at the three levels of government. Fortunately, there is a recent increase in local social participation for reorienting such public policies, and CONANP is currently developing a new approach to work at the landscape level. This project will serve as a demonstration model that will inform the design and replication of similar approaches in other regions of the country.
92. The three landscapes already have governance platforms between local actors with different degrees of arrangements and effectiveness; they will be considered as the platforms of this project (for more information about these platforms, see component 1). Given that the three landscapes are very different from each other, the intervention strategy will be constructed locally, and the concrete mechanism of governance and the work modalities and processes will be defined on this basis.

**Figure 1: Theory of change applied by the project**



93. Based on this logic, the project has conceived three components that are interdependent and only have a meaning if an integrated landscape management approach is pursued where components are run simultaneously and in an articulated manner:
  - Component 1: Integrated management of three priority landscapes for strengthening biodiversity conservation through land-use planning and the expansion and management of protected areas.
  - Component 2: Mainstreaming models of sustainable production with market-driven value chain approach in agriculture, fishing, aquaculture, forest and tourism activities, as a pillar of integrated management of the three priority landscapes.
  - Component 3: Increasing financial sustainability in the integrated management of the three priority landscapes.

**COMPONENT 1: Integrated management of three priority landscapes for strengthening biodiversity conservation through land-use planning and the expansion and management of protected areas.**

94. This component focuses on the creation of an integrated territorial management system at the landscape level that includes different forms of land conservation in different political jurisdictions. Participation of local actors, governmental agencies and other key stakeholders in the territory in planning, decision making and land use will be promoted, taking into account cultural diversity of indigenous peoples and local peoples living in key landscapes. This process will be the basis for building governance throughout the project.

95. Three outcomes will be achieved under this component:

**Outcome 1.1: Integrated management of three priority landscapes for biodiversity conservation is substantially strengthened through land-use planning and the expansion and management of protected areas.**

96. This outcome will consist mainly in a) Achieving connectivity of PAs and corridors; b) Mainstreaming of public policies c) biodiversity conservation through good governance. The three priority landscapes will be integrally managed and the tools to be used are land use planning, regional agreements, and governance agreements with key stakeholders. In each case, the land use planning approach will be determined according to the regional context, including availability of information, local or regional decision-making structures, ongoing public-private investments, and productivity levels.

97. This component will contribute to expanding the project experience to other priority landscapes and to replicate it in other regions and management subsystems of PAs in Mexico.

98. The targets under this outcome are:

- 2.6 million ha of PAs and corridors in the selected project area have sustainable land use plans.
- Conservation and monitoring plans for 15 globally significant species developed and implemented
- 14 PAs (with a total area of 662,417 hectares) have together an average management effectiveness score of at least 60 out of 100 (according to METT).

99. Outcome 1.1 will be achieved with the following output:

**Output 1.1.1: A model of Integrated Landscape Management (ILM) for biodiversity conservation including protected areas and corridors developed and disseminated.**

100. In order to address barriers 1 through 7, an integrated landscape management approach (based on land use plans and other agreements) will be developed in each priority landscape. This way, a common vision on biodiversity conservation and sustainable development will be provided. Territorial and land-use planning will be designed in a participatory manner with key stakeholders, including women, youth and other vulnerable populations, as well as government institutions representing the production, infrastructure, energy and environment sectors.

101. The project will apply CI's Landscape Assessment Framework to evaluate the indicators that together characterize the overall sustainability of a landscape against broader integrated management objectives. Assessing against indicators relating to natural capital, sustainable production, governance, and human well-being will enable key stakeholders to monitor and communicate the progress of a landscape towards sustainability and ensure consistency with national plans and international commitments. The outcome and output indicators and targets as outlined in the project plan can feed directly into the Framework for accessible analysis and dynamic visualizations to guide local activities, inform policy decisions, and advise investment priorities.

102. The integrated management model for priority landscapes will be validated by the coordinating body in each priority area. The project experiences will be systematized and the model will be developed in participatory workshops with the technical team of CONANP in the region and the technical project team, as well as with the main stakeholders and members of the PAs advisory councils as key stakeholders identified. With the aforementioned activities, the project will institutionalize the development model for the conservation of biodiversity at the landscape level in Mexico's system of protected areas, including in this system different modalities and jurisdictions of PAs.
103. At least one land use plan and other agreements for integrated landscape management will be developed through multi-stakeholder workshops and will reach an advanced level of implementation and decision-making. The formal structure and legal figure of each plan will be adapted to the particular conditions of each landscape. E.g in the Sierra Madre de Chiapas a regional scale planning instrument can build on studies recently funded by partner organizations (eg. the road studies, Pronatura Sur). In the South Pacific Coast, there are fisheries management plans in coastal lagoons. In all three landscapes, synergies with municipalities will be encouraged by generating municipal land use plans in those cases where local administrations will start functioning in 2018. The progress and results of the plans will be disseminated regionally, seeking to be incorporated either in municipal development plans or public order decrees.
104. The land use plans or other formal agreements for integrated landscape management of the Sierra Madre de Chiapas are expected to be carried out during the first three years of the project, that of the South Pacific Coast of Oaxaca and Chiapas during the first four years, and the land use plan or agreement for the Sierra Sur and Isthmus of Oaxaca during the first three years. This differentiation is due to the current progress in shaping governance mechanisms in each landscape (as mentioned below).
105. Land use plans will be designed using the ecological land management method. In Chiapas, the Ministry of Environment and Natural History (SEMAHN) will coordinate the participation of other state institutions and municipalities, with the support of the Planning Secretariat (as mentioned below). Zonings already developed by PAs in previous years will be used as a basis. In Oaxaca, the Environmental Ministry (SEMAEDES) will lead this process with national and regional stakeholders.
106. Regarding globally significant species, monitoring and evaluation activities will be carried out in a participatory manner within the coordination body at the priority landscape level. The project will organize, and in some cases, hire local groups to carry out biological monitoring together with vigilance activities during natural disaster-prone periods, like forest fires, hurricane season, high tide season or others. As a support to these groups, the project will establish agreements to conduct conservation activities using existing community infrastructure, such as ejido houses, and providing basic equipment like radios or other items. This will address barriers 2, 3, 6 and 7 by assisting federal PA staff, regional staff, and personnel designated by the project to prevent and overcome operational monitoring bottlenecks experienced by government led efforts. As a result, the conservation of 15 identified species will be ensured (see table 3 List of priority flora and fauna species in the three project regions in section 2). This target will be addressed by the support of an external scientific biodiversity conservation committee.
107. Another key issue in the model for biodiversity conservation is the improved management of PAs. Therefore, for protected areas without or with minimal management, but including lands that are necessary for the conservation of biodiversity, such as 9 federal PAs/KBAs with an area of 581,624 ha, 3 state PAs/KBAs covering 71,857 ha and 2 ADVC with 8,946 ha, making a total of 662,417 ha of improved management by developing and implementing 14 annual operational work plans with the support of the project technical staff designated in each federal PA with a government institution and with the support of the project management unit (PMU). The role of operational work plans will be to fill operating gaps that currently impede addressing threats

effectively. The expected target is: 14 Annual Operational Plans developed, updated and implemented. The Annual Operational Plans will ensure that PAs are managed efficiently beyond the life of this project. Annual Operational Plans will be developed incorporating climate change adaptation and mitigation actions. To this end, an agreement will be developed between the Secretariats of the Environment of Chiapas and Oaxaca with CONANP, so that state agencies manage state PAs effectively.

108. A project monitoring and evaluation program will be applied to evaluate the integrated management effectiveness of the three priority landscapes, based on the parameters of the GEF "Management Effectiveness Tracking Tool" (METT) at least twice during life time of the project. The information generated by the monitoring and evaluation program will serve as a basis for continuous adaptive management and for intermediate and final evaluations, which will address barrier 3. At the beginning of this project, the 14 PAs situated in the three landscapes have an average management effectiveness of 49% (see baseline in results framework). The expected result will be the development and implementation of a monitoring and evaluation plan to measure the conservation and management effectiveness of the 14 PAs (with an increase in management effectiveness up to at least 60 score points out of 100 according to the METT). The increase in the effectiveness of the management of PAs will be achieved by strengthening the capacities of the teams, through training, equipment, personnel and management.

109. Output 1.1.1 indicators are:

**Output 1.1.1 Indicator 1:** Number of gender-sensitive land use plans at an integrated landscape level. Target: At least 1

**Output 1.1.1 Indicator 2:** Number of gender-sensitive annual operational plans, one per Protected Area (PA), to be updated each year during project life time this project. Target: 14 operational plans per year

**Output 1.1.1 Indicator 3:** Number of Biodiversity monitoring protocols developed and implemented in each landscape. Target: 15 protocols

**Output 1.1.1 Indicator 4:** The Integrated Landscape Management (ILM) model for biodiversity conservation is validated by the coordinating body in each priority landscape. Target: Model validated in Y2.

#### **Outcome 1.2: Expansion of protected areas with globally significant biodiversity.**

110. The project seeks to support the conventional schemes for the conservation of biodiversity in PAs, especially in southern Chiapas and Oaxaca, but will go further by adopting the model of integrated landscape management to ensure connectivity between them. In this way, Natural Resource Protection Area -APRN- La Frailesca will be expanded by 63,121 ha and Biosphere Reserve -RB- Tacaná Volcano will be expanded by 39,282 ha), prioritizing Key Biodiversity Areas. Thus, barriers 2, 5, 6 and 7 will be addressed by increasing the current coverage of PAs in the two states with an addition of 102,403 hectares, which will ensure the connectivity of the corridors. The new hectares of Protected Areas cover Globally significant Sites for Biodiversity Conservation accomplishing the following criteria based on IUCN KBA standard (2016): vulnerability and irreplaceability, aggregation, area of occupancy, assemblage, biological process, bioregion, complementarity, ecoregion, ecosystem type, endemic, irreplaceability. The category of both new PAs will be discussed during the first year of the project with key stakeholders to define the most appropriate ones for the region based on collective ownership.

111. The target of outcome 1.2 is an increase of 102,403 ha of land cover of PAs within the three priority landscapes, reaching a new cover of 812,355 ha.

112. Outcome 1.2 will be achieved with the following output:

**Output 1.2.1: Draft legislation for the expansion of protected areas in 102,403 hectares which have been locally consented and approved.**



113. New areas for conservation will be mapped and validated by key stakeholders to increase joint work and conservation activities, and scientific and technical reports will be issued. Consideration will also be given to the expansion of existing PAs, thus strengthening conservation corridors within landscapes. These activities will address barriers 2, 3, 6 and 7 to protect critical biodiversity located within the three priority landscapes. This process will be led by CONANP. Among the products to be delivered are the identification, mapping and validation of priority areas for the conservation of biodiversity of global and national importance.
114. Within the Social and Environmental Safeguards Plan of the project (which includes stakeholder management plans, access to resources, indigenous peoples, gender, and conflict resolution mechanism), a protocol will be developed and applied to obtain gender-sensitive FPIC of indigenous and rural communities and to cover the legal formalities required, both in environmental legislation and in the attention to indigenous peoples and human rights. Abiding by the Mexican law on the matter<sup>8</sup>, FPIC will also be implemented following the "Guidelines for Applying Free, Prior and Informed Consent: Handbook for International Conservation". This protocol will be the technical basis for declaring the creation or expansion of PAs as necessary, and will be submitted to the competent authority at the state and federal levels (i.e., the corresponding instances of Chiapas and Oaxaca for state PAs, and the Federal Commission of Regulatory Improvement if it is a federal PA). Once a feasible PA has been identified, following the established criteria and analyzing their viability, land owners will be consulted and technical assessments will be conducted to address social aspects, land tenure, biodiversity and other requirements specified in the legal framework.
115. The corresponding indicators are:
- Output 1.2.1 Indicator 1:** Percentage of rural and indigenous communities that grant their consent in PAs following the process of gender-sensitive Free, Prior and Informed Consent (FPIC)<sup>9</sup>. Target: 95%
- Output 1.2.1 Indicator 2:** Number of hectares with draft legislation for the expansion of protected areas. Target: 102,403 ha

**Outcome 1.3: Governance in the three priority landscapes with multi-stakeholder and multi-sector participation improved.**

116. Barriers 2, 6, and 7 will be addressed by focusing project resources and capacities on promoting high stakeholder participation, ensuring the inclusion of women and vulnerable groups in the design, implementation, and evaluation of each integrated landscape management plan.
117. A map of key stakeholders in the three landscapes is already available.<sup>10</sup> The process of dialogue with local actors was initiated through a planning process during the PPG phase in the three landscapes, and will be followed by a strategy of consultation and participation in the implementation of the project. The map of actors will be analyzed and updated every year by the project team. The Stakeholder engagement plan under the safeguards of this project will be implemented under this Outcome to facilitate the implementation of the participation, communication and consultation plan.
118. While lack of institutional coordination for reconciling conservation and development goals is still one of the main barriers to biodiversity conservation and integrated landscape management,

<sup>8</sup> DOF, 2016. General recommendation on the right to prior consultation of Mexican indigenous peoples and communities: [www.dof.gob.mx/nota\\_detalle.php?codigo=5447796&fecha=12/08/2016](http://www.dof.gob.mx/nota_detalle.php?codigo=5447796&fecha=12/08/2016)

<sup>9</sup> The target of communities consent goes up to 95%; however, if some communities refuse expansion of PAs over their territory, other mechanisms will be put in place, like special local agreements for sustainable production projects for managing areas of significant biodiversity.

<sup>10</sup> See output 1.3.1 indicators below.

the three priority regions offer several promising coordination and governance-building elements. CONANP has already facilitated the establishment of a cooperation framework involving government institutions, NGOs, organized producers and academia related to the Sierra Madre. In the Coastal priority region, fishing cooperatives and CONANP have helped to establish a community-based decision making mechanism, with potential for consolidating this process throughout the region. The Sierra Sur of Oaxaca has well established Producer Organizations <sup>11</sup> interested in integrating a regional governance framework.

119. The project strategy for improving key stakeholder participation in ILM will be focused on the creation of governance mechanisms for ILM functioning in priority landscapes. This outcome is closely related to the Stakeholder Engagement Plan of this project. As part of the governance of the priority landscapes, communication-awareness-education strategies and activities will take place. An awareness campaign will be applied in the three priority landscapes with the aim that people have the sense of belonging to a priority landscape, and that government and civil society actors become more aware about their natural and cultural heritage as well as the benefits delivered by it.

120. The target of outcome 1.3 is: A multi-stakeholder coordination body for each priority landscape is established and functional.

121. Outcome 1.3 will be achieved with the following output:

**Output 1.3.1: Participation of key stakeholders, including women and vulnerable groups, in integrated landscape management and in decision-making substantially strengthened.**

122. This output will promote a specific organizational, participative and inclusive structure of ILM governance, in this case multi-stakeholder and multi-sector coordination bodies for the integrated management of each landscape as part of decision-making bodies.

123. These participative coordinating bodies in each priority landscape will be based on the existing governance where stakeholders from different sectors will be represented. The function of these coordinating bodies will be advising those responsible for public programs to align their actions with land use plans, agreements or regulations (see output 1.1).

124. The project will involve key stakeholders, including women, Indigenous Peoples and Afro-descendants and vulnerable groups, in decision-making for integrated landscape management at all stages, through a plan of participation, communication and consultation between local actors at various levels. The plan will include a grievance mechanism to solve any complaint related to the project boundaries. Gender equality and other equity criteria will be included in these land use regulations, and a protocol including guidelines for equitable distribution of resources and open participation will be developed.

125. The project will adopt a gender and vulnerable groups approach through the development and implementation of a gender strategy across all components. Based on CONANP's experience in the development of participatory projects, usually only 15% of the participants are women, so that this project will promote a higher participation of women. All strategies, plans (e.g. Land-Use Planning Instruments, integrated Landscape Management Plans), and policies deriving from the project will include a gender and equity approach as stated in the Gender mainstreaming plan and the Indigenous and Afro-descendant plans. The cultural norm in this region is that men make all decisions regarding livelihoods outside the home, which is a barrier that this project will need

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<sup>11</sup> Producer Organizations (PO) can be formal (registered under some legal figure, like cooperatives, associations) or informal (not legally registered, such as ejido working groups). PO functions generally include **services** for PO members, such as marketing, technical assistance and training, buying production inputs, financing negotiation (credits, subventions), processing of primary products, and others.



to address in order to increase the participation of women in the project. This will be done with the gender protocol developed under the Gender mainstreaming Plan.

126. Capacities in decision-making will be strengthened by exchanges of experiences between the three priority landscapes – at least three exchanges per year within the training program – and through direct training provided to all key stakeholders M/W who can influence the use of biodiversity and integrated management of priority landscapes. The consultation, participation and communication plan to improve the deliberating integration and involvement of local key stakeholders will enable key stakeholders to consider biodiversity and ILM criteria in making decisions on development policies in the three landscapes.
127. The following table has the objective to summarize and highlight the differences between the three priority landscapes of the project regarding socially based management processes. These aspects indicate that each landscape will reach outcomes and outputs based on its distinct context and each landscape will build its own strategy within the project context.
128. Output 1.3.1 indicators are:

**Output 1.3.1 Indicator 1:** Percentage of key stakeholders<sup>12</sup> that are represented in the three governance bodies for integrated landscape planning and management. Target: 70%

**Output 1.3.1 Indicator 2:** Percentage of women participating in ILM governance mechanisms. Target: 30% of women out of a baseline of 15%

**Output 1.3.1 Indicator 3:** Percentage of indigenous peoples and afro-descendants participating in ILM governance mechanisms. Targets: An average of 20% of Indigenous Peoples and Afro-descendants, consistent with their proportion within the population of each landscapes<sup>13</sup>

**Output 1.3.1 Indicator 4:** Percentage of youth participating in ILM governance mechanisms. Target: At least 10%, consistent with population representation age classes 20 – 29 years; baseline is the minimal participation of youth in decision making spaces.

**Table 7: Summary of socially based environmental management structures within the three priority landscapes**

Landscape	Existing socially based management processes upon which landscape governance schemes can be built on
<b>Sierra Madre of Chiapas</b>	Multi-actor group Sierra Madre group NGO-Government Advisory Councils of Environmental Services. "Tables of concertation" and their technical committees on both sides of the border in the Tacaná Volcano Biosphere Reserve
<b>South Pacific Coast of Oaxaca and Chiapas</b>	Fisheries cooperatives Oaxaca State Committee for Coastal Wetlands Technical Scientific Council of Responsible Fisheries Councils of lagoon systems of Chiapas
<b>Sierra Sur and Isthmus of Oaxaca</b>	SICOBÍ - Community System for Biodiversity UCIRI – Oldest coffee producers' organization in Mexico CEPCO – Coffee Producers Coordination Office in the state of Oaxaca Coffee, honey, wood, maize, etc., producing communities.

Source: INEGI 2010, CONANP's Regional office.

## **COMPONENT 2: Mainstreaming models of sustainable production with a market-driven value chain approach in agriculture, fishing, aquaculture, forest and tourism activities, as a pillar of integrated management of the three priority landscapes.**

<sup>12</sup> Key stakeholders are those belonging to the different sectors constituting a PA Advisory Council: social, private, productive, academic, CSO, government).

<sup>13</sup> The average proportion of indigenous peoples and afro-descendants of the population in the three landscapes is 22% (see Appendix V.2 Indigenous Peoples plan), with significant differences that spread from 5.3% (SMCh) to 11.6% (PCOCh) up to 53.3% (SSO).

129. In order to address barriers 2, 3, 4, 5 and 8, the project will promote the adoption of sustainable production practices aimed at the direct causes of land use change and to replace processes that degrade it, in places that are important to maintain the connectivity of habitat for biodiversity of global importance ("critical sites").
130. Surveys, visits and assessments made during the PPG phase concluded that, in order to mainstream sustainable production models as a pillar of the integrated management of the three landscapes, the development of short and long value chains with a market orientation is fundamental. The development of these value chains creates a strong incentive for producers to be organized in formal Producer Organizations (cooperatives, associations, enterprises, family businesses, other) to improve their current production practices and business models, and thus achieve a long-term impact on the landscape.
131. According to CI's and CONANP's experience, the following issues were identified as the main obstacles for the success of sustainable productive systems of small-scale producers in rural areas in Mexico:
- Overestimation of markets that value and are willing to pay more for the sustainable practices of production systems
  - Variability and uncertainty of the volumes and quality of production due to a weak social organization of producers into Producer Organizations (PO) to systematize processes.
  - Low availability and/or reliability of technical information for production
  - Incomplete assessments of value chains
  - Few spaces and capacities of negotiation and dialogue between the different actors that integrate the value chain.
132. Taking into account and overcoming these five obstacles, the project will provide certainty to producers about volumes and quality of products demanded by the market and thus offer an incentive to increase sustainable production with a market-oriented value chain approach. With value chains, we refer to the whole series of activities that create and build value at every step between inputs and final consumption, organized around the actors that develop the various links of the chain. This broad concept allows illustrating the external context and the interactions of different actors to bring a product to the final consumer. With market orientation, we mean that it is the market itself that helps us to define how to organize such a value chain.
133. Sustainable productive activities will be aligned with a climate smart agriculture approach, since they will help reduce carbon emissions from agriculture (including the reduction of conversion of natural ecosystems to agriculture, and supporting the change from conventional to sustainable agriculture), while at the same time reducing the vulnerability of producers to climate change related events and price shocks and increasing the adaptation capacity of small-scale producers throughout this component.
134. Traditional knowledge in sustainable production and commercial practices will also be identified and used. This systematized and disseminated traditional knowledge encompasses a variety of features and technologies based on practical experience that will contribute to improving production conditions which –together with the marketing efforts– will help overcome obstacles 4, 5 and 6.
135. Sustainable production practices and market-based value chains will be possible with the financial mechanisms and economic instruments (described in Component 3) to be put in place by the project in collaboration with public and private partners, the market and/or the Producer Organizations (PO). The communications strategy described in section 3, chapter N of this document, will also be instrumental in achieving this component.
136. All of the above will allow small-scale producers to strengthen their social organization in PO that develop market-driven value chains with public and private sector partners that will result in:

- Having greater marketing opportunities by being better organized and by integrating new processes that add more value and improve the quality of their products. With this, producers will be able to provide more certainty and transparency about the quality, volumes, processes, timing, delivery to potential buyers.
  - Acquiring greater knowledge of the market and their needs to develop their own brands or inserting themselves into existing value chains of third-party brands.
  - Having better informed and independent access to financing, working capital and equipment, as well as collection, storage and distribution networks.
  - Allowing for traceability systems to be in place, to know and verify the history of participating products and producers from source to consumer.
  - Developing the necessary quality standards to access markets.
  - Having marketing schemes for the variety of –frequently unconventional– products within their production systems.
  - Creating new spaces for dialogue and negotiation with potential partners, service providers and buyers.
  - Having diverse markets that are good business, for them and biodiversity conservation.
137. The project will seek to mainstream the various successful models of sustainable production value chains, already existing in the three priority landscapes that have proved to be essential for an integrated landscape management scheme to ensure the conservation of biodiversity. Mainstreaming will be ensured through Production Organization (PO) to PO exchanges; an important investment in agricultural extension support on the ground from CONANP and the project staff in the field; and by working with our project partners so that the government programs (like those of the Secretariat of Agriculture, Livestock, Rural Development, Fisheries and Food - SAGARPA, National Forest Commission - CONAFOR, National Commission of Aquaculture and Fisheries - CONAPESCA) and private sector sustainability initiatives incorporate these experiences in their business models, policies and practices.
138. Under this component, the project has two expected outcomes:
- Outcome 2.1: The area of sustainable agricultural, fishery, aquaculture, forestry and tourism production is substantially increased through best practices and a market-driven value chain approach for biodiversity conservation.**
139. In order to reach the goal of transitioning 4,650 hectares with unsustainable practices (1-5 point in the Index of Project Sustainability – IPS) to a sustainable social business through a market-driven value chain approach (6-10 points in the IPS), the project will focus on 10% of the productive area of the 16 PIS (primary intervention sites). This would mean developing capacities, providing technical assistance, access to financing, etc. to at 1,000 small-scale producers, organized in at least 9 Producer Organizations (PO).<sup>14</sup>
140. Under these premises, seven productive activities (coffee, honey, maize, ornamental plants, fish, shrimp and/or tourism) were selected based on how their value chains could be organized in order to represent production systems with different characteristics. This will offer a wide range of learning opportunities for all. Although the Producer Organizations and the selected productive activities are at different levels of consolidation in each of the 16 priority sites, they are very representative of the three landscapes. Lessons learned from the process of organizing these productive activities into value chains, will be disseminated and replicated in other Producer Organizations (with other important productive activities like cacao, silvopasture systems, etc.)

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<sup>14</sup> Producer Organizations (PO) can be formal (registered under some legal figure, like cooperatives, associations) or informal (not legally registered, such as ejido working groups). PO functions generally include **services** for PO members, such as marketing, technical assistance and training, buying production inputs, financing negotiation (credits, subventions), processing of primary products, and others.

through the life of the project. As mentioned above, to determine the level of sustainability of the value chains, we will use the Index of Project Sustainability (IPS).

141. CONANP–CI have started a dialogue with a variety of private sector partners since the project PPG stage , including mainstream companies like grocery stores and restaurants who have programs aligned to this project- and companies that specialize in organic or agro-ecologically produced products like Green Corner or Aires de Campo. These companies were approached because they have dedicated mechanisms to integrate small-scale producers or businesses in their value chains, or have niche markets that value and pay more for products with certain attributes like for example, a unique flavor, great diversity (supporting agrobiodiversity), or a specific origin, production process based on cultural knowledge, or others.
142. In this effort CONANP-CI have invited companies to participate in the Value-chain Advisory Technical Committee of the project. Companies that have initially expressed their support or interest in providing guidance to the PMU and exploring partnerships to help develop 7 market-driven value chains of the project are Bonafont-Danone, ADO Foundation, ALSEA, Walmart, GreenCorner, Aires de Campo. The Advisory Committee will meet once a year with the PMU and will organize trainings, exchanges, and technical assistance provided by their experts to the Producer Organizations (PO). For example, ADO Foundation has an expressed interest in supporting the honey and tourism value chains, Bonafont the mangroves related products, Walmart, GreenCorner and Aires de Campo have presented lists of products where they are looking for more providers due to scarcity. See Appendix VIII the Letters of Commitment.
143. Moving forward, the project will identify on a case-by-case basis the market opportunity for each Producer Organization (PO) and open up a dialogue to co-design the type of value chain needs (from A to Z<sup>15</sup>) to be created, strengthened or consolidated.
144. The value chain approach will be adopted from project implementation kick-off onwards, and our efforts will follow CONANP’s national strategy of Sustainable Social Businesses (SSB) 2014-2018 and the Index of Project Sustainability (IPS)<sup>16</sup> methodology to assess the level of progress of the Producer Organizations (PO), as well as how sustainable the business is. The results of the index will help determine the type of support this project should prioritize to help transition a Producer Organization from unsustainable to sustainable business models.
145. To integrate the market-oriented value chain approach in the three landscapes, significant investments will be required and leveraged from a combination of financial sources. The GEF project will provide partial economic sources needed, which will be matched from a variety of other sources including government programs, private sector partnerships, grants from foundations, market mechanisms, results-based-payments, conservation agreements, and the Producer Organizations labor or working capital. During project implementation, we will determine the maximum percentage that the project will invest in the value-chains (for example, 30%) to guarantee that there will be investment from the government, private sector and more importantly from the PO in every value chain developed.
146. Gaps identified in the seven value-chains in the three landscapes include traceability, collection, storage, packaging, labeling, brand development, marketing, distribution, equipment, infrastructure (for nature based tourism) among others. Examples of the needs in the selected value chains in the 16 Primary Intervention Sites, economic and non-economic, are:
  - **Coffee value chain needs:** roasting, quality and tasting techniques, machinery and technical assistance.

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<sup>15</sup> From A to Z means that the full chain from producer to consumer is comprised.

<sup>16</sup> IPS is an index developed by CONANP to assess the progress on standards and sustainability of productive businesses in and around protected areas, in order to determine what type of investments and support are needed from PROCODES.

- **Honey value chain needs:** quality and exportation standards knowledge, equipment, financing.
  - **Fish value chain needs:** logistics and freezing systems (cold value chain)
  - **Logistics (transversal for all value chains):** planning and mitigation of logistic risks.
  - **Financing and capital investments (transversal for all value chains):** working capital, seed capital, guarantee funds, emergency funds, funds for start-up losses (productive safeguards), other.
147. Outcome 2.1 target: On at least 4,650<sup>17</sup> hectares in the PIS sustainable practices have been adopted, as indicated by reaching the highest scores (6-10 points) for CONANP's Index of Project Sustainability (IPS).
148. Outcome 2.1 will be achieved through the following output:
- Output 2.1.1: Conventional production is transformed into sustainable production practices in the 16 PIS through organizational strengthening activities like ToT programs, exchange of experiences and others, developing market-driven value chains for biodiversity conservation.**
149. A participatory process will be launched to identify at least 1,000 producers organized in PO in the 16 PIS, with productive activities in coffee, honey, maize, ornamental plants, fish, shrimp and/or tourism.
150. During the participatory process of land-use planning and workshops described in Output 1.1.1 and based on the workshops of the PPG phase, the project will develop the criteria under which to select Producer Organisations or PO (groups of producers cooperating in formal associations, like cooperatives and other; or informal working groups) in the 16 PIS. When selecting the production projects, we will give priority (but not exclusivity) to those in the seven productive activities chosen: coffee, honey, maize, ornamental plants, fish, shrimp, and nature-based tourism and the potential of these PO to be linked to a market where we have already established project partnerships (like ADO Foundation, ALSEA Foundation, Danone-Bonafont, etc.). This way we will guarantee that the market is helping define how to organize those value chains. The process will be designed in a participatory manner with key stakeholders, including women, youth and other vulnerable populations, as well as government institutions and private sector partners.
151. Once the POs are selected, we will assess the level of organization (see below) and the level of sustainability through the Index of Project Sustainability (IPS) (1 to 10 points) of the PO.
152. The PO will fall into four broad categories depending on their level of organization:
- **Basic:** Self-consumption as a basis for family food security. This group of producers will be strengthened with better sustainable production practices and diversification of their crops.
  - **Stable:** Producer groups that do not have post-harvest processes and are not linked to any value chain or brand. They sell raw material to intermediaries or local buyers. This group requires, above all, strengthening their organization, improving productive practices and

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<sup>17</sup> The sixteen Primary Intervention Sites (PIS) comprise together a total productive land surface of 46,335 ha. This Project will convert conventional agriculture into sustainable production in 4,650 ha, or 10% of this total area. The criteria used to identify the 10% of the PIS' productive area were: (i) possibility to promote regular agriculture and fishing practices to become sustainable; (ii) based on management of PAs and implementation of projects at the field, that percentage is deemed sufficient to stimulate the productive sector to implement sustainable productive practices and then to be able to scale it up to wider areas within the PIS; and (iii) attending STAP comment on diminishing risks regarding achievability, the goals and indicators were reconciled with the Project Budget. The co-executing agencies agreed it is a realistic goal considering resources, personnel and social capital.

assessing the feasibility of participating in third party value chains. This is the group with the greatest vulnerability that would require greater investment of resources and accompaniment over time to achieve results.

- **Growing:** PO with experience in value chain ventures and / or brands that require a strengthening of their post-harvest processes, quality standards, incorporate value chain aspects as traceability and improve marketing of their current products to existing and new markets.
- **Sustainable:** Enterprises that have developed their own value chains and own brands, are in the process of consolidation and require other financing and marketing support to diversify both their products and their markets. They can be part of the demonstration sites or centers and even can manage harvest stocks from other producers to include them into their value chains.

153. In the Index of Project Sustainability, those PO that fall in 1-5 points are considered projects with potential and will need to be strengthened and those that fall between 6-10 are considered sustainable projects that need to be consolidated.
154. The information generated by the IPS on successful sustainable practices in each landscape will be a basic input for the agreements on the governance platforms to be promoted and / or consolidated in each landscape and on land use plans and regulations for the use and equal distribution of benefits of the natural resources.
155. Guidelines on best practices for agriculture, fisheries and forestry will be developed and adapted for all priority areas. The adoption of best practices will be sought in 4,650 hectares of the area of the primary intervention sites, which are currently dedicated to agriculture, forestry and/or fisheries. These changes should be reflected in the improvement of incomes of members of PO. The 4,650 hectares figure was estimated based on previous experience of CONANP and CI in projects that are implemented in a period of 3 to 5 years and on the available resources of this project.
156. The knowledge of indigenous peoples and rural communities will be integrated in this process by compiling previous studies and analysis of information generated by research institutions, universities, NGOs and consultants. The project will respect the rights of communities over their traditional knowledge regarding the use and management of biodiversity, through the implementation of the project's social and environmental safeguards plan.
157. A participatory fisheries assessment will be developed on the coast, characterizing the region's problems (e.g. pollution, sedimentation, mangrove deforestation, dredging, illegal fishing, etc.) and linking coastal problems with a watershed perspective. The Ocean Health Index (OHI) currently implemented by SEMARNAT and CI will be a useful tool for this process. Topics likely to be addressed and supported include responsible fishing strategy, including fishing gear, fish sizes, fishing bans and refuges, and management of wild populations (crocodiles) and the cultural and traditional rescue of some species such as the purple snail.
158. Regarding nature-based tourism projects within PAs or priority regional corridors (PRCs) that require a strengthening of their value chain efforts will be made to strengthen the capacities of CONANP staff in the management of responsible tourism with a market approach. The key impacts that need to be addressed are: mitigation of the negative effects of mass tourism, tourism services linked to fauna and flora observation, and rural/cultural based tourism related to the biocultural attributes of a region.
159. Improving the capacities of key stakeholders in sustainable practices will address barriers 2, 3, 6 and 7. A training module and materials for capacity building on best practices in sustainable production with a market-driven value chains for biodiversity conservation (A to Z) will be designed and produced.



160. Together with the Producer Organizations, workshops and one-on-one meetings between potential buyers (private sector already supporting this project, and others will also be invited), key government programs and the PO will be organized so that value chain opportunities and markets are matched. With this information, short business plans will be developed for each value chain to be developed by the PO.
161. At least one demonstration case of a successful model of sustainable production with a market-driven value chain for biodiversity conservation will be established in each of the three landscapes to promote learning by doing and PO to PO exchanges and guidance. Other demonstration sites will be selected from successful sustainable businesses in the three landscapes and also from or private sector partners with successful value chains with small-scale producers.
162. As part of the activities to strengthen the Producer Organizations, a trainer of trainers' program (ToT) will provide technical assistance and capacity building on a day-to-day basis at the PO in the 16 PIS will be designed and implemented. At least 30% of trained trainers will be women.
163. Output 2.1.1 indicators are:

**Output 2.1.1 indicator 1:** Number of Producer Organisations (PO) with potential to transform conventional production practices with market orientation in the primary intervention sites (PIS) that are identified, selected and classified and/or its creation is supported. Target: At least 9 POs

**Output 2.1.1 indicator 2:** Number of producers (broken down into M/W, Indigenous peoples, Afro-descendant and vulnerable groups) organized in PO that have 6-10 points in the IPS, that participate in transforming conventional production into sustainable production practices in the 16 PIS. Targets: At least 1,000 producers, seeking proportional participation of M/W, IP and Afro-descendants and youth

**Output 2.1.1 indicator 3:** Number of demonstration cases of a successful model of sustainable production with a market-driven value chain for biodiversity conservation that is established in each of the three landscapes to promote learning by doing. Target: At least 5 cases.

164. The second outcome under component 2 is:

**Outcome 2.2: Increased income of members of Producer Organizations (PO) that have adopted sustainable production practices with a market-driven value chain approach.**

165. The income increase through the PO will be critical so that producers transition successfully into sustainable practices that conserve biodiversity. This will be possible due to some or all of the following auxiliary conditions sought or provided for by the project:
- Value chains will be formed, strengthened or consolidated if there is a tangible potential market that offers better conditions than business as usual;
  - Productivity increases due to best practices adopted, and therefore producers will have more and better products to sell;
  - Production systems will be diversified so that the sources of funding will not only come from the main productive activity, but also from associated products in the same system (shade coffee with fruits, tourism with crafts/arts, honey with cacao, etc.);
  - By integrating processes that increase the value of the product higher revenues will be possible (like roasting coffee, packaging and freezing fish, developing a local brand, etc.);
  - Working with markets that are willing to pay more for products that have unique attributes from these ecosystems (mangrove honey for example);
  - Accessing better and more reliable buyers who guarantee larger, long-term purchases, or buyers who co-invest in improving the productivity.

166. Outcome 2.2 target: An average 15% of income increase of members of Producer Organizations (PO) that have adopted sustainable production practices with a market-driven value chain approach.

167. Outcome 2.2 will be achieved with the following output:

**Output 2.2.1: Producer Organisations (PO) have improved access to markets and financial mechanisms due to sustainable products.**

168. To address barrier 1, 2, 4 and 5 the project will promote the harmonization in the landscape, of governmental programs of different dependencies so that the resources received by the communities can be converted in a stimulus for the adoption of new sustainable practices. Through project support, communities will be connected to federal programs related to forestry, climate change and agriculture that are being implemented in several municipalities in the three priority landscapes of Oaxaca and Chiapas.<sup>18</sup> These efforts are complementary, or can be part of, market-oriented value chains along with private sector investments.

169. On the other hand, the Value Chain Advisory Committee that will be created, will support the project with real time market intelligence, linking supply with demand, and/or becoming potential buyers that will create partnerships with the PO to help them through the process of designing and developing their value chains. We have already received verbal or written interest from mainstream and niche companies like Bonafot, ALSEA, Green Corner or Aires de Campo.

170. The project will facilitate the access to financial mechanisms (economic and non-economic) which are described in more detail in Component 3, including project funding, government programs, private sector financing, market mechanism and PO investments.

171. The proposed project will analyze the feasibility of creating local brands, collective brands, or linking products to existing brands (e.g. Marca Chiapas®), developing the designation of origin and / or inserting products into existing value chains of commercial brands. At least one of the value chains in each landscape will achieve the design, development and marketing of its brand in some modality, be it a collective brand, private label, or others; or being incorporated in third party trademarks or commercial brands. Brand development strategies will be designed and implemented within the value chain process.

172. Output 2.2.1 indicator targets are:

**Output 2.2.1 indicator 1:** Number of PO that have a partnership with a buyer that will help guide the development of their value chains early on in the process. Target: At least 9 PO

**Output 2.2.1 indicator 2:** Percentage of PO that benefit from financial mechanisms for investment in sustainable practices and value chain development. Target: 50%

**Output 2.2.1 indicator 3:** Number of value chains that reach new markets<sup>19</sup>. Target: 7 Pos

**COMPONENT 3: Increasing financial sustainability in the integrated management of the three priority landscapes.**

173. A studied completed during the PPG<sup>20</sup> phase estimated that CONANP's financial gap for addressing the needs of Integral Landscape Management in the project regions of the Southern Border, Isthmus and South Pacific Regional Office is about US\$10 million per year (five times higher than CONANP's current budget to conserve and manage only federal PAs). As part of the

<sup>18</sup> For example, the Emission Reduction Initiative of the REDD+ strategy of CONAFOR, which at least in the Sierra Madre and Coast of Chiapas will have an impact in 11 of the municipalities in which the project will work: Cintalapa de Figueroa, Jiquipilas, Ángel Albino Corzo, El Parral, La Concordia, Monte Cristo de Guerrero, Villaflores, Villa Corzo Arriaga, Mapastepec, Pijijiapan and Tonalá.

<sup>19</sup> There will be 1 value chain for each of the 7 products previously identified.

<sup>20</sup> Balderas et al. 2017: ProDoc, baseline assessment citing CONANP's Internal document.



study which included interviews, talks, research, outcomes under this component were designed to attract US\$40 million of financing by year 5, from existing investment of other government institutions, corporations, foundations, development organizations and NGOs in the three landscapes, through coordination, co-programing and mixed financial mechanisms. These mechanisms can be market based, mixed public-private-market based, results oriented like conservation agreements, payment for ecosystem services based on entrance fees or other, as a long-term solution.

174. The financial sustainability of the project will depend on the capacity to promote integrated landscape management that will allow convergence of already existing investments (like those of SAGARPA and private sector for example corporate foundations like ALSEA's), necessary to transform the present productive practices into sustainable models that are maintained in the long term. Therefore, it is proposed to use GEF resources as seed capital to finance the creation and operation of a new model of territorial management in the three landscapes; this would include a transition phase during which the landscape management processes can be incorporated into existing policies and programs. The proposed mainstreaming of these policies and programs is designed in a way that GEF resources are used to leverage resources from other allies and to channel and coordinate them to achieve an ILM.
175. For the integrated management of the three priority landscapes to be financially sustainable, this component will focus on: (a) promoting the convergence of investments from public and private programs for ILM for biodiversity conservation and (b) setting up mixed financing mechanisms not currently available in these landscapes (public-private partnerships, market based financing, results oriented or other), as long-term solutions to reduce CONANP's funding gap and/or reduce the barriers to develop the market-driven value chains.

**Outcome 3.1: Access to investments from public and private programs oriented towards ILM and Sustainable Production Projects (SPP) substantially increased.**

176. Barriers 2, 4, 6 and 7 will be addressed through negotiations with federal and state institutions, civil society and enterprises, to a) increase investments in habitat conservation within and outside the PAs and in the integrated management of priority landscapes; and b) to work towards common goals on the social, productive, financial, and environment sectors multiplying benefits in the integral management of the landscape. A first step has been receiving co-financing commitment letters for the project from federal, state, private, NGO institutions totaling US\$47.3 million; the challenge for the project is now to channel these funds effectively towards ILM and SPP activities and results.
177. Recent agreements between the Secretariat of Environment and Natural Resources (SEMARNAT) and SAGARPA provide a favorable context for working together towards the conservation and good management of resources, in particularly not promoting productive activities that generate deforestation and degradation. SAGARPA is one of the government institutions with the most relevant investments for productive activities in the country, for example, in 2016 SAGARPA invested US\$66.3 million in these three landscapes from three programs ProCafe, ProAgro and Productive Stimulus for Coffee; the alliance with SAGARPA will facilitate the convergence of investment criteria in the territory.
178. This will be accompanied by incentive programs implemented in each state (for example, conservation agreements, best practices of productive activities, healthy and sustainable production, etc.), which will be vital to providing economic benefits to the Producer Organizations. These incentive programs will provide an equitable distribution of benefits, taking into account social and gender impacts. Losses in agricultural activities due to climate change or extreme weather conditions or shocks will be addressed (for example with insurance).
179. The indicator targets under this outcome are:

- At least USD 21 Million of the ongoing investments from public and private institutions in the three landscapes will be aligned with this project to support integrated landscape management and sustainable production in the last project year (2022) (alignment will be determined by a criteria catalogue to be developed by the project).
- At least US\$500,000 will be funded during project life time for ILM and SPP through diversified sources of funding new to the region (did not exist before project start) in the 16 PIS.

180. Outcome 3.1 will be achieved through the following outputs:

**Output 3.1.1: Existing public and private programs mainstream their investments towards supporting the project activities, outputs and outcomes for ILM and SPP in the 16 PIS.**

181. As mentioned before, governmental agencies and their programs currently do not consider the harmonization between conservation and development in forestry, agriculture, livestock, fisheries, nature-based tourism, social and economic development. There is no coordination of actions and there are no instruments that promote the communication of their plans and actions at the federal, state and municipal levels. The project will allocate resources and implement strategies, tools, guidelines and coordination structures to help align actions and investments at the landscape level.
182. Joint programming of multi-annual and multi-sectoral work plans will take place through monthly and quarterly meetings coordinated by the Project Director (PMU). A series of interviews with key stakeholders have been taking place during the PPG phase, to identify opportunities for synergies, co-programing and / or co-financing for ILM.
183. Collaboration will also consider existing cooperation agreements, like the one signed between SAGARPA and SEMARNAT during the Thirteenth meeting of Conference of the Parties of the Convention on Biological Diversity (CBD) in Cancun in December 2016, as well as global commitments of corporation with sustainability programs like zero deforestation by 2020, the sustainable coffee challenge launched by CI and Starbucks, or the 2025 sustainable cocoa initiative.
184. This effort will mean working with government institutions at various scales who are investing in programs in order to align subsidies and coordinate incentives for the productive and conservation sectors.
185. Some progress has been made already through letters of support to the project of public, private, foundation and NGO entities investing in the region including the government of Chiapas, SAGARPA, CONAFOR, ADO Foundation, ALSEA Foundation, Danone-Bonafont, PronaturaSur, and other. We are continuing the discussions with other potential partners interested in collaboration, co-funding and coordination of efforts on the ground.
186. The output 3.1.1 indicator is:

**Output 3.1.1 Indicator:** Number of public or private sources of ongoing investments that have supported or coordinated with project activities, outputs and outcomes for ILM and SPP in the 16 PIS. Target: At least 7 support programs

187. The second output under outcome 3.1 is:

**Output 3.1.2 Mixed financing mechanisms not currently available in these landscapes (public-private partnerships, market based financing, results oriented or other) are set up, as long-term solutions to reduce CONANP's funding gap and/or reduce the barriers to develop the market-driven value chains.**

188. Balderas et al 2017 provided a proposal with very diverse financial mechanisms working in Mexico or abroad (issuing green bonds, conservation swaps, revolving funds, trust funds, payment for ecosystem services, user fees for conservation and others). During discussions with

CONANP headquarters, we agreed that there are several successful financial mechanisms (trust funds, revolving funds, productivity incentives funds, other) that support conservation and management of ecosystems, that are facing some challenges in diversifying their sources of capitalization. A recommendation made by CONANP central offices was to invest the efforts of this project in the expansion of existing financial mechanism into these three landscapes rather than creating new ones, and instead, investing in the development of and having a strong fundraising structure to help diversify sources of fundig. With this in mind, we would need to undertake these illustrative activities:

- Financial capacity building in key staff, stakeholders and POs.
- Keep contact to the Fondo Mexicano para la Conservacion de la Naturaleza and other key stakeholders leading several successful financial mechanism for example priority species fund, Paralelo 28, Paisano initiative, El Triunfo Fund, FINDECA to co-design the expansion of their efforts to include the three landscapes of this project.
- We would also promote an exchange with the Rhino Impact Bond project in Africa<sup>21</sup> or other successful initiatives funded by the GEF to learn and explore the possibility of launching a species bond for this project.
- Set up a strong fundraising team within PMU lead by the Project Director to diversify sources of funding and build long term partnerships with donors and supporters to keep capitalizing the financial mechanisms that will support conservation in these landscapes. This could be market based funding, filantropic from foundations, development organizations funding, government and/or private sector, from tourism, and/or others.
- Put in practice the financial mechanism in order to test and adjust.

189. Also, during the PPG phase we identified nine areas of opportunity to address the current barriers related to sustainable production activities. Among the main mechanisms to be created by this project in partnership with public and private partners are the following three:

- Seed funding for start-ups linked to development of services needed for the value chains (traceability, labeling, packaging, distribution, cold chain, etc.)
- Incentive fund to recover initial losses for some of the approximately 2,000 producers converting from conventional to sustainable production
- Market mechanisms through private sector partners willing to be more flexible with new value chains that seems very promising, for example paying in advance with cash, absorbing distribution costs, waiving initial profits to reinvest in the value chains, providing micro-financing and other while a new product is being introduced to the market

190. There are several successful models in place in the country and Chiapas and Oaxaca and we will also create exchanges with those projects (for example the GEF – Resilience) to learn from their lessons setting up financial mechanisms for conservation and sustainable production efforts.

191. Output 3.1.2 indicator target is:

**Output 3.1.2 Indicator:** Number of financial mechanisms new to the region that are supporting project activities, outputs and outcomes, funded by diversified sources (could be market based, mixed public-private or other) as a long-term solution to for ILM and SPP activities in the three landscapes. Target: At least 3 financial mechanisms

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<sup>21</sup> This is a GEF funded project that was introduced to CONANP recently, so there could be potential for synergies with this innovative fund.

## B. Associated Baseline Projects

192. In Mexico, there are two main government agencies that have an impact on priority regions for conservation: 1) SEMARNAT, which is responsible for the protection, conservation and sustainable use of natural resources; and 2) SAGARPA, which supports production and productivity in agriculture and fisheries.
193. In 2016, in the three priority landscapes SAGARPA operated two public programs with a budget of US\$66.3 million, while CONAFOR, an agency within SEMARNAT, operated four programs with a budget of US\$8.7 million.
194. The following list shows baseline projects currently implemented within the states of Chiapas and Oaxaca that are related to biodiversity conservation, protected area management, climate change and watershed management (amount in USD and annual investment):

### Federal programs implemented in both states

- Management and operation of PA (CONANP): Investment in personnel, operations, subsidies for productive projects with best practices within PA within the three landscapes; US\$2,000,000 (2016 baseline which is being decreasing in the last three years).
- Natural Protected Areas Fund. Trust fund to strengthen operations and management of priority PAs at national level. This fund was created to strengthen the national PA System (GEF 1 and 2 – CONANP, 1995) and has increased the fund with support of different foundations like Packard Foundation, Fundacion Gonzalo Rio Arronte and others. There are opportunities for coordination in creating new protected areas and in planning of sustainable management strategies.
- National Forest Program (CONAFOR): To recover the functionality of various water basins and landscapes through conservation, restoration and sustainable use of natural capital, and the integration of forest cover. This baseline initiative will support the proposed project by improving local capacity in managing local KBA or forest areas and sustainable production; US\$5 million (2015).
- National “Payment for Ecosystem Services” program (CONAFOR). The main objective of the program is the integration of forest cover. This program will support the present project by improving local capacity in managing local KBA in forests and in increasing sustainable production and will look for a close coordination of activities to benefit landscape management and local communities, with an initial investment of US\$41.7 million (2012-2016).
- Temporary Employment Program (National Water Commission - CONAGUA): Hydrological restoration, clean beaches; US\$20,000 (2015).
- Indigenous peoples sustainable development (National Commission for Indigenous Peoples Development - CONADEPI): Training, rescuing traditional knowledge and production projects; US\$250,000 (2016).

### Chiapas

- Chiapas monitoring and PA patrolling (Ministry of Environment and Natural History/ SEMAHN - ANP): Technical personnel and operating expenses for monitoring and evaluation; US\$10,000 (2015, annual investment average).
- Forests management and conservation (Ministry of Environment and Natural History / Forestry sub- ministry): Prevention and fighting forest fires and forest management projects; US\$10,000 (2015, annual investment average).

- Programs of fishing productivity and temporary employment program (Fishing Ministry of Chiapas - SEPESCA): Restoration of fishing areas, infrastructure, capacity building, equipment to fishing cooperatives; US\$690,000 (2015, annual investment average).
- Cattle Support Program; coffee, corn and black beans harvesting (Chiapas Agriculture and Field Ministry, SECAM); US\$9 million (2012 - 2015).
- Coffee Institute of Chiapas: Coffee plants renovation, programs that support production and commercialization and capacity building to coffee farmers; US\$9 million.

#### Oaxaca

- Oaxaca coffee promotion (State of Oaxaca Coffee Council): Training for coffee production; US\$100,000 (2015, annual investment average)
- Oaxaca fishing and field promotion (Ministry of Agricultural Development, Fisheries and Forestry of Oaxaca -SEDAPA): Support fishing and agrosilvopastoral activities; US\$120,000 (2015, annual investment average)
- Oaxaca indigenous peoples: Capacity building, rescuing traditional knowledge on production methods; US\$250,000 (2015, annual investment average)

### **C. Incremental Cost Reasoning**

195. Without the present project, the conservation of biodiversity in Chiapas and Oaxaca will continue to depend on isolated efforts of environmental institutions with limited resources and capacity. GEF funds will allow for new and/or more effective landscape-scale cooperation frameworks to improve land management linked to PAs and globally significant biodiversity sites.
196. Without alternative cooperation frameworks such as these, most public investments in the sites with the greatest biological and cultural diversity will continue to be managed by production and economic sector institutions whose approaches are, in general, contrary to sustainable practices and conservation.
197. Current investments in the region come from federal funding for agriculture, cattle ranching, and fisheries activities, as well as for forestry, but none of these public programs invest in developing best practices or converting conventional agriculture-forestry-cattle ranching activities into sustainable activities. With this investment, best practices for these landscapes will be determined and established, while ensuring that stakeholders understand the multiple benefits of these practices for human well-being, local and regional economies, and the area's unique biodiversity. Furthermore, GEF investment will establish three mechanisms to sustain the implementation of the priority landscapes' land-use plans and integral management.
198. The project will finance the development and implementation of participatory land-use plans and regulations at the landscape scale, an innovative tool for Oaxaca and Chiapas. The project will increase and strengthen the participation of stakeholders in priority landscapes, particularly women, indigenous and other vulnerable communities, creating inter-sectorial coordination bodies to guide public policies towards best practices in the use of natural resources.
199. GEF funds will help identify, design and build up and strengthen new financing mechanisms for PAs and surrounding areas that connect habitats of global importance.
200. The project will expand best practices that already exist in some places, helping to generate or strengthen value chains, where convenient, supporting local or collective brands for products that otherwise would not have market recognition.
201. The resources from the GEF will support Mexico's contributions towards fulfilling the following Aichi Targets:

- a) The project addresses the NBSAP Knowledge axis by seeking recognition of traditional knowledge in the use of wild species and actively promoting the non-extinction of 15 critically endangered species. Thus, it contributes to the Aichi Targets 1, 2, 6, 12, 13 and 18.
- b) It has a strong focus on the axis of Sustainable Use and Management, incorporating sustainability criteria for the use of wildlife, forestry , agricultural, livestock and fishery, generating, strengthening and diversifying value chains, incorporating sustainable practices into conventional production systems, identifying financing alternatives and promoting the fair and equitable sharing of the benefits of sustainable use of biodiversity. In this way, it contributes to the Aichi Targets 3, 4, 6, 7, 13 and 16.
- c) The project converges with the NBSAP Integration and Governance axis, promoting the inclusion of ecological and cultural diversity and gender criteria in planning and management of land, such as land use planning, agreements, promoting the development of local initiatives for the conservation and sustainable use of biodiversity, social participation for biodiversity governance through local and regional decision-making structures, considering the perspective and strengthening self-management capacities for projects related to the conservation and sustainable use of biodiversity. Thus, it contributes to the Aichi Targets 16 and 18. On the other hand, by expanding the area of PAs and strengthening the management of existing ones, the Project contributes to the Aichi Target 11.

#### **D. Global Environmental Benefits**

202. This project is expected to deliver the Global Environmental Benefits described below:

- a) Developing and implementing a landscape approach in three priority landscapes in Oaxaca and Chiapas covering approximately 2.618 million ha: 1) Sierra Madre of Chiapas: 806,753 ha; 2) Sierra Sur and Isthmus of Oaxaca: 953,972 ha; 3) Pacific South Coast of Oaxaca and Chiapas: 857,525 ha.
- b) Improving the protection of threatened habitats, including cloud forests, deciduous forest, reed beds, popales, mangroves and coastal lagoons, containing at least 75 threatened species (CR, EN, and VU according to the IUCN);
- c) Improving the management of at least 662,417 ha of existing Protected Natural Areas;
- d) Creating new protected areas and corridors in priority areas for globally significant species, covering at least 102,403 ha;
- e) Improving the conservation of at least 15 species considered globally threatened (See Table 3. List of priority species.
- f) Mainstreaming biodiversity conservation into productive landscapes through promoting sustainable production (including best sustainable practices) in at least 10% (4,650 ha) of the productive area currently under conventional practices;
- g) Improving stakeholders' capacity to manage and conserve their natural resources in ways that are more compatible with biodiversity conservation.

#### **E. Socio-economic benefits**

203. This project will develop strategies of sustainable production with access to markets that will result in inclusive socio-economic benefits, taking into account gender relations as well as vulnerable groups.

204. By developing actions that lead to the conservation of biodiversity, the project will benefit the inhabitants of the region through preserving and managing ecosystem services, such as fresh water, a healthy environment and food.

205. The process promoted by this project will allow small-scale producers to have greater marketing opportunities by being better organized and by integrating new processes that give more value and improve the quality of their sustainably produced products.

206. At least 1,000 producers participating in Producer Organizations that have at least developed 7 market-driven value chains for biodiversity conservation will be benefited by at least a 15



percent increase in their incomes as they follow a value chain approach with a market orientation.

207. Through an inclusive approach, the strategy of this project will benefit vulnerable groups, in particular indigenous and afro-descendent people, women and youth, strengthening their participation in decisions related to their economic benefits and affecting their well-being.

208. Training activities under project component 2 will improve local stakeholders' capacity to adapt to changes produced by the effects of global warming.

#### F. Risk Assessment and Mitigation

209. Below are the main risks that might affect the performance of this project. A ranking (scale: low, medium, or high) is provided, along with the mitigation strategy to be implemented during the life of the project.

**Table 8: Project risks and risk mitigation strategy**

<b>Risks</b>	<b>Rating (High, Substantial, Modest and Low)</b>	<b>Risk mitigation measures</b>
<b>a. Impacts of global climate change</b>	<b>Substantial</b>	The Integrated Landscape Management approach of the Project, including ecosystem restoration measures, will serve to stop and revert the habitat degradation that is being exacerbated by climate change. Restoration activities will be designed to take into consideration current conditions and conditions under a changing climate scenario. Land use planning that will be introduced by the Project at the landscape level will help improve the capacity of local stakeholders in having more effective responses to short term climate related risks (e.g. increase in the incidence of forest fires) or mid-term risks (e.g. changes in external threats and the capacity of ecosystems to respond to them).
<b>b. Forest fires</b>	<b>Substantial</b>	Most forest fires in the region are generated from slash and burn agriculture. Through the land-use planning process and the introduction of best practices for sustainable production, the project will reduce the incidence of forest fires in the project sites. Project stakeholders will be able to better respond to the early warning systems developed by the government and the GEF Resilience Project (GEFID: 4763) and the existing forest brigades in the project sites will be strengthened and supported to access existing forest fires financing for equipment.
<b>c. Extreme weather phenomena</b>	<b>Substantial</b>	The focus on Integrated Landscape Approach will mitigate the impacts of global climate change and extreme weather phenomena specifically through the increase and improvement of the green infrastructure needed to build resilience. Improving green infrastructure and strengthening the local capacities of key stakeholders will help increase resilience, not only since it builds and stabilizes soils, provides protection with forest coverage, and reduces greenhouse gas emissions, but it supports the sustainable use of ecosystem services, reduces vulnerability of communities and provides the necessary conditions for adaptation processes.  The project will also reduce the price-shock vulnerability of producers that sometimes is linked to climate change and



		extreme weather-related losses, by reducing the dependency on one crop. By strengthening the governance mechanisms in these landscapes and the organizational capacity of Producers Organizations, small-scale producers in rural areas will be able to recover faster from these losses.
<b>d. Social and political problems</b>	Substantial	<p>This risk will be mitigated through capacity building and effective participatory processes and good communication at the various scales between stakeholders of the project (national, state, and local).</p> <p>The improvement of governance mechanisms is also elementary to identify, address and mitigate the impact that social and political challenges could have on the project execution.</p> <p>CI's guidelines for FPIC, gender inclusion and other safeguards pertaining to social and political problems will also be an important aspect for mitigating or managing conflict resolution successfully.</p> <p>A Grievance Mechanism will be implemented to address social problems within the project boundaries (See Annex VI. Grievance mechanism).</p>
<b>e. Illicit activities</b>	Substantial	<p>The ILM approach with land-use plans and better governance at the local level, improved coordination among the government institutions at the landscape level, the sustainable production activities (improved productivity, secured markets, access to financing and increased income) and the additional capacities CONANP will have, will bring new economic opportunities to the region. Therefore a decline in illicit activities may occur, but also, this process will allow to improve the monitoring and management of illicit activities in the area of the project.</p> <p>CONANP has strengthened local groups who will be key in the monitoring and reporting process. The PMU will maintain a direct and systemic cooperation with state and local governments who are partners of the project implementation.</p>
<b>f. Changes in local, state and federal government institutions</b>	Substantial	<p>During the life of the project, the country will go through Presidential, state and municipal elections and changes in leadership will occur at various scales. The way CI-CONANP have addressed similar changes in previous GEF projects (i.e. ECOSECHAS) was by guaranteeing a constant communication and coordination with the three levels of government (national, state and municipal) by the project staff. This will help maintain the project appropriation and coordination.</p>

<b>g. Weak institutional capacities for planning, management and governance in targeted areas</b>	Substantial	The project will hire 13 project-staff that will help build planning, management and governance capacities on the ground. Not only will they be trained on these subjects, but the project will also identify gaps and help build those institutional capacities in the target areas from the bottom up. For example, during the land-use planning process, local institutional capacities will be strengthened through trainings, technical assistance and learning by doing approaches.
<b>h. Limited capacity commitment and/or governance among local people in targeted areas</b>	Substantial	<p>One of the main assumptions of the project is that the capacity of local people will be strengthened through trainings, e.g. in decision-making, learning by doing approaches and by market-driven value chain development that will result in more productivity and increased income. Also, the new knowledge, the motivation generated by team building approaches in Producer Organizations and the strategic alliances that will be created, will be key to increase the commitment of local people. The project has a strong emphasis in improving governance among local people that will be build starting with the land use planning process.</p> <p>In the early stages of implementation, the project will work in a participatory manner with local communities to discuss and define the strategies to be implemented in the forested areas, in order to maximize the likelihood of ownership and uptake.</p>
<b>i. Changes in some institutions providing co-financing could lead to their inability to do so</b>	Substantial	In the past, during a GEF project implementation by CONANP-CI we experienced this situation and the way we solved it was by talking to the new institution's leader that took over the activities and by approaching other possible co-financiers to fill in the gap that the other institution left for the project.
<b>j. CONANP'S budget continues to decline prohibiting the institution's full participation in this project</b>	High	<p>In order to address the risk of a reducing CONANP budget, the proposal has been designed so that the PAs can be strengthened with the support from key stakeholders from various sectors that depend on these landscapes (not only CONANP) including: other government institutions, communities, producers, the financial sector and the private sector. Component 3 "Increasing financial sustainability and stakeholder participation in the integrated management of the three priority landscapes" is addressing how to engage key stakeholders to develop the financial mechanisms that will provide sustainability and decrease the dependency on CONANP's budget to manage these landscapes sustainably.</p> <p>CONANP is developing strategies to address recent budget problems and reduction in personnel. Within the first three years of the project CONANP will (i) establish an institutional policy to efficiently address expenses, (ii) work with other public programs to invest in PA and landscape management, (iii) determine new financial mechanisms (public trust fund, return of the fees for visiting PA, etc.), and (iv) develop a landscape management model.</p>

## **G. Sustainability**

210. This project intends to develop a model that will exist beyond the life of the project. It will be used as an instrument to strengthen public policy related to the management of protected areas in Mexico. The model will show how to integrate management of the priority landscapes within the cultural and biological diversity contexts. This project aims to connect isolated PAs, addressing buffer zones and integrating areas rich in biodiversity. CONANP may eventually use this landscape model to protect and conserve PAs and their biodiversity nationwide; the project's results will be disseminated throughout CONANP to strengthen the institution and their public policy framework.
211. The project will generate coordination platforms that include institutions from various sectors traditionally investing financial resources in social and production programs. Through these platforms, funding will be redirected towards sustainable land management practices.
212. Family incomes will increase by ensuring that sustainable products reach the conventional markets or specialty markets.
213. The project will leverage key stakeholders' well-established community level actions related to conservation and sustainable development. These projects were identified during the PPG phase. With the surrounding communities involved at every stage of the project, the project will ensure "buy-in" from these communities. The active participation of key stakeholders in planning, decision-making, and workshops to strengthen their capacities for sustainable production and understand the benefits of biodiversity will ensure acceptance of the landscape-wide land-use plan.
214. By increasing knowledge on sustainable best practices for production and specifically incorporating sustainable production practices for coffee, honey, maize, ornamental plants, fish, shrimp and/or tourism that increase the value of these products and services, the project will ensure that the communities will no longer employ deforestation for their survival, and in fact will be empowered and desire to protect these vital ecosystems to thrive.
215. Financial sustainability is a strong component under this project to ensure long-term implementation of landscape management. Innovative financial mechanisms will be developed with support from key decision makers, among them: leverage of state agricultural programs through co-financing of sustainable production programs mainstreaming conservation initiatives; conservation financing mechanisms; co-investment funds; sustainable landscape partnerships; user pay systems, debt swaps, etc.
216. The state-level incentives program will focus on sustainable agro-forestry and fisheries as requested by the organic and sustainable production sectors of Chiapas and Oaxaca to improve tangible benefits at the household level.

## **H. Innovativeness**

217. This project proposes a new and more comprehensive model of biodiversity conservation in key landscapes where PAs have been declared, but are managed by different actors and enacted under various laws by adopting an integrated landscape management model, the project seeks to transcend the conventional schemes for the conservation of biodiversity, particularly PAs.
218. The proposed project will answer the question of how to apply a landscape approach to a highly diverse mosaic of conservation areas, key biodiversity areas that lack conservation status and production areas that currently threaten wildlife and ecosystem services. It is an innovative prototype project for adopting a regional biodiversity and sustainable development approach that can be replicated at the national level.
219. In addition, this project will introduce new conservation tools in currently unprotected biodiversity rich areas, including social benefits. Among others, innovative monitoring and evaluation systems (M&E) will be implemented at the landscape level; namely, CI's Landscape

Assessment Framework to evaluate the indicators that together characterize the overall sustainability of a landscape against broader integrated management objectives. Assessing against indicators relating to natural capital, sustainable production, governance, and human well-being will enable the project to monitor and communicate the progress of a landscape towards sustainability and ensure consistency with national plans and international commitments. The outcome and output indicators and targets as outlined in the project plan can feed directly into the Framework for accessible analysis and dynamic visualizations to guide local activities, inform policy decisions, and advise investment priorities.

220. The project will support traditional agricultural products related to the vast agrobiodiversity of Mexico that are better suited for the region and have visible social and economic benefits. At the same time, the project will transform production and marketing patterns through a focus on value chains towards sustainable models. First, the project wants to prove that sustainable production is much more profitable and viable in the long term, if it is not limited to organic (or similar) certifications and / or specialized niche markets, being financially viable because there are markets in volume and price that want to consume them.
221. The integrated landscape management model is intended to incorporate novel strategies around governance schemes at different levels: a) multi-actor platforms where agreements are generated at various scales for land management and the use of natural resources, with sustainability logics based on the preservation and restoration of natural capital; b) inter-institutional coordination in and between the three orders of government and between these and various instances of society.
222. Social participation will be strengthened through appropriate mechanisms that compile, value, and incorporate local knowledge, in order to safeguard the natural heritage. FPIC will be utilized to safeguard local people's rights and foster landscape ownership that take into account the unique biodiversity of the region.
223. A variety of economic instruments and financial mechanisms (market, governmental and philanthropic) will be incorporated to accompany project components in a comprehensive manner (conservation-governance-production-financing).
224. CONANP and other government agencies such as SAGARPA, CONAFOR should orient their own finances in a much more strategic way to remove the barriers that prevent the development of value chains. GEF financing will be leveraged for strategic and innovative investments, such as the strengthening of social intermediaries, the provision of revolving funds for the consolidated purchase of products, the creation of risk guarantee funds for groups that are making their first sale, etc.

## **I. Replicability and Potential for Scaling Up**

225. The project will disseminate information about biodiversity conservation and use to different levels of decision-makers and thus have an impact on improving local, state and national legal frameworks and public policies by strengthening the PA system of Oaxaca and Chiapas and thus demonstrating the benefits of well managed priority landscapes, the project will have an impact on the national PA system as a whole.
226. This initiative is a pilot in a sub-region within the national structure of CONANP; its comprehensive landscape approach for PA management can be scaled up to other regions with similar ecological and social conditions or adapted to other regions with cultural and biological diversity.
227. There is potential for scaling up to geographically connected areas such as extending the Sierra Madre of Chiapas towards the mountain range of Guatemala.
228. This project acquires special relevance in Mexico as a megadiverse country because it will provide the different ministries a tool to better articulate programs and public policies and it will

directly contribute to the sustainability goals of Mexico. CONANP will also include this model as a case study to implement integrated management of priority landscapes in other key landscapes within the Mexican System of Protected Areas such as the Sierra Madre Oriental, Sierra Madre Occidental, Sierra Norte of Puebla, Selva Zoque, Selva Lacandona, and others.

#### **J. Consistency with National Priorities, Plans, Policies and Legal Frameworks**

229. The project will build on investments and associated baseline projects and will contribute to fulfilling the objectives of the National Development Plan, which is responsible for green growth, preserving natural heritage, generating wealth, and increasing competitiveness and employment. Specifically, the project will contribute to meet with the component IV “Mexico Prospero,” i.e. Objective 4.4, which seeks “to promote and guide an inclusive green growth, facilitating the preservation of our natural heritage while generating wealth, competitiveness and employment.”
230. The project will also build upon the Environment Sector Program, which in its Objective 1 refers to the “sustained and sustainable low-carbon growth with equity and social inclusion.”
231. Mexico issued its first National Biodiversity Strategy and Action Plan (NBSAP) in 2000<sup>22</sup> and its implementation contributed to the protection, conservation and valuing of biodiversity by increasing the level of biodiversity knowledge (status and threats), institutional capacity and social awareness. In 2016, Mexico updated its NBSAP and the new version was formally presented at the CBD COP13. The updated NBSAP includes six strategic lines: knowledge, conservation and restoration, sustainable management and use, threats and pressures, environmental education and culture, and mainstreaming and governance. The updated NBSAP also calls for valuing, conserving and restoring Mexico’s natural capital.
232. The Project's strategy directly addresses three of the six strategic axes, six of 24 lines of action, 17 of the 160 actions and 38 specifications contained in the National Biodiversity Strategy (ENBIO as per its initials in Spanish). Being linked to the Aichi Targets, the Project contributes indirectly to them: (i) Addresses the Knowledge axis, seeking recognition of traditional knowledge in the use of wild species and actively promoting the non-extinction of 15 critically endangered species. Thus, it contributes to the Aichi Goals 1, 2, 6, 12, 13 and 18. (ii) It has a strong focus on the axis of Sustainable Use and Management, incorporating sustainability criteria for the use of wildlife, forestry , agricultural, livestock and fishery, generating, strengthening and diversifying value chains, incorporating sustainable practices into conventional production systems, identifying financing alternatives and promoting the fair and equitable sharing of the benefits of sustainable use of biodiversity. In this way, it contributes to the Aichi 3, 4, 6, 7, 13 and 16 goals. (iii) Converges with the Integration and Governance axis, promoting the inclusion of ecological and cultural diversity and gender criteria in planning and land management, such as ordinances; promotes the development of local initiatives for the conservation and sustainable use of biodiversity; social participation for the governance of biodiversity through local and regional decision-making structures; considers the gender perspective and strengthens self-management capacities for projects related to the conservation and sustainable use of biodiversity. Thus, it contributes to the Aichi Goals 16 and 18. On the other hand, by expanding the area of PAs and strengthening the management of existing ones, the Project contributes to the Aichi Goal 11.
233. The proposed project is also aligned with the CONANP 2040 Strategy which was developed considering key stakeholders and local participation, particularly in terms of maintaining cultural and biological diversity; addressing sustainable production and consumption; integrated participation to conserve the natural capital of Mexico; conserving biodiversity by maintaining species as well as ecosystem services; instituting a cultural norm that local people implement activities to sustainably use, produce and consume natural resources; coordinating public

<sup>22</sup> [http://www.conabio.gob.mx/conocimiento/estrategia\\_nacional/doctos/pdf/ENB.pdf](http://www.conabio.gob.mx/conocimiento/estrategia_nacional/doctos/pdf/ENB.pdf)

programs and environmental policy; and finally increasing capacity of society and government to value the natural capital within PAs.

234. The project is aligned with the State Development Plan of Chiapas (2013-2018) since this project addresses sustainability, gender, respecting human rights and good governance. This state plan is aligned with the proposed project's three components in improving the management of state PAs, by protecting KBAs and the amplification of PAs; by addressing sustainable production and financial sustainability, as well as designing an incentives program.
235. The project is aligned with the State Development Plan of Oaxaca (2016-2022) by addressing a regional approach considering micro regions, clusters of productive activities and business agriculture. On the strategic line 4, An innovative and productive Oaxaca is presented to address extreme poverty, employment by strengthening the economy and increasing productivity. The environmental sector is identified as a priority on the strategic line Sustainable Oaxaca focusing on forestry management. Oaxaca also counts with a recently launched State Land Use Plan identifying areas of high biodiversity as well as with the Oaxaca State Wetlands Program (2012-2016) by improving management and connectivity between PAs to improve biodiversity conservation.
236. In addition, the proposed project seeks to consolidate and further develop previous efforts that have been made in the region, particularly GEF funded projects, such as: The Consolidation of the System of PAs; Improvement in Production Landscapes of the Biosphere Reserve El Triunfo; Mechanisms of Biodiversity Conservation in Private Lands; as well as activities with the private sector, such as in the GEF funded project "Mainstreaming the Conservation of Ecosystem Services and Biodiversity at the Micro- watershed Scale in Chiapas." The project will identify synergies with projects that are currently being implemented, especially the project, "Protected Natural Areas Resilience to Climate Change and Coastal Watersheds in the Context of Climate Change."

**Table 9: Consistency with National Priorities, Plans, and Policies**

National Priorities	Project Consistency
<b>National Development Plan</b>	The project will contribute to fulfilling the objectives of the component IV "Mexico Prospero," specifically Objective 4.4, which seeks "to promote and guide an inclusive green growth, facilitating the preservation of our natural heritage while generating wealth, competitiveness and employment."
<b>Environment Sector Program</b>	The project is aligned with the Objective 1: Sustained and sustainable low-carbon growth with equity and social inclusion.
<b>National Biodiversity Strategy and Action Plan</b>	The proposed project is strategically aligned with the updated NBSAP given that it will create new protected areas and expand current protected areas where threatened species exist. The project will incorporate sustainable management and use of natural resources as well as address direct threats to areas of high biodiversity by converting conventional production into sustainable systems (focusing on KBAs). The project will also strengthen governance by increasing the capacity of local key stakeholders to improve decision making related to sustainable landscape management.  The project strategy directly addresses three of six strategic axes, six of 24 action lines, 17 of 160 actions and 38 of a number of specifications contained in the NBSAP; since it is linked to the Aichi Targets, the project indirectly contributes to them (see below subsection K).
<b>National commitments to the CBD</b>	The project will mainly contribute to meet with the Aichi Targets 11 and 12, but also 3, 5, 7, 14, 16 and 18.
<b>CONANP 2040 Strategy</b>	The project will help to address the main objectives of the CONANP 2040 strategy, specifically: promote the participation of key stakeholders and local communities in the conservation of biodiversity and ecosystem services; address sustainable



	production and consumption of natural resources; enhance the coordination of public programs and environmental problems, and increase capacity of society and government to value the natural capital within PAs.
<b>State Development Plan of Chiapas (2013-2018)</b>	The project contributes to the Chiapas Development Plan by addressing sustainability, gender, human rights and good governance. The three components of the project also contribute to this plan by improving the management of state PAs, protecting KBAs and the amplification of PAs; addressing sustainable production and financial sustainability, as well as designing an incentives program.
<b>State Development Plan of Oaxaca (2012-2016)</b>	The project contributes to the Chiapas Development Plan by improving management and connectivity between PAs in support of biodiversity conservation, and addressing sustainability, gender, human rights and good governance.

#### K. Consistency with GEF Focal Area and/or Fund(s) Strategies

237. This project is consistent with the GEF-6 Biodiversity Focal area, contributing specifically to Objective 1 (BD1: Improve Sustainability of Protected Area Systems) and Objective 4 (BD4: Mainstream biodiversity conservation and sustainable use into production landscapes and seascapes and production sectors).

238. The table below provides additional information about the alignment of the project with the GEF-6 Programming Strategy:

**Table 10: Consistency with GEF focal area strategies**

GEF-6 Objectives and Programs	This project
<b>BD-1 Program 1: Improving Financial Sustainability and Effective Management of the National Ecological infrastructure.</b>	<ul style="list-style-type: none"> <li>Improving financial accessibility for PA management and sustainable production.</li> <li>Strengthening management of existing PAs through developing and implementing Annual Operational Plans for 662,417 ha.</li> </ul>
<b>BD-1 Program 2: Nature's Last Stand: Expanding the Reach of the Global Protected Areas Estate.</b>	<ul style="list-style-type: none"> <li>Establishing at least additional 102,403 ha to protected areas and corridors in priority areas containing globally significant biodiversity.</li> </ul>
<b>BD-4 Program 9: Managing the Human-Biodiversity Interface.</b>	<ul style="list-style-type: none"> <li>Developing and implementing integrated management plans for three priority landscapes, that include improving PA management and mainstreaming biodiversity conservation into productive landscapes.</li> <li>Improving the coverage of sustainable production (including best practices) in priority areas of the three landscapes.</li> <li>Building key stakeholders' capacity to conserve and manage their natural capital.</li> </ul>

239. The resources from the GEF will support Mexico's contributions towards fulfilling the following Aichi Targets:

- Targets 11 and 12 (Protected Areas, Landscapes and Seascapes, and Species Extinctions) by improving PA management and establishing new PAs and corridors under an integrated landscape approach; and
- Targets 5 and 7 (Reduction of Habitat Loss and Sustainable Management of Natural Resources) by improving sustainable production in habitats that are critical for biodiversity conservation and the provision of ecosystem services.



## L. Linkages with other GEF Projects and Relevant Initiatives

240. This project will link with other GEF projects and similar initiatives in the region by achieving the following **results**: (i) lessons learned and good practices among all these projects **systematized**; (ii) lessons learned and good practices identified through this systematization process, **integrated** into this project's annual plans to improve activities in the three landscapes; (iii) planning and execution of similar projects in the region, **coordinated** thematically and geographically.
241. These results will be achieved by the following activities:
- Organizing special events (face-to-face workshops, online meetings) for a) systematizing lessons learned and good practices and b) coordinating similar projects thematically and geographically.
  - Assuring the coordination of similar projects thematically and geographically through routine annual or biannual meetings of GEF projects organized by SEMARNAT and CONANP.
  - Building upon the above activities, seek and nurture coordination agreements.
242. Bilateral coordination and cooperation in the three landscapes will be sought and ensured in cases where synergies with particular projects are identified. For this purpose, the Project Management Unit (PMU), in close coordination with CONANP and CI, will organize events, workshops, one initial and several consecutive annual meetings. These activities will be implemented and followed up by the PMU together with CONANP's General Direction of Institutional Development and Promotion and the Regional Direction of the Southern Border, Isthmus and South Pacific Region.
243. Specific aspects of coordination and cooperation on a bilateral basis with other GEF projects are described in the last column of the following table:

**Table 11: Links with other GEF projects currently being implemented in Mexico**

Project Name	Years (Start-End)	Budget	Donor(s)	Project objective and short description how this project is related to the GEF project	Coordination and cooperation with existing GEF projects
GEF ID 2078, 2654, 2655 Protected Areas Program	1995-2018	US\$25 million	GEF, The World Bank, Government of Mexico	To strengthen priority PAs' management in Mexico. This program provides specific funds for operating costs of three PAs (El Triunfo, La Sepultura and La Encrucijada). The current management of PA is a baseline investment to improve management at the landscape scale.	This project will complement management actions in the area with a landscape approach and cover some needs for connectivity among PAs.
GEF ID 4149: Mitigating Climate Change through Sustainable Forest Management (SFM) and capacity building in the Southern States of	2011-2016	US\$5.1 million	GEF, National Forestry Commission (CONAFOR)	To mitigate climate change in the agricultural units selected in three Southern States (Campeche, Chiapas and Oaxaca), strengthening SFM and creating local capacities, including the reduction of emissions by deforestation and the increase of carbon sequestration potential through the financing of innovative and relevant	The project will consider lessons learned and baseline information in terms of mitigation, capacity building in rural businesses and forest management mainly for the Sierra Madre de Chiapas landscape.

Mexico (Campeche, Chiapas and Oaxaca)				initiatives for the most vulnerable populations, particularly indigenous peoples. The project also seeks dissemination of information and local participation in carbon sequestration monitoring. SFM and capacity built for Oaxaca and Chiapas will be considered under this proposed project.	
<b>GEF ID 3813: Integrating Trade-offs between Supply of Ecosystem Services and Land Use options into Poverty Alleviation Efforts and Development Planning</b>	2010 - 2015		UNEP – CONANP, CONAFOR, WWF	Mainstream biodiversity conservation into natural resource use and development planning in the Mixteca Region of Oaxaca integrating ecosystem services (ES) tools and sustainable livelihood options.	This project will incorporate lessons learned in terms of development planning, tools for ecosystem services and sustainable livelihoods activities.
<b>GEF ID 4763: Strengthening Management Effectiveness and Resilience of Protected Areas to Safeguard Biodiversity Threatened by Climate Change</b>	2013-2018	US\$10.2 million	GEF, UNDP - CONANP	To ensure that Mexican Protected Area system is spatially configured and managed to increase resilience to the adverse impacts of climate change on biological diversity. National and local capacities for mitigation and adaptation to climate change are strengthened. This proposed GEF project will profit from lessons learned by the resilience project in overlapping areas, thus increasing impact especially through actions that promote adaptation in communities, ecosystems and productive activities.	CONANP will manage the coordination between the two projects by exchanging experiences in themes related to resilience to climate change, monitoring of biodiversity, and connectivity among PAs
<b>GEF ID 4207: Sustainable Production Systems and Biodiversity Project</b>	2012-2017	US\$11.8 million	GEF, National Commission for the Use and Knowledge of Biodiversity (CONABIO)	To conserve and protect nationally and globally significant biodiversity in Mexico through mainstreaming biodiversity-friendly management practices in productive landscapes in priority biological corridors. Topics addressed by the project are: Sustainable production chains and biodiversity	The project will share lessons learned on producer organizations and financial mechanisms for green production. The project will also seek exchanges of experiences on the results of CONABIO's project related to production chains, especially coffee, honey, cocoa, etc. vs

				conservation; mainstreaming green production and markets; institutional strengthening and standards for green production; biological corridors. The proposed project will assess territorial overlap between the two projects, as well as opportunities for agreements between CONANP and CONABIO on actions for strengthening current projects and previous investments.	value chains and market access proposed by this project.
<b>GEF ID 5089: Strengthening Management of the PA System to Better Conserve Endangered Species and their Habitats</b>	2015-2020	US\$5.6 million	GEF, CONANP	PAs in Mexico contribute effectively to the conservation of endangered species. There are opportunities for coordination in two critically endangered turtles in the coast of Oaxaca for monitoring purposes and sustainable management strategies of the areas.	Coordination will consist of exchanging information on monitoring habitat, population status and management of sea turtles ( <i>Dermochelys coriacea</i> and <i>Lepidochelys olivacea</i> ).
<b>GEF ID 9613: Mainstreaming Biodiversity Conservation and Enhancement Criteria in Mexico's Tourism Sector</b>	2018 - 2023	US\$7.2 million	GEF, UNDP, SECTUR	To promote biodiversity conservation with emphasis on BD-rich coastal ecosystems through the design and implementation of innovative policies and models of sustainable tourism in Mexico at the national and the local levels.	The PMU of this project will collaborate in the PPG phase to exchange information and define complementary activities.
<b>GEF ID 9555: Sustainable Productive Landscapes</b>	2018 - 2023	US\$21.8 million	GEF, World Bank, SEMARNAT, SAGARPA, FIRA	To develop sustainable productive landscapes which promote connectivity of forest landscapes for biodiversity conservation and ecosystem services. Topics addressed by this project: harmonization and alignment of programs for integrated landscape management; development of local platforms for landscape governance; implementation of sustainable and diversified rural production systems. The proposed project will assess and address productive activities, on seven territories, including the northern Sierra of Oaxaca and will implement,	The present project does not geographically but thematically overlaps with this GEF-World Bank project which currently is in the appraisal stage. When the implementation stage of both projects begin, experiences will be exchanged on landscape management, governance and financial mechanisms as well as on sustainable production value chains with market access.

				through lessons learned on past projects, a process that can enhance governance platforms and innovate financially considering an integrated landscape management approach.	
<b>GEF ID 9380: Securing the future of Global Agriculture in the Face of Climate Change by Conserving the Genetic Diversity of the Traditional Agro-ecosystems of Mexico</b>	2017 - 2021		FAO - CONABIO	To develop policies and mechanisms that support agro-biodiversity conservation, sustainable use and resilience, by promoting the knowledge of traditional agro-ecosystems and the cultural methods that maintain that agroBD in Mexico.	The project relates geographically to the states of Oaxaca and Chiapas and thematically to maize and cacao systems, among others. This project will share information of the PIS and production systems and producers might change experiences. But specific activities will be agreed between both projects at the beginning and during the life time of both project.

244. This Project will also establish cooperation linkages with the ongoing CONANP project on the Ameca–Manatlan corridor in Jalisco, funded by FFEM and AFD. Similar to the present initiative, the model pursued by the Ameca–Manatlan project is an interesting alternative to traditional categories of protected areas by creating a biocultural landscape with a voluntary approach based on consensus between different actors. It also allows to put the focus on sustainable economic development and the protection of environment within a territory with outstanding natural and heritage features. Once installed, the PMU will seek regular contact and experience exchange with this project.

#### **M. Consistency and Alignment with CI Institutional Priorities**

245. This project is aligned with the geographic and thematic priorities of CI Mexico. For example, CI is currently working in sustainable production landscapes in the Sierra Sur of Oaxaca in sustainable coffee production with Starbucks and Louis Dreyfuss Company and in the Sierra Madre de Chiapas in cacao production and marketing with various partners.

246. The approach of the project is fully aligned with CI's focus in: conserving the natural capital by improving governance; developing best production practices; and securing that financial mechanisms are in place for the long-term conservation of ecosystem services. CI works also through innovation with demonstration projects; once tested they are replicated by working with global agents of change to amplify these models around the world. As well as the Sustainable Sea and Landscapes Initiative based on field experiences and expertise. CI's Rights-Based Approach which addresses six policies (Gender, Involuntary Resettlement, Protection of Vulnerable Populations, Indigenous Peoples, Partnerships, Research Ethics) and counts with tools and is fully linked to the safeguards plans of this project.

#### **N. Communications and Knowledge Management**

247. Unlike other GEF projects in Mexico, the idea of this initiative is not to position the project only in the environmental, but also in the production sector thinking in categories of integrated landscape management. This includes using social marketing tools to build awareness in landscape communities for modifying negative behaviors that affect biodiversity. It also includes

promoting agricultural products with a market approach ensuring that the market is present from the beginning of the project, not at the end as often happens.

248. The general concept of this strategy is to increase the positioning of the three landscapes at the decision-making level in public and private investments, promote the consumption of sustainable agricultural products and services and knowledge management generated by the project, through dissemination in key audiences.
249. Since component 2 of the project considers sustainable production with a market approach, it will be essential that productive products and projects generated in the project (such as short, long chains, producer-owned chains or chains of third parties) are adequately disseminated to promote their consumption and to make known to the potential consumer the unique attributes of these products (whether they are certified, presented as brand new, organized as collective, or other trademarks). Likewise, component 3 of the project considers, as part of the financial market mechanisms, the sales and revenues generated by productive activities in their direct relationship with the market to generate profits that are reinvested in local conservation and sustainable development. Therefore, it is essential to invest in diffusion and marketing.
250. The communications strategy will focus on three specific objectives:
1. Building awareness among the local population in the three priority landscapes to facilitate their involvement and / or consumption of local products generated by the project: Identification of negative behaviors and barriers that affect the sustainability of the landscape. From this rapid assessment, messages will be defined and disseminated to modify these attitudes towards more positive ones, such as campaigns of pride, considering language and local communications media, especially community radios.
  2. Positioning of the three landscapes in the general public: Building on a rapid assessment of current and potential market for each value chain / product, a general communication strategy will be designed for each product in terms of image, including a work plan that defines contents, key audiences and channels to reach them. Campaigns in social networks and possibly face-to-face promotions in self-service stores will be carried out. On the basis of secondary information, target markets will be identified to spread information about the unique aspects of the products that come from the three landscapes. During the development of the project the communications strategy will be implemented in phases, where first the three landscapes in general will be disseminated, then the products that come from each landscape, either as collective marks generated or other brands used in value chains of the agricultural products promoted by the project, and in the final phase joint promotions with the stores that offer the brands generated in the landscapes.
  3. Systematize knowledge generated by the project disseminated between communities and the environmental sector: Knowledge generated by the project will be systematized and processed in formats that allow its transmission in local languages and in Spanish, such as: exchange of experiences, learning to do, dialogue of knowledge, among others. A project specialist will be dedicated to the management of this knowledge, he will design the mechanism to collect, systematize, transmit, safeguard and disseminate knowledge both within the project team, in the communities attended by the project, and in the environmental sector in general. The project personnel will also be present in some key national and international events in order to disseminate and exchange knowledge generated by the project.
251. The activities of the communications strategy will be developed in more detail in the work program during the implementation of the project.

## **O. Lessons Learned During the PPG Phase and from other Relevant GEF Projects**

### Lessons learned during the PPG phase

252. In the preparatory workshops during the PPG stage, the approach to strengthening conservation of biodiversity with a landscape approach and building governance platforms at various scales was considered to be an asset.
253. The strategy to include the value chain approach with market orientation is considered by key stakeholders as being innovative, in contrast to usual practices, for example in CONANP where processes in communities do not go beyond the stage of primary production.
254. Consultancies were identified as an area where improvements should be addressed:
- Improve and strengthen the process to select consultants, preferring the ones who can both, provide technical expertise, and help organize the ideas of the conducting team.
  - Promote the coordination and collaboration between the different consultants who participate in the project.
  - Promote longer consultancies to obtain more accurate data through field work.
  - Select priority sites and species first than carrying out the consultancies, since this information may have helped to obtain more accurate data on different areas such as safeguards, financial mechanisms, and markets.
255. Strengthen the facilitation strategies and logistics for the project's planning meetings to achieve better agreements and build common positions.
256. Promote continuity between the different project's planning activities. It is essential to inform stakeholders of the progress and activities that have been carried out.
257. Improve the coordination between CI and CONANP's personnel, especially the PAs directors to better address the integrative management approach.

#### Lessons learned from other relevant GEF projects

258. The design of this project benefited greatly from CONANP's and CI-Mexico's previous experiences. Areas of thematic pooling of experiences included strategy development, management and conservation of biodiversity with active participation of local communities, supporting social productive organizations and working with municipalities. Moreover, the participative approach put in place benefited greatly from carrying out on site planning activities and form actively engaging local actors such as representatives of leading producer's associations and CONANP's PAs staff operating in the field, among others.
259. This joint work carried out among the co-executing agencies was crucial during the PPG process. For example, in workshops and meetings with various federal agencies, CONANP and CI officials obtained the endorsement from key government to work together at the landscape level to enhance the impact and performance of their mandates. Moreover, they expressed an interest of becoming part of the envisaged governance body, corroborating this in the letters of commitment they submitted.
260. The PPG phase offered opportunities to develop a strong sense of cooperation among the Leading Group members: by being involved in building and reaching consensus, by establishing clear roles and responsibilities, and by developing a growing sense of trust being built among team members, establishing a solid institutional foundation for the implementation phase. The adaptive management approach was helpful as a conceptual platform.
261. The challenges and lessons identified during the PPG phase are, a) in broader territorial regions, such as the three priority landscapes, more time and resources are required to generate and integrate quality field information; b) it is desirable to first carry out a thorough biodiversity analysis as the foundation for defining the priority landscapes, and then delimit the primary sites of intervention; and c) to address properly the issue of safeguards was a challenge, particularly finding a team with experience and knowledge of the subject.

262. The following are some key lessons learned from other projects and considered during the PPG process:

- A participatory design of the project shall facilitate long-term achievements.
- A budget designed in a general way (i.e., not too specific and tied to concrete actions) allows much needed flexibility in the management of the project design and its eventual implementation.
- The project staff and operational team as well as consultants hired by the project should be experts and experienced people who know the social, cultural and economic context of the territory; this a necessary condition to get positive impacts from the project in the short and medium term.
- It is important to create alliances to achieve inter-institutional agreements and to obtain the necessary support to ensure the sustainability of the project.
- Developing and strengthening local technical capacities and exchange of experiences is crucial during project lifetime.

## SECTION 4: COMPLIANCE WITH CI-GEF PROJECT AGENCY'S ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK (ESMF)

### A. Safeguards Screening Results and Categorization

263. As part of the PPG process of this project, the Executing agencies (CI Mexico and CONANP) performed a general review of the different components, introduction, context, compliance of environmental conventions and country legal and institutional frameworks. Eligibility questions were answered and an eligibility assessment was undertaken, implementing completely CI's Screening Results and Safeguards Analysis evaluation framework. This screening happened in August, 2016 and the CI-GEF project agency identified safeguards that the project must comply with. The project triggered five safeguard policies:

- I. Involuntary resettlement
- II. Indigenous peoples plan
- III. Grievance mechanism
- IV. Gender mainstreaming plan
- V. Stakeholder engagement plan

Table 12: Safeguard screening results

Policy/Best Practice	Triggered (Yes/No)	Justification
<b>Environmental and Social Impact Assessment Policy</b>	No	No significant adverse impacts are expected on natural habitats critical to social groups.
<b>Protection of Natural Habitats Policy</b>	No	No significant adverse environmental and social impacts are expected that are sensitive, diverse and unprecedented.
<b>Involuntary Resettlement Policy</b>	Yes	The project includes the expansion of new protected natural areas, which could restrict the access and use of natural resources but <u>not involuntary or voluntary resettlement</u> . In addition, agrarian irregularity and land tenure uncertainty in populations potentially affected by the project obliges it to address safeguards related to resource access.
<b>Indigenous Peoples Policy</b>	Yes	The project plans to work in lands and territories whose traditional owners, customary users, or occupants are indigenous peoples.
<b>Pest Management Policy</b>	No	No activities related to pest management are proposed.
<b>Physical Cultural Resources Policy</b>	No	No activities related to physical or cultural resources are proposed.



<b>Stakeholder Engagement</b>	Yes	The project will involve local communities, CSO and the government, among others. The project shall facilitate the effective participation of these actors.
<b>Gender mainstreaming</b>	Yes	Men and women perform a series of activities inside the PAs and in their areas of influence. The project shall take into consideration the local conditions faced by both men and women, and monitor the impacts of its initiatives and projects on men and women.
<b>Accountability and grievance mechanism</b>	Yes	Since this is a GEF project with public funds, the participants shall be able to submit complaints and present their case to the project agency.

264. This project was categorized as Category C (with minimum or no environmental and social impacts).

**Table 13: Safeguard categorization**

PROJECT CATEGORY	Category A	Category B	Category C
			X
<p><i>Justification:</i>  Due to the above-mentioned safeguard policies, as argued throughout this document and technical annexes, the Project belongs to Category C, in terms of its absence of negative environmental or social impacts, even if indigenous peoples and Afro-descendants are present in the areas where the primary intervention sites are located. Moreover, the project has already considered the need to build stakeholder engagement processes in the territories where it will be executed, seeking, particularly, the implementation of the gender approach and the establishment of grievance and conflict resolution mechanisms. Being a Category C project, this project does not result in negative impacts or the need of special attention to habitat protection and pest management, nor in negative impacts to monuments, etc. Nonetheless, these aspects shall be taken into account highlighting the positive contributions in terms of biodiversity management and conservation associated to the diversity of cultural manifestations in the primary intervention sites.</p>			

## **B. Compliance with Safeguard Recommendations**

265. This section provides a summary of the actions that were undertaken during the PPG phase to comply with the recommendations of the Safeguard Screening review process described above.

266. These actions include the development of:

- Guiding principles for the project
- Social safeguards for improved governance mechanisms in the priority landscapes:
- Restrictions of access to natural resources:
- Indigenous peoples safeguard plan
- Gender mainstreaming plan
- Stakeholder engagement plan

267. The formulation of the different plans to comply with the safeguards was a priority and continuous activity during the PPG phase, involving different stakeholders from the coordination unit (CI Mexico and CONANP) to consultants, academia, governmental institutions, civil society and vulnerable groups.

268. The activities that were carried out to support the development of the safeguard plans include: six planning workshops (two per landscape), two workshops with research institutions (one per s

269. tate) and six with NGO and government institutions, nine coordination meetings between CONANP and CI Mexico, and 67 local interviews. A total of 249 peoples (184 men and 65 women) participated in these activities, including indigenous peoples and other vulnerable groups.

270. A map of actors was developed to identify their different needs and opinions; this map was revised and commented by the coordination unit and the consultant team on safeguards.

271. The different plans were conceived from a comprehensive approach to both, guarantee fundamental rights –emphasizing those of the indigenous peoples and local communities that inhabit the region–, and promote the equal participation of a wide and cultural diverse group of actors. Their development was based on the data and information gathered during the planning workshops that took place in the three landscapes and from bibliographic references.
272. During the PPG phase, different conflicts at the landscape level were identified as crucial to develop an appropriate intervention strategy aiming to guarantee the successful implementation of the project. In this regard, the safeguard plans incorporate specific dispositions according to the characteristics of each landscape.
273. The integration of the safeguard’s recommendations in all the stages of the project, from its design to completion, will increase the probability of success by favoring cultural and gender inclusion, as well as fair distribution of benefits and equitable access to natural resources.
274. The safeguards will also help to identify and avoid unjustified limitations on the access and use to natural resources that frequently occur when a new PA or zoning is created and some environmental restrictions are established affecting the traditional practices of local communities and indigenous peoples.
275. The Project Management Unit will ensure timely access to information and full and effective participation of key stakeholders in the different activities, methodologies and procedures of the project. Communication and dissemination tools will be developed in priority local indigenous languages.
276. The PAs management plans will be used as a normative tool to organize consultation processes and build agreements with local population. The Process Framework for Restriction of Access to Natural Resources will be adapted to the specific needs of the region and will be used a complementary consultation mechanism.
277. Collaborative networks will be consolidated to address two crucial needs: 1) coordination with research centers and institutions of higher education, and 2) strengthening CONANP’s capacity to mitigate socio-territorial conflicts in the region which could affect conservation activities.

**Guiding principles for the project are:**

- The project shall economically compensate or propose sustainable production alternatives and access to markets that value such products at a special price for producers that, for biodiversity conservation reasons, decide not to use natural resources or agrochemicals or crop varieties that threaten biodiversity (e.g. building mechanisms to ensure that the additional labor possibly involved in organic agriculture translates into the best price for producers).
- The project will promote women’s participation without increasing their workload or involving them in activities that are not of their interest (implementing the project activities in such a way that women have the *full opportunity* to participate, should they choose).
- The project will promote internal community regulations on the good use and conservation of water resources (to maintain water sources, prohibit clearing land for agriculture in water recharge areas, natural resource use).
- Local forms of organization, authorities and follow-up mechanisms will be considered by the project, particularly in the implementation of agreements.
- The project will verify and promote equitable benefit distribution, taking into consideration local benefit distribution practices, and actively seeking that the benefits derived from the sustainable use and harvesting of biodiversity are distributed equitably and efficiently.
- There will be a committee within the Grievance Mechanism comprising government institutions, civil society, and community representatives to solve specific complaints.

- Intercommunity governance organisms will be considered and promoted to manage and solve regional issues, such as the Intercommunity Group for Territorial Action in La Suiza Micro-watershed or GIAT (by its acronym in Spanish) and the Sierra Madre Group.
- Consider how cooperation agreements between resource owners and vulnerable populations inhabiting or using them are achieved so that these populations also benefit from local resources.
- Develop a scheme of intervention by a diversity of external actors in the landscape that achieves or combines conservation and development in a coordinated manner.

#### **Social safeguards for improved governance mechanisms in the priority landscapes:**

- As mentioned in the Project Strategy section, a multi-stakeholder and multi-sector governance mechanism will be created by the key stakeholders including communities and productive social organizations representativeness for each priority landscape.
- An operational plan and rules of procedure for the governance system will be developed and formalized.
- The governance system will cover at least the following functions: planning, management, surveillance and supervision, political influence, respond to grievances and follow-up on conflict solutions, and liaison with district committees for sustainable rural development.
- The participation of key stakeholders will be actively promoted, including local communities; federal, state and municipal governmental authorities; cooperatives, social and producers' organizations, academia, NGO and human rights organizations.
- Institutional agreements will be created in a participatory way to promote local and regional planning as well as land use.
- A multi-thematic surveillance agreement will be developed with competent authorities (SEDENA, PROFEPA, etc.) and communities.
- The internal organization of each community and *ejido* and their decision-making mechanisms will be respected, favoring the sustainable use of the territory and the traditional practices for conservation of natural resources.
- Governance mechanisms will be created for each landscape, based on the current decision-making spaces.
- An agreement to ensure transparency and continuity of the project will be sought involving communities and other key stakeholders.

#### **Restrictions of access to natural resources:**

278. In order to address this safeguard, the project developed a Process Framework (please see Appendix VI.1). The Process Framework includes the analysis of the social, development and ecological attributes of the project sites identifying the hectares of PAs potentially to be expanded per landscape, as well as social conflicts and strategies for managing such conflicts, criteria for eligibility of affected persons and propose measures to assist the affected persons in an unlikely event. This safeguard plan is also linked to the Grievance mechanism policies and there will also be monitoring activities when arrangements for conflict resolution are found.
279. The monitoring activities include indicators for voluntary restrictions, percentage on the consent of such restrictions and also for any compensation received. This safeguard plan also aims to support the sustainable use of natural resources and to ensure that every person in the localities from the different gender, age, and social categories (*ejidatarios*, recent settlers or “*avecindados*”, etc.), has equal opportunity to use and enjoy them.

#### **Indigenous peoples safeguard plan:**

280. The priority landscapes cover not only areas of high biodiversity but also multicultural territories that belong to Indigenous Peoples and Afro descendants. These groups represent 36.5% of the total population; this plan (please see Appendix VI.2) aims to ensure the active participation of these peoples and also that they receive culturally appropriate benefits. This plan

is closely related to the abovementioned Process Framework for Restrictions of Access to Natural Resources where the social attributes and conflicts are already identified. It is expected that the project management structure includes a safeguard advisory committee to guide PMU.

281. This plan includes social-cultural context information and identifies distribution of IP and Afro descendants communities within the priority landscapes and determines how the participation and consultation process will be done during implementation. The Free, Prior and Informed Consent Process is detailed with gender sensitiveness in this plan. The FPIC pretends to achieve consent about this project processes. There are some preliminary safeguards identified about the identification and respect for decision making of local structures and customary law regarding environmental regulations, in order to ensure benefits for local populations, establish local agreements and to identify sustainable practices for the traditional use and management of natural resources. This project will also consider indigenous communities that migrated twenty or thirty years ago to the Sierra Madre de Chiapas landscape.

**Gender mainstreaming plan:**

282. A gender analysis along with other social dimension like Indigenous Peoples, economical incomes, poverty, environment, etc. at Primary Intervention Sites will occur during the first 6 months of the project to define proper actions and achieve the target on women participation in the ILM. Through identifying and addressing barriers to participation, the project will structure activities to actively promote the involvement of women in dialogues; benefit-sharing; planning and decision-making processes related to their lands; and management and access to natural resources. A monitoring and evaluation mechanism will be created to establish a baseline (through information gathered during the gender analysis) and monitoring system with precise indicators to measure the actual participation of women and other vulnerable groups in conservation processes.
283. This plan states the context of gender from the national to the local level and identifies the inequalities resulting from the historic and cultural roles established for men and women in the project area (see Appendix VI.4). The plan aims to both, promote equal opportunities and responsibilities for men and women, and develop measures to compensate inequalities and achieve the best results with the project.

**Stakeholder engagement plan:**

284. A mapping of key stakeholders was developed during PPG phase which will be the basis to include roles, commitments, and level of participation in the project. This plan (see Appendix VI. 5) is closely related to the overall safeguard plans as it aims to ensure the active participation of key stakeholders and other vulnerable groups. The plan includes a summary of previous engagement activities and considers six categories of stakeholders and principles that can be applied when the engagement activities -such as trainings, meetings, talks, roundtables, among others- will take place. The main activities of this plan will be carried out by identifying schemes to promote the participation of young and older people and other vulnerable groups.
285. This project also aims to strengthen the governance of the priority landscapes at multi stakeholder and multi sector level to achieve their management in an integrated manner to both, enjoy the positive impacts of this management approach and conserve the natural capital.

## **SECTION 5: IMPLEMENTATION AND EXECUTION ARRANGEMENTS FOR PROJECT MANAGEMENT**

### **A. Execution Arrangement and Partners**

286. The project is the product of a partnership between the National Commission of Protected Natural Areas (CONANP) and CI México A.C. (CIMEX), based on their common interest and a long history of working together for the conservation of biodiversity in the state of Chiapas,

promoting good production practices and multi-institutional initiatives for the management of natural resources, with the participation of a significant number of civil society organizations, small-scale cooperatives, universities and government institutions. These stakeholders, and several others who participated in the PPG phase, form part of the institutional framework for the integrated management of three priority landscapes for the conservation of biodiversity in Oaxaca and Chiapas.

287. A Steering Committee (SC), composed of CONANP, CI Mexico (CIMEX), the CI-GEF Agency and the GEF will be established. The CI-GEF Agency, as the implementing agency, and the GEF, will ensure that the strategic focus of the project will be maintained through technical guidance, progress monitoring and impact assessment, including mid-term and final evaluations, review and approval of annual reports. CONANP and CI Mexico operate as co-executing agencies of the project, represented by the Regional Director of CONANP's "Southern border, Isthmus and South Pacific" office (DRBSISP, for its acronym in English) and the Executive Director of CIMEX, both will appoint their respective technical officers to follow up on a day to day basis. The Steering Committee will meet on a monthly basis with the Project Director (and invite other to participate on an ad hoc basis, like the Advisory Committee, subgrantees, consultants or other project partners), to review the project progress and discuss specific topics like monitoring and evaluation, compliance with social and environmental safeguards, annual work plans, review and approval of terms of reference, evaluations, grievance mechanism, inter-agency coordination mechanisms, fundraising activities, financial mechanisms, value chains, governance or other. Decisions will be made in principle by consensus.
288. CIMEX, as co-executing agency, will be responsible for the administration and execution of GEF funds, including the recruitment of personnel and consultancies and equipment of the Project Management Unit (PMU). CIMEX will also provide specific scientific and technical assistance on topics such as gender, biological monitoring, market-driven value chains, governance, partnerships, and management of relationships with key actors at national and state level, and corporations. CIMEX role will also be to encourage the stakeholders' engagement in the primary intervention sites where it has a presence in all three landscapes priorities.
289. CONANP, as a co-executing agency, will provide the PMU with office space in its field facilities within and near each priority landscape, and the capital cities of Chiapas and Oaxaca, to secure a close coordination of activities. Through the management and technical staff of the eight Protected Areas, in the three priority landscapes, and Oaxaca City, linkages with key local stakeholders will be developed (community, municipal, state and federal levels). CONANP will provide technical assistance and guidance based on its field experience, such as biological monitoring, best production practices, responsible fishing, non-timber forest resources, silvopastoral systems and community management, and in general management on PAs. It will support the analysis of information through the Technical Unit of the DRBSISP.
290. Also as part of the Advisory Committee, a Grievance Committee and a Value Chain Advisory Group . Other special advisory groups might be created as needed (for example for financial mechanisms):
  - **Advisory Committee:** This will be an external body composed of project partners participating with co-funding like SAGARPA, government of Oaxaca, government of Chiapas, and others. We will have bi-monthly meetings (or more as needed) to coordinate our investments and activities in the landscapes.
  - **Grievance Committee:** Within the Grievance Mechanism of this project and as a social safeguard of the CI-GEF, it will be composed of representatives of indigenous and Afro-descendant communities, of governance bodies that are formed for priority landscapes, Producer Organizations, and State Human Rights Commissions. Its function will be to assess complaints from users of the project that cannot be resolved by the Project Director or the

SC. Members of this committee will prepare a reports including evaluation of resolution options.

- **Value Chains Advisory Group:** It will be integrated by representatives of national and international companies, such as Bonafont, business groups such as Marca Chiapas®, ADO foundation, Walmart, GreenCorner, and other could be invited like Ministry of Economy, and other. Its function will be to provide advice on the development of market-driven value chains based on real time market intelligence, and to explore partnerships with the Producer Organizations to help develop those value chains.

291. We will also promote the formalization of governance bodies in each landscape, with a structure and operation rules, based on the local context of each region. As a point of reference, there is a group for the Sierra Madre of Chiapas, led by CONANP, called "Sierra Madre Group", which aims to guide programs for the conservation of ecosystem services; it includes CI Mexico and Pronatura Sur, FONCET, SEMAHN, Secretariat of Planning, CONABIO and could be the basis for a governance body that could be formalized with support of this project. There are also fishing councils in coastal lagoons of Chiapas and Oaxaca, which during the PPG have shown interest in forming an organism improving the capacity to address common problems, align coastal landscape actions and improve practices. Resulting governance bodies will have the function of aligning resources and activities on the ground and enforcing agreements related to land use plans that will be designed in a participatory way during the project.
292. The PMU will be responsible for operational planning, day-to-day project activities and preparation of technical and administrative reports. It will give follow-up to the activities and products of consultants. This Unit will be composed of a Project Director, a Technical Manager, three Priority Landscape Coordinators, six Field Technical Assistants, one Finance Manager and one Administrative Assistant. In addition to CI's expertise pool there will be occasional support from consultants with expertise in communications, market drive value chains, financial mechanisms and safeguards, to provide advice to the PMU and achieve the desired targets.
293. The Project Director will be responsible for the good execution of the project, coordinate the financial and technical managers, will receive direct guidance from the Steering Committee and the advisory committees. He/She will be responsible of achieving the overall project objective. His/her tasks will include ensuring the integrated landscape management approach and the design of the financial mechanisms, lead the fundraising activities, develop the key partnerships with government and private sector partners, and design the market-driven value chain approach for the 7 products. He/She will also lead the Grievance Mechanism. The director will also visualize the project not only in the medium term but also in the long term as a mechanism that integrates the multi-stakeholder and multi-sector participation at a landscape scale, and coordinates and articulates investments with local participation and in general will lead the model of biodiversity conservation with a landscape approach with innovate financial mechanisms. He/she will also promote and coordinate working relationships with the partners of the project.
294. The Technical Manager main role will be tracking project implementation based on the monitoring and evaluation plan, integrated landscape evaluation framework, biodiversity tracking tool, Safeguards Plans, and governance mechanisms. He will oversee the three landscape coordinators and the consultants, facilitating the integrated landscape management approach among all stakeholders involved in the project. His/her tasks will be implementing the Monitoring and Evaluation Plan analyzing the data recorded by the project technicians and consultants, as well as generating reports on the progress and impacts of the project. Likewise, he/she will be in charge of establishing protocols for environmental, social and economic monitoring and evaluation, and compliance with the agreed targets (based on the landscape assessment framework). He/she will support coordination and follow-up on the commitments and suggestions of the advisory committees. He/she will be responsible for coordinating and monitoring the Biodiversity Tracking Tool throughout the priority landscapes, working in a



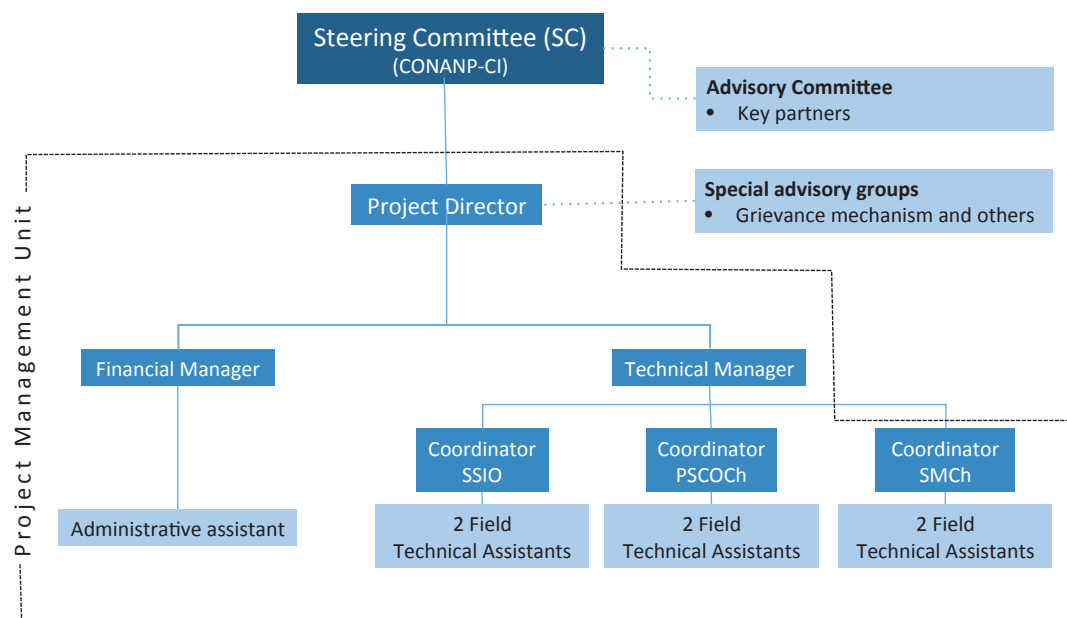
coordinated manner with the Protected Areas in different jurisdictions and other entities, such as research and education institutions and governmental agencies. The environmental and social safeguards plans will be analyzed with the team as first activity and training sessions will be provided to the PMU on environmental and social safeguards periodically to mainstream the strategies and achieve the goals and indicators related to the plans. By doing this, the PMU will naturalize and will address safeguards policies in all the activities of this strategies mainly when implementing activities at the field or landscape level or when interacting with consultants, partners, or subgrantees.

295. The three Priority Landscape Coordinators will be professionals with solid experience in social safeguards for productive and conservation projects. They will be responsible for overseeing the social safeguards in each of their landscapes by securing participation of women, indigenous people and youth across the project activities and based on the safeguard plans. Also, they will be managing and implementing land-use planning at the landscape level, as well as building governance mechanisms appropriate for the landscape, promoting the strengthening and management of municipal and community governance, overseeing the implementation of good productive practices, coordinate the recording of data for monitoring and evaluation and facilitate the logistics of field activities. Each of the officers will coordinate the management plans as well as the annual plans of the PAs located within their priority landscape, identify projects with other institutions and co-program aligned actions within the territory. Each officer will coordinate the actions of their field technicians operating within their priority landscape.
296. Field Technical Assistants are professionals with a general knowledge of conservation, land use planning, sustainable productive activities and participatory processes. They will support local work alliances to implement the project at locality and municipal levels. They will promote the best productive practices at the 16 Primary Intervention Sites and they will also collect locally social, productive, environmental and economic information. They will be responsible of project logistics at the local level, coordinating directly their activities with each Landscape Coordinator and the Administrative Assistant.
297. The Finance Manager will be responsible for managing the financial, material and human resources of the project, tracking the use of the financial support applied by project counterparts, and drawing up contracts. Other activities include compliance with the standard project provisions established by the CI-GEF agency, coordinate the fiscal, accounting, financial, and auditing processes. He/she will also coordinate with the partners of this project and keep track of the counterpart's support be it money or in kind; moreover he/she will assist in the monitoring, reporting and evaluation of results. This position will report directly to the Project Director, with oversight from CIMEX's Operations Director.
298. The Administrative Assistant will be responsible of ensuring procurement, procedures and file keeping. This position will support general requests in relation to the providers and reporting schedules. In addition, the Administrative Assistant will facilitate general logistics arrangements for all field activities and project events.
299. These institutional arrangements shall allow for constant interaction between key stakeholders, the PMU and CONANP and CI's field and management staff, facilitating the integration of project goals with timely conditions at implementation sites.
300. Finally, the approach in the implementation, monitoring and evaluation of this project will be highly participatory in both, decision-making and operations, and adaptive management will be always applied.



## B. Project Execution Organizational Chart

Figure 2. Project execution organizational chart



## SECTION 6: MONITORING AND EVALUATION PLAN

301. Project monitoring and evaluation will be conducted in accordance with established Conservation International and GEF procedures by the project team and the CI-GEF Project Agency. The project's M&E plan will be presented and finalized at the project inception workshop, including a review of indicators, means of verification, and the full definition of project staff M&E responsibilities.

### A. Monitoring and Evaluation Roles and Responsibilities

302. The Project Management Unit on the ground will be responsible for initiating and organizing key monitoring and evaluation tasks. This includes the project inception workshop and report, quarterly progress reporting, annual progress and implementation reporting, documentation of lessons learned, and support for and cooperation with the independent external evaluation exercises.

303. The project Executing Agency is responsible for ensuring the monitoring and evaluation activities are carried out in a timely and comprehensive manner, and for initiating key monitoring and evaluation activities, such as the independent evaluation exercises.

304. Key project executing partners are responsible for providing any and all required information and data necessary for timely and comprehensive project reporting, including results and financial data, as necessary and appropriate.
305. The Project Steering Committee plays a key oversight role for the project, with regular meetings to receive updates on project implementation progress and approve annual workplans. The Project Steering Committee also provides continuous ad-hoc oversight and feedback on project activities, responding to inquiries or requests for approval from the Project Management Unit or Executing Agency.
306. The CI-GEF Project Agency plays an overall assurance, backstopping, and oversight role with respect to monitoring and evaluation activities.
307. The CI Internal Audit function is responsible for contracting and oversight of the planned independent external evaluation exercises at the mid-point and end of the project.

## **B. Monitoring and Evaluation Components and Activities**

308. The Project M&E Plan includes the following components (see M&E table 8 for details):

- a. **Inception workshop**

Project inception workshop will be held within the first three months of project start with the project stakeholders. An overarching objective of the inception workshop is to assist the project team in understanding and taking ownership of the project's objectives and outcomes. The inception workshop will be used to detail the roles, support services and complementary responsibilities of the CI-GEF Project Agency and the Executing Agency.

- b. **Inception workshop Report**

The Executing Agency will produce an inception report documenting all changes and decisions made during the inception workshop to the project planned activities, budget, results framework, and any other key aspects of the project. The inception report will be produced within one month of the inception workshop, as it will serve as a key input to the timely planning and execution of project start-up and activities.

- c. **Project Results Monitoring Plan** (Objective, Outcomes, and Outputs)

A Project Results Monitoring Plan was developed by the Executing Agency, which will include objective, outcome and output indicators, metrics to be collected for each indicator, methodology for data collection and analysis, baseline information, location of data gathering, frequency of data collection, responsible parties, and indicative resources needed to complete the plan. Appendix III provides the Project Results Monitoring Plan table that will help complete this M&E component.

In addition to the objective, outcome, and output indicators, the Project Results Monitoring Plan table also includes all indicators identified in the Safeguard Plans prepared for the project, thus they will be consistently and timely monitored. The monitoring of these indicators throughout the life of the project will be necessary to assess if the project has successfully achieved its expected results.

- d. **GEF Focal Area Tracking Tools**

The BD GEF Focal Area Tracking Tool has been completed for submission at CEO endorsement and will be updated i) prior to mid-term review, and ii) at the time of the terminal evaluation.

- e. **Project Steering Committee Meetings**

Project Steering Committee (PSC) meetings will be held annually, semi-annually, or quarterly, as appropriate. Meetings shall be held to review and approve project annual budget and work plans, discuss implementation issues and identify solutions, and to increase coordination and communication between key project partners. The meetings held by the PSC will be monitored and results adequately reported.

- f. **CI-GEF Project Agency Field Supervision Missions**

The CI-GEF PA will conduct annual visits to the project country and potentially to project

field sites based on the agreed schedule in the project's Inception Report/Annual Work Plan to assess first hand project progress. Oversight visits will most likely be conducted to coincide with the timing of PSC meetings. Other members of the PSC may also join field visits. A Field Visit Report will be prepared by the CI-GEF PA staff participating in the oversight mission, and will be circulated to the project team and PSC members within one month of the visit.

g. **Quarterly Progress Reporting**

The Executing Agency will submit quarterly progress reports to the CI-GEF Project Agency, including a budget follow-up and requests for disbursement to cover expected quarterly expenditures.

h. **Annual Project Implementation Report (PIR)**

The Executing Agency will prepare an annual PIR to monitor progress made since project start and in particular for the reporting period (July 1<sup>st</sup> to June 30<sup>th</sup>). The PIR will summarize the annual project result and progress. A summary of the report will be shared with the Project Steering Committee.

i. **Final Project Report**

The Executing Agency will draft a final report at the end of the project.

j. **Independent External Mid-term Review**

The project will undergo an independent Mid-term Review within 30 days of the mid-point of the grant term. The Mid-term Review will determine progress being made toward the achievement of outcomes and will identify course correction if needed. The Mid-term Review will highlight issues requiring decisions and actions, and will present initial lessons learned about project design, implementation and management. Findings and recommendations of the Mid-term Review will be incorporated to secure maximum project results and sustainability during the second half of project implementation.

k. **Independent Terminal Evaluation**

An independent Terminal Evaluation will take place within six months after project completion and will be undertaken in accordance with CI and GEF guidance. The terminal evaluation will focus on the delivery of the project's results as initially planned (and as corrected after the mid-term evaluation, if any such correction took place). The Executing Agency in collaboration with the PSC will provide a formal management answer to the findings and recommendations of the terminal evaluation.

l. **Lessons Learned and Knowledge Generation**

Results from the project will be disseminated within and beyond the project intervention area through existing information sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation through lessons learned. The project will identify, analyze, and share lessons learned that might be beneficial in the design and implementation of similar future projects. There will be a two-way flow of information between this project and other projects of a similar focus.

m. **Financial Statements Audit**

Annual Financial reports submitted by the executing Agency will be audited annually by external auditors appointed by the Executing Agency.

309. The Terms of References for the evaluations will be drafted by the CI-GEF PA in accordance with GEF requirements. The procurement and contracting for the independent evaluations will be handled by CI's General Counsel's Office. The funding for the evaluations will come from the project budget, as indicated at project approval.

**Table 14: M&E plan summary**

Type of M&E	Reporting Frequency	Responsible Parties	Indicative Budget from GEF (USD)
a. Inception workshop and	Within three months of	• Project Team	7,500

<b>Report</b>	signing of CI Grant Agreement for GEF Projects	<ul style="list-style-type: none"> <li>• Executing Agency</li> <li>• CI-GEF PA</li> </ul>	
<b>b. Inception workshop Report</b>	Within one month of inception workshop	<ul style="list-style-type: none"> <li>• Project Team</li> <li>• CI-GEF PA</li> </ul>	1,500
<b>c. Project Results Monitoring Plan (Objective, Outcomes and Outputs)</b>	Annually (data on indicators will be gathered according to monitoring plan schedule shown on Appendix IV)	<ul style="list-style-type: none"> <li>• Project Team</li> <li>• CI-GEF PA</li> </ul>	2,500
<b>d. GEF Focal Area Tracking Tools</b>	i) Project development phase; ii) prior to project mid-term evaluation; and iii) project completion	<ul style="list-style-type: none"> <li>• Project Team</li> <li>• Executing Agency</li> <li>• CI-GEF PA</li> </ul>	2,500
<b>e. Project Steering Committee Meetings</b>	Annually	<ul style="list-style-type: none"> <li>• Project Team</li> <li>• Executing Agency</li> <li>• CI-GEF PA</li> </ul>	12,433
<b>f. CI-GEF Project Agency Field Supervision Missions</b>	Approximately annual visits	<ul style="list-style-type: none"> <li>• CI-GEF PA</li> </ul>	<i>Covered under personnel budget</i>
<b>g. Quarterly Progress Reporting</b>	Quarterly	<ul style="list-style-type: none"> <li>• Project Team</li> <li>• Executing Agency</li> </ul>	11,051
<b>h. Annual Project Implementation Report (PIR)</b>	Annually for year ending June 30	<ul style="list-style-type: none"> <li>• Project Team</li> <li>• Executing Agency</li> <li>• CI-GEF PA</li> </ul>	2,763
<b>i. Project Completion Report</b>	Upon project operational closure	<ul style="list-style-type: none"> <li>• Project Team</li> <li>• Executing Agency</li> </ul>	7,000
<b>j. Independent External Mid-term Review</b>	Approximate mid-point of project implementation period	<ul style="list-style-type: none"> <li>• CI Evaluation Office</li> <li>• Project Team</li> <li>• CI-GEF PA</li> </ul>	20,000
<b>k. Independent Terminal Evaluation</b>	Evaluation field mission within three months prior to project completion.	<ul style="list-style-type: none"> <li>• CI Evaluation Office</li> <li>• Project Team</li> <li>• CI-GEF PA</li> </ul>	20,000
<b>l. Lessons Learned and Knowledge Generation</b>	At least annually	<ul style="list-style-type: none"> <li>• Project Team</li> <li>• Executing Agency</li> <li>• CI-GEF PA</li> </ul>	15,000
<b>m. Financial Statements Audit</b>	Annually	<ul style="list-style-type: none"> <li>• Executing Agency</li> <li>• CI-GEF PA</li> </ul>	44,251

## SECTION 7: PROJECT BUDGET AND FINANCING

### A. Overall Project Budget

310. The project will be financed by a full size GEF grant of USD [Amount of GEF funding requested for the project] with co-financing from [list the name of the sources of co-financing]. A summary of the project costs and the co-financing contributions is given in the two tables below. The

project budget may be subject to revision during implementation. The detailed Project Budget is provided in Appendix VII.

**Table 15: Planned project budget by component**

	Project budget by component (in USD)				
	Component 1	Component 2	Component 3	PMC	Total budget
Personnel Salaries and benefits	431,826	1,266,484	680,112	183,873	2,562,294
Contractual services	206,333	600,272	136,333	44,251	987,190
Travels and accommodations	324,339	253,211	153,269	22,500	735,320
Meetings and workshops	370,012	134,392	97,929	67,247	669,580
Grants & Agreements	345,540	365,319	50,000	-	760,859
Equipment	93,172	418,124	76,576	-	587,871
Other Direct Costs	281,137	312,461	296,826	25,912	916,336
<b>TOTAL GEF FUNDED PROJECT</b>	<b>2,052,359</b>	<b>3,332,263</b>	<b>1,491,045</b>	<b>343,783</b>	<b>7,219,450</b>

**Table 16: Planned project budget by year**

	Project budget by year (in USD)					
	Year 1	Year 2	Year 3	Year 4	Year 5	Total budget
Personnel Salaries and benefits	372,881	486,422	542,736	542,390	617,865	2,562,294
Contractual services	187,788	182,988	203,388	183,788	229,239	987,190
Travels and accommodations	121,738	141,520	149,705	157,513	164,844	735,320
Meetings and workshops	132,370	121,906	123,225	133,710	158,369	669,859
Grants & Agreements	152,147	152,147	152,147	152,147	152,271	760,859
Equipment	231,138	77,753	78,331	121,075	79,574	587,871
Other Direct Costs	142,075	185,721	190,140	193,904	204,496	916,336
<b>TOTAL GEF FUNDED PROJECT</b>	<b>1,340,137</b>	<b>1,348,457</b>	<b>1,439,671</b>	<b>1,484,527</b>	<b>1,606,658</b>	<b>7,219,450</b>

## B. Overall Project Co-financing

**Table 17: Committed cash and in-kind co-financing (USD)**

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount
Co-Executing Agency: NGO	CI - Starbucks Foundation	Cash	1,000,000
Private Sector	FUNDACION ADO	In-kind	1,114,845

<b>NGO</b>	COOPERATIVA AMBIO S.C. de R.L.	In-kind	413,119
<b>Academia</b>	CIIDIR OAXACA, INSTITUTO POLITECNICO NACIONAL	In-kind	714,089
<b>NGO</b>	COSTA SALVAJE A.C. (WILDCOAST)	In-kind	729,405
<b>NGO</b>	FONDO DE CONSERVACION EL TRIUNFO, A.C.	In-kind	2,247,191
<b>NGO</b>	PRONATURA SUR A.C	In-kind	600,000
<b>Beneficiaries</b>	UNION COMUNIDADES INDIGENAS - ISTMO	In-kind	68,900
<b>Government</b>	SEMAEDESO OAXACA, SECRETARÍA DEL MEDIO AMBIENTE, ENERGÍAS Y DESARROLLO SUSTENTABLE	In-kind	434,931
<b>Private Sector</b>	ALSEA	In-kind	500,000
<b>Private Sector</b>	DANONE	In-kind	703,515
<b>Government</b>	SAGARPA	In-kind	26,800,000
<b>Government</b>	SEMAHN CHIAPAS, SECRETARÍA DE MEDIO AMIBENTE E HISTORIA NATURAL	In-kind	2,430,971
<b>Co-Executing Agency: Government</b>	COMISION NACIONAL DE AREAS NATURALES PROTEGIDAS	In-kind	9,700,000
<b>TOTAL CO-FINANCING</b>			<b>47,456,966</b>



## Appendix I: Project Results Framework

<b>Objective:</b>	Strengthening the conservation of globally significant biodiversity in the national system of protected areas and corridors, through integrated management of culturally diverse coastal and terrestrial landscapes of Oaxaca and Chiapas, Mexico.
<b>Indicator(s):</b>	<ul style="list-style-type: none"> <li>a. 15 globally significant species effectively conserved.</li> <li>b. 2,618,250 hectares with sustainable land use plans promoting biodiversity conservation</li> <li>c. 4,650 hectares under sustainable productive practices to support biodiversity conservation.</li> </ul>

Expected Outcomes and Indicators	Project Baseline	End of Project Target	Expected Outputs and Indicators
<b>COMPONENT 1:</b> Integrated management of three priority landscape for strengthening biodiversity conservation through land-use planning and the expansion and management of protected areas			
<b>Outcome 1.1:</b> Integrated management of three priority landscapes for biodiversity conservation is substantially strengthened through land-use planning and the expansion and management of protected areas.	<p>1.1 <b>Indicator 1 baseline:</b> 0 ha with sustainable land use plans at landscape level in the selected project area.</p> <p>1.1. <b>Indicator 2 baseline:</b> 0 conservation and monitoring plans for globally significant species.</p> <p>1.1. <b>Indicator 3 baseline:</b> 14 PAs have together an average management effectiveness of score of 49 out of 100 (according to METT).</p>	<p>1.1. <b>Indicator 1 target:</b> 2.6 million ha (PA and corridors) with sustainable land use plans and other tools for land use (scale 1: 50,000). (806,753 hectares in the Sierra Madre of Chiapas; 953,972 hectares in the Sierra Sur of Oaxaca; 857,525 hectares in the South Pacific Coast of Oaxaca and Chiapas)</p> <p>1.1 <b>Indicator 2 target:</b> Conservation and monitoring plans for 15 globally significant species developed and implemented.</p> <p>1.1. <b>Indicator 3 target:</b> 14 PAs (with a coverage of 662,417 ha) have together an average</p>	<p><b>Output 1.1.1:</b> A model of Integrated Landscape Management (ILM) for biodiversity conservation including protected areas and corridors developed and disseminated.</p> <p><b>Output 1.1.1 Indicator 1:</b> Number of gender-sensitive land use plans at an integrated landscape level. Target: At least 1</p> <p><b>Output 1.1.1 Indicator 2:</b> Number of gender-sensitive annual operational plans, one per Protected Area (PA), to be updated each year during project life time this project. Target: 14 operational plans per year</p> <p><b>Output 1.1.1 Indicator 3:</b> Number of Biodiversity monitoring protocols developed and implemented in each landscape. Target: 15</p> <p><b>Output 1.1.1 Indicator 4:</b> The Integrated Landscape Management (ILM) model for biodiversity conservation is validated by the coordinating body in</p>
<b>Outcome 1.1 Indicator 1:</b> Number of ha with sustainable land use plans and other land use tools promoting biodiversity conservation.			
<b>Outcome 1.1 Indicator 2:</b> Number of globally significant species under conservation and monitoring plans.			
<b>Outcome 1.1 Indicator 3:</b> Increase in the average <sup>23</sup>			

<sup>23</sup> Simple (not weighted) arithmetic average

management effectiveness of the landscapes including Protected Areas over the baseline, according to Management Effectiveness Tracking Tool (METT) baseline score (14 PAs).			management effectiveness score of at least 60 out of 100 (according to METT).	each priority landscape. Target: Model validated in Y2
<b>Outcome 1.2:</b> Expansion of protected areas with globally significant biodiversity.  <b>Outcome 1.2 Indicator 1:</b> Increase in number of hectares of protected areas.	1.2 <b>Indicator 1 baseline:</b> 709,951 ha of PAs within the three priority landscapes.	1.2 <b>Indicator 1 target:</b> 102,403 ha of land cover increase of PAs within the three priority landscapes, reaching a new cover of 812,262 ha.	<b>Output 1.2.1:</b> Draft legislation for the expansion of 102,403 hectares of two protected areas which have been locally consented and approved.  <b>Output 1.2.1 Indicator 1:</b> Percentage of rural and indigenous communities that grant their consent in PAs following the process of gender-sensitive Free, Prior and Informed Consent (FPIC). Target: 95%  <b>Output 1.2.1 Indicator 2:</b> Number of hectares with draft legislation for the expansion of protected areas. Target: 102,403 ha	<b>Output 1.2.1:</b> Draft legislation for the expansion of 102,403 hectares of two protected areas which have been locally consented and approved.  <b>Output 1.2.1 Indicator 1:</b> Percentage of rural and indigenous communities that grant their consent in PAs following the process of gender-sensitive Free, Prior and Informed Consent (FPIC). Target: 95%  <b>Output 1.2.1 Indicator 2:</b> Number of hectares with draft legislation for the expansion of protected areas. Target: 102,403 ha
<b>Outcome 1.3:</b> Governance in the three priority landscapes with multi-stakeholder and multi-sector participation improved.  <b>Outcome 1.3.1 Indicator 1:</b> A multi-stakeholder coordination body for each priority landscape is established and functional	1.3 <b>Indicator 1 baseline:</b> None governance mechanism existing at landscape level. There are basic efforts and interest of many stakeholders to improve governance.	1.3 <b>Indicator target 1:</b> Multi-stakeholder coordination body for each priority landscape is established and functional.	<b>Output 1.3.1:</b> Participation of key stakeholders, including women and vulnerable groups, in integrated landscape management and in decision-making substantially strengthened.  <b>Output 1.3.1 Indicator 1:</b> Percentage of key stakeholders <sup>24</sup> that are represented in the three governance bodies for integrated landscape planning and management. Target: 70%  <b>Output 1.3.1 Indicator 2:</b> Percentage of women participating in ILM governance mechanisms. Target: 30% of women out of a baseline of 15%	<b>Output 1.3.1:</b> Participation of key stakeholders, including women and vulnerable groups, in integrated landscape management and in decision-making substantially strengthened.  <b>Output 1.3.1 Indicator 1:</b> Percentage of key stakeholders <sup>24</sup> that are represented in the three governance bodies for integrated landscape planning and management. Target: 70%  <b>Output 1.3.1 Indicator 2:</b> Percentage of women participating in ILM governance mechanisms. Target: 30% of women out of a baseline of 15%

<sup>24</sup> Key stakeholders are those belonging to the different sectors constituting a PA Advisory Council: social, private, productive, academic, CSO, government).

				<p><b>Output 1.3.1 Indicator 3:</b> Percentage of indigenous peoples and afro-descendants participating in ILM governance mechanisms. Targets: An average of 20% of Indigenous Peoples and Afro-descendants, consistent with their proportion within the population of each landscapes<sup>25</sup></p> <p><b>Output 1.3.1 Indicator 4:</b> Percentage of youth participating in ILM governance mechanisms. Target: At least 10%, consistent with population representation age classes 20 – 29 yrs; baseline is the minimal participation of youth in decision making spaces</p>
<b>COMPONENT 2: Mainstreaming models of sustainable production with a market-driven value chain approach in agriculture, fishing, aquaculture, forest and tourism activities, as a pillar of integrated management of the three priority landscapes.</b>				
<p><b>Outcome 2.1:</b> The area of sustainable agricultural, fishery, aquaculture, forestry and tourism production is substantially increased through best practices and a market-driven value chain approach for biodiversity conservation.<sup>26</sup></p> <p><b>Outcome 2.1 indicator:</b> Number of hectares where Producer Organisations (cooperatives, association, family business, etc.) in Primary Intervention Sites (PIS) have adopted</p>	<p><b>2.1 Indicator baseline:</b> On zero ha, Producer Organizations<sup>27</sup> in Primary Intervention Sites (PIS) have adopted sustainable production practices as evaluated with CONANP's Index of Project Sustainability (IPS)</p>	<p><b>2.1 Indicator target:</b> On at least 4,650 hectares in the PIS sustainable practices have been adopted, as indicated by reaching the highest scores (6-10 points) for CONANP's Index of sustainable projects (ISP)</p>	<p><b>Output 2.1.1:</b> Conventional production is transformed into sustainable production practices in the 16 PIS through organizational strengthening activities like ToT programs, Exchange of experiences and others, developing market-driven value chains for biodiversity conservation.</p> <p><b>Output 2.1.1 indicator 1:</b> Number of Producer Organisations (PO) with potential to transform conventional production practices with market orientation in the primary intervention sites (PIS) that are identified, selected and classified and/or its creation is supported. Target: At least 9 POs</p> <p><b>Output 2.1.1 indicator 2:</b> Number of producers</p>	

<sup>25</sup> The average proportion of indigenous peoples and afro-descendants of the population in the three landscapes is 22% (see Appendix V.2 Indigenous Peoples plan), with significant differences that spread from 5.3% (SMCh) to 11.6% (PCOCh) up to 53.3% (SSO).

<sup>26</sup> The project will use CONANP's (2014) sustainable business strategy and index: [http://negocios-sustentables.conanp.gob.mx/documentos/ESTRATEGIA\\_NAL\\_NSS.pdf](http://negocios-sustentables.conanp.gob.mx/documentos/ESTRATEGIA_NAL_NSS.pdf)

<sup>27</sup> As a result of consultations carried out in the workshops and interviews with producers, organized groups and staff of CONANP, there are no such practices in the primary intervention sites that were evaluated under CONANP's sustainable business strategy.

sustainable production practices with a market-driven value chain approach.			(broken down into M/W, Indigenous peoples, Afro-descendant and vulnerable groups) organized in PO that have 6-10 points in the ISP, that participate in transforming conventional production into sustainable production practices in the 16 PIS. Targets: At least 1,000 producers, seeking proportional participation of M/W, IP and Afro-descendants and youth  <b>Output 2.1.1 indicator 3:</b> Number of demonstration cases of a successful model of sustainable production with a market-driven value chain for biodiversity conservation that is established in each of the three landscapes to promote learning by doing. Target: At least 5 cases
<b>Outcome 2.2:</b> Increased income of members of Producer Organisations (PO) that have adopted sustainable production practices with a market-driven value chain approach  <b>Outcome 2.2 indicator:</b> Increase in income of PO members, disaggregated by sex	<b>2.2 Indicator baseline:</b> To be defined during first year of the project once the PO are identified; during PPG we found that most of the producers or cooperatives do not have standardized recordings of their income and profits.	<b>2.2 Indicator 1 target:</b> An average 15% of income increase of members of Producer Organisations (PO) that have adopted sustainable production practices with a market-driven value chain approach.	<b>Output 2.2.1:</b> Producer Organisations (PO) have improved access to markets and financial mechanisms due to sustainable products.  <b>Output 2.2.1 indicator 1:</b> Number of PO that have a partnership with a buyer that will help guide the development of their value chains early on in the process. Target: At least 9 PO  <b>Output 2.2.1 indicator 2:</b> Percentage of PO that benefit from financial mechanisms for investment in sustainable practices and value chain development. Target: 50% <b>Output 2.2.1 indicator 3:</b> Number of value chains that reach new markets <sup>28</sup> . Target: 7 POs

<sup>28</sup> There will be 1 value chain for each of the 7 products previously identified.

COMPONENT 3: Increasing financial sustainability in the integrated management of the three priority landscapes			
<p><b>Outcome 3.1.:</b> Access to investments from public and private programs oriented towards ILM and SPP* substantially increased.</p> <p><b>Outcome 3.1 Indicator 1:</b> Increase in <b>public-private co-funding aligned</b> for integrated landscape management and sustainable production with market-orientation and value-chain approach</p> <p>*SPP: Sustainable Production Projects with market-driven value-chain approach</p>	<p>3.1 <b>Indicator 1 baseline:</b> Zero. Public-private funding for ILM is virtually limited to the environmental sector (SEMARNAT, CONANP, CONAFOR and a few corporations and CSO)</p> <p>A comprehensive baseline assessment will be delivered during the first project year.</p> <p>A first approximation to potential investments from public programs: Baseline investment on PA management 2016 (CONANP, 2017)<sup>29</sup></p> <p>a) SMCh, USD 868,000; b) PCOCh, USD 847,000; c) SSO, USD 311,000.</p> <p>Total amount invested by CONANP (annual average): USD 2 Million and diminishing.</p> <p>2016 key investments supporting productive activities from other government institutions (SEMARNAT, CDI, CONAFOR, SEDESOL, SAGARPA) in these landscapes were approximately of: USD 71 Million.</p>	<p>3.1 <b>Indicator 1 target:</b> At least USD 21 Million of the ongoing investments from public and private institutions in the three landscapes, will be aligned with this project to support integrated landscape management and sustainable production in the last project year (2022) (alignment will be determined by an alignment criteria catalogue to be developed by the project).</p>	<p><b>Output 3.1.1:</b> Existing public and private programs mainstream their investments towards supporting the project activities, outputs and outcomes for ILM and SPP in the 16 PIS.</p> <p><b>Output 3.1.1 Indicator:</b> Number of public or private sources of ongoing investments that have supported or coordinated with project activities, outputs and outcomes for ILM and SPP in the 16 PIS. Target: At least 7 support programs</p> <p><b>Output 3.1.2:</b> Mixed financing mechanisms not currently available in these landscapes (public-private partnerships, market based financing, results oriented or other) are set up, as long-term solutions to reduce CONANP's funding gap and/or reduce the barriers to develop the market-driven value chains.</p> <p><b>Output 3.1.2 Indicator:</b> Number of financial mechanisms new to the region that are supporting project activities, outputs and outcomes, funded by diversified sources (could be market based, mixed public-private or other) as a long-term solution to for ILM and SPP activities in the three landscapes. Target: At least 3 financial mechanisms</p>
<p><b>Outcome 3.1 Indicator 2:</b></p>	<p>3.1 <b>Indicator 2 baseline:</b> No innovative</p>	<p>3.1 <b>Indicator 2 target:</b> At least</p>	

<sup>29</sup> Balderas et al. 2017: ProDoc, baseline assessment citing CONANP's Internal document.

<p>Increase in public-private funding for ILM and SPP* through <b>new (innovative) financial mechanisms</b> (e.g. green bonds, risk capital investments, carbon marketing, and others) or the expansion of existing ones in the country to cover these three landscapes.</p>	<p>financial mechanisms identified in the three priority landscapes, however there are several successful financial mechanisms operating in the country (priority species fund, Paralelo 28, Paisano initiative, El Triunfo Fund, FINDECA), and the project could benefit from scaling and adding new and diversified sources of funding.</p>	<p>US\$500,000 will be funded for ILM and SPP* through additional and diversified sources of funding (did not exist before project start) in the 16 PIS.</p>	
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## Appendix II: Project Timeline

	Timeline															
	Year 1				Year 2				Year 3				Year 4			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
<b>Outcome 1.1.1:</b> Integrated management of three priority landscapes for biodiversity conservation is substantially strengthened through land-use planning and the expansion and management of protected areas.																
<b>Output 1.1.1.1:</b> A model of Integrated Landscape Management (ILM) for biodiversity conservation including protected areas and corridors developed and disseminated.	X	X	X	X	X	X	X	X	X	X	X	X	X	X		
<b>Outcome 1.2:</b> Expansion of protected areas with globally significant biodiversity.																
<b>Output 1.2.1.1:</b> Draft legislation for the expansion of 102,403 hectares of protected areas which has been locally consented and approved.			X	X	X	X	X	X		X						
<b>Outcome 1.3:</b> Governance in the three priority landscapes with multi-stakeholder and multi-sector participation improved.																
<b>Output 1.3.1.1:</b> Participation of key stakeholders, including women and vulnerable groups, in integrated landscape management and in decision-making substantially strengthened.	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X





### APPENDIX III: Project Results Monitoring Plan with safeguards monitoring plans (with 19 safeguard indicators)

Indicators	Metrics	Methodology	Baseline	Location	Frequency	Responsible Parties	Indicative Resources
<b>Objective:</b> Strengthening the conservation of globally significant biodiversity in the national system of protected areas and corridors, through integrated management of culturally diverse coastal and terrestrial landscapes of Oaxaca and Chiapas, Mexico.							
<i>Indicator a:</i> 15 globally significant species effectively conserved.	N° of species	Monitoring protocols	15	16 Primary Intervention Sites (PIS)	Semi-annual	PMU with support of the Scientific Advisory Committee	Est Amount: US\$15,000 Monitoring reports
<i>Indicator b:</i> Landscape area directly covered by the project: 2,618,250 hectares with sustainable land use plans promoting biodiversity conservation.	Hectares	Planning for the management of land use	0	3 Priority Landscapes	Y1 - Y4	Steering Committee, Leading Group, PMU	Est Amount: US\$5,000 Landscape use plans
<i>Indicator c:</i> Landscape area under sustainable productive practices covered by the project to support biodiversity conservation: 4,650 ha	Hectares	Sustainability index	0	16 PIS	Annual	Leading Group, PMU	Est Amount: US\$10,000 Report of plots
<b>Component 1:</b>							
<b>Integrated management of three priority landscapes for strengthening biodiversity conservation through land-use planning and the expansion and management of protected areas.</b>							
<b>Component 1, Outcome 1.1:</b>							
<b>Integrated management of three priority landscapes for biodiversity conservation is substantially strengthened through land-use planning and the expansion and management of protected areas.</b>							
<i>Outcome 1.1 Indicator 1:</i> Number of ha with sustainable land use plans and other land use tools promoting biodiversity conservation.	Hectares	PIS Planning for the management of land use.	0	4,650 ha within the 16 PIS.	Bi-annual	Steering Committee, Leading Group, PMU	Est Amount: US\$5,000 Landscape use plans. Monitoring report / analysis
<i>Outcome 1.1 Indicator 2:</i> Number of globally significant species under conservation and monitoring plans.	N° of species	Monitoring protocols.	0	16 Primary Intervention Sites	Semi-annual	PMU, Scientific Advisory Committee	Est Amount: US\$90,000 Monitoring reports
<i>Outcome 1.1 Indicator 3:</i> Increase in the average management effectiveness of the landscapes	Score in METT	METT (Biodiversity Tracking tool)	48 (average of 14 PAs in	14 PAs	Y3 and Y5	PMU, Directorate of	Est Amount: US\$25,000

including Protected Areas over the baseline, according to Management Effectiveness Tracking Tool (METT) baseline score (14 PAs).			the 3 landscapes).			PA's, with the support of Scientific Advisory Committee	GEF Tracking Tool by focal area, BD-1 Program 1 and BD-4 Program 9
<b>Outcome 1.1 Output indicators</b>							
<b>Output 1.1.1: A model of Integrated Landscape Management (ILM) for biodiversity conservation including protected areas and corridors developed and disseminated.</b>							
<b>Output 1.1.1 Indicator 1:</b> Number of gender-sensitive land use plans at an integrated landscape level. Target: At least 1	N° of land use plans	Ecological land use method	0	Three priority landscapes	Annual Y1 - Y3	Steering Committee, Leading Group, PMU	Est Amount: US\$15,000 Landscape land use plan.
<b>Output 1.1.1 Indicator 2:</b> Number of gender-sensitive annual operational plans, one per Protected Area (PA), to be updated each year during life time of this project. Target: 14 operational plans per year	N° of annual operational plans	Planning format	9 PAs	15 PAs	Annual	PMU, Directorate of PAs	Est Amount: US\$3,000 Annual Operational Plans.
<b>Output 1.1.1 Indicator 3:</b> Number of Biodiversity monitoring protocols developed and implemented in each landscape. Target: 15	No. of protocols	TBD by scientific committee	0	15 spp	Periodically 1- 5	PMU, Leading Group	Est Amount: US\$25,000 Analysis of the status of conservation of the 15 spp.
<b>Output 1.1.1 Indicator 4:</b> The Integrated Landscape Management (ILM) model for biodiversity conservation is validated by the coordinating body in each priority landscape. Target: Model validated in Y2	Model validated or not	Document analysis (Landscape land use plans, agreements technical reports, etc.)	0	Thre priority landscapes	Periodically 1- 5	PMU, Leading Group	Est Amount: US\$10,000 Document of the model validated.
<b>Component 1, Outcome 1.2:</b>							

<b>Expansion of protected areas with globally significant biodiversity.</b>						
<i>Outcome 1.2 Indicator 1:</i> Increase in number of hectares of protected areas.	Hectares	Technical Studies	0	2 PAs	Year 1 - 3	PMU, Leading Group  Est Amount: US\$5,000 Approved expansion of PAs by federal authorities.
<b>Outcome 1.2 Output indicators</b>						
<b>Output 1.2.1</b>						
Draft legislation for the expansion of 102,403 hectares of protected areas which has been locally consented and approved.						
<b>Output 1.2.1 Indicator 1:</b> Percentage of rural and indigenous communities that grant their consent in PAs following the process of gender-sensitive Free, Prior and Informed Consent (FPIC). Target: 95%	FPIC obtained or not	FPIC process described in Indigenous Peoples Plan (safeguards) meetings, workshops.	0	Localities or communities of PAs boundaries	Year 1 – 2	PMU, Leading Group  Est Amount: US\$10,000 Written signed documents (meeting minute, MOU, etc.)
<b>Output 1.2.1 Indicator 2:</b> Number of hectares with draft legislation for the expansion of protected areas. Target: 102,403 ha	No. of hectares	Technical studies	02 drafted technical studies	02 final technical studies	Y1-2	PMU – leading group  Est Amount: US\$5,000 Approved expansion of PAs and creation of new ones by federal authorities.
<b>Component 1, Outcome 1.3:</b>						
Governance in the three priority landscapes with multi-stakeholder and multi-sector participation improved.						
<i>Outcome 1.3. Indicator 1:</i> A multi-stakeholder coordination body for each priority landscape is established and functional.	Coordination body established or not.	Minute of meetings or MOU	0	Three priority landscapes	Annual	PMU, Leading Group  Est Amount: US\$15,000 Meeting reports, MOU and operations document.
<b>Outcome 1.3 Output indicators</b>						



<b>Output 1.3.1</b> Participation of key stakeholders, including women and vulnerable groups, in integrated landscape management and in decision-making substantially strengthened							
<i>Output 1.3.1 Indicator 1:</i> Percentage of key stakeholders <sup>31</sup> that are represented in the three governance bodies for integrated landscape planning and management. Target: 70%	N° of stakeholders	Stakeholder Engagement Plan (SEP)	There are basic efforts and interest of many stakeholders to improve governance.	Three priority landscapes (Municipalities, states of Oaxaca and Chiapas)	Annual	PMU, Leading Group	Est Amount: US\$5,000 List of attendees signed of all activities. Analysis report of SEP by PMU.
<i>Output 1.3.1 Indicator 2:</i> Percentage of women participating in ILM governance mechanisms. Target: 30% of women out of a baseline of 15%	Proportion of target groups participating	Gender mainstreaming Plan and Protocol of safeguards. Training to PMU, allies and partners of the project on gender sensitiveness and cultural aspects.	Vulnerable groups only marginally participate in planning, decision making and equal access to benefits.	Three priority landscapes (Municipalities, states of Oaxaca and Chiapas)	Annual	PMU, Leading Group, with the support of the Safeguards Committee	Est Amount: US\$25,000 Protocols and gender tools (check list, manuals, etc.) Training reports. List of attendees.
<i>Output 1.3.1 Indicator 3:</i> Percentage of indigenous peoples and afro-descendants participating in ILM governance mechanisms. Targets: 15% of Indigenous Peoples and Afro-descendants, consistent with proportion within the population of the three landscapes	N° of mechanisms in place	IP and Afro-descendants safeguard plan.	0	Each Priority Landscape	Y1	PMU, Leading Group, with the support of the Financial Mechanism advisory committee	Est Amount: US\$2,500 Analysis report Report of meeting where mechanism is defined Report of progress.

<sup>31</sup> Key stakeholders are those belonging to the different sectors constituting a PA Advisory Council: social, private, productive, academic, CSO, government.

COMPONENT 2							
Mainstreaming models of sustainable production with a market-driven value chain approach in agriculture, fishing, aquaculture, forest and tourism activities, as a pillar of integrated management of the three priority landscapes.							
Component 2, Outcome 2.1:							
The area of sustainable agricultural, fishery, aquaculture, forestry and tourism production is substantially increased through best practices and a market-driven value chain approach for biodiversity conservation. <sup>32</sup>							
Outcome 2.1 Indicator 1: Number of hectares where Producer Organisations (cooperatives, association, family business, etc.) in Primary Intervention Sites (PIS) have adopted sustainable production practices with a market-driven value chain approach.	Hectares	Manuals of best production practices and Tourism of Nature voluntary norm	0	16 Primary Intervention Sites	Y1 - 4	PMU, Leading Group, with the support Value Chains advisory committee	Est Amount: US\$15,000 Productive safeguards document Manuals and Protocols of best productive practices printed and in 3 different languages
Outcome 2.1 Output indicators							
Output 2.1.1:							
Conventional production is transformed into sustainable production practices in the 16 PIS through organizational strengthening activities like ToT programs, Exchange of experiences and others, developing market-driven value chains for biodiversity conservation.							
Output 2.1.1: Indicator 1: Number of Producer Organisations (PO) with potential to transform conventional production practices with market orientation in the primary intervention sites (PIS) that are identified, selected and classified and/or its creation is supported. Target: At least 9 POs.	N° of Producer Organizations	Sustainability index Indigenous Peoples, Stakeholder Engagement, Gender mainstreaming, Access of	0	16 PIS	Y1 - 5	Leading Group, PMU	Est Amount: US\$5,000 Report of plots Written consent to public traditional knowledge on best practices / management and conservation of BD

<sup>32</sup> The project will use CONANP's (2014) sustainable business strategy and index: [http://negocios-sustentables.conanp.gob.mx/documentos/ESTRATEGIA\\_NAL\\_NSS.pdf](http://negocios-sustentables.conanp.gob.mx/documentos/ESTRATEGIA_NAL_NSS.pdf)

		Natural Resources Plans					
<i>Output 2.1.1 Indicator 2:</i> Number of producers (broken down into M/W, Indigenous peoples, Afro-descendant and vulnerable groups) organized in PO that have 6-10 points in the ISP, that participate in transforming conventional production into sustainable production practices in the 16 PIS. Targets: At least 1,000 seeking proportional participation of M/W, IP and Afro-descendants and youth	N° of producers	Sustainability index	0	16 PIS	Y1 - Y5	Leading Group, PMU	Est Amount: US\$2,500 Report of plots Contracts of purchase - sale
<i>Output 2.1.3 indicator 3:</i> Number of demonstration cases of a successful model of sustainable production with a market-driven value chain for biodiversity conservation will be established in each of the three landscapes to promote learning by doing. Target: At least 1 per landscape	N° of demonstration cases	Sustainability index	0	16 PIS	Y3 – Y5	Leading Group, PMU	Est Amount: US\$2,500 Monitoring reports
<b>Component 2, Outcome 2.2:</b>							
<b>Increased income of members of Producer Organisations (PSO) that have adopted sustainable production practices with a market-driven value chain approach.</b>							
<i>Outcome 2.2 indicator:</i> Increase in income of PO members, disaggregated by sex	Amount in monetary units	PO business results reports	TBD	16 PIS	Y3 – Y5	Leading Group, PMU	Est Amount: US\$2,500 Monitoring reports
<b>Outcome 2.2 Output indicators</b>							
<b>Output 2.2.1:</b>							
Producer Organisations (PO) have improved access to markets and financial mechanisms due to sustainable products.							
<i>Output 2.2.1 indicator 1:</i> Number of PO that have a partnership with a buyer that will help guide the development of their value chains early on in the process. Target: At least 9 PO	N° of PO	PO business results reports	0	16 PIS	Y3 – Y5	Leading Group, PMU	Est Amount: US\$2,500 PO monitoring reports
<i>Output 2.2.1 indicator 2:</i> Percentage of PO	Percentage of PO	PO business results reports	0	16 PIS	Y3 – Y5	Leading Group, PMU	Est Amount: US\$2,500

that have been benefitted from financial mechanisms for investment in sustainable practices and value chain development. Target: 50%									PO monitoring reports
Output 2.2.1 indicator 3: Number of value chains that have reached new markets by participating in existing brands or through the creation of their own brand. Target: 7	N° of value chains	PO business results reports	0	16 PIS	Y3 – Y5	Leading Group, PMU	Est Amount: US\$2,500 PO monitoring reports		

### COMPONENT 3

#### Increasing financial sustainability in the integrated management of the three priority landscapes.

##### Component 3 Outcome 3.1:

Access to investments from public and private programs oriented towards ILM and SPP\* substantially increased.

<i>Outcome 3.1 Indicator 1:</i> Increase in <i>public-private co-funding</i> aligned for integrated landscape management and sustainable production with market-orientation and value-chain approach. <b>Target:</b> At least USD 21 Million of the ongoing investments from public and private institutions in the three landscapes, will be aligned with this project to support integrated landscape management and sustainable production in the last project year (2022)	%age of increase in investments	Analysis of investments	Annual average amount invested by CONANP: \$2 million USD and diminishing	3 Priority landscapes	Y2 – Y5	Leading Group, PMU	Est Amount: US\$2,500 Annual official finance reports
<i>Outcome 3.1 Indicator 2:</i> Increase in public-private funding for ILM and SPP* through <i>new (innovative) financial mechanisms</i> (e.g. green bonds, risk capital investments, carbon marketing, and others) or the expansion of existing ones in the country to cover these three landscapes. <b>Target:</b> At least USD \$500,000 will be funded for ILM and SPP through additional and diversified sources of funding (did not exist before project start) in the 16 PIS.	N° of financial mechanisms	Analysis of financial strategies	0	3 Priority landscapes	Y2 – Y5	Leading Group, PMU	Est Amount: US\$5,000 Reports of agreements

Outcome 3.1 Output indicators							
Output 3.1.1							
Existing public and private programs mainstream their investments towards supporting the project activities, outputs and outcomes for ILM and SPP in the 16 PIS.							
Output 3.1.1 Indicator: Number of public or private sources of ongoing investments that have supported or coordinated with project activities, outputs and outcomes for ILM and SPP in the 16 PIS. Target: At least 7 support programs	N° of public or private investment sources	Workshops to co-programming. Workshops/meetings of governance mechanism	0	Each priority landscape. Cities of the state of Oaxaca and Chiapas or Mexico City	Annual	Leading Group, PMU	Est Amount: US\$15,000 Workshop reports and formats filled Letters of investment at landscape or PIS. M&E tools (formats)
Output 3.1.2							
Mixed financing mechanisms not currently available in these landscapes (public-private partnerships, market based financing, results oriented or other) are set up, as long-term solutions to reduce CONANP's funding gap and/or reduce the barriers to develop the market-driven value chains.							
Output 3.1.2. Indicator: Number of financial mechanisms new to the region that are supporting project activities, outputs and outcomes, funded by diversified sources (could be market based, mixed public-private or other) as a long-term solution to for ILM and SPP activities in the three landscapes. Target: At least 3	N° of financial mechanisms	Financial mechanism for ILM, funding production activities or state level incentives for sustainable production.	0	3 Priority Landscapes	Annual	Leading Group, PMU	Est Amount: US\$15,000 Agreement with financial institutions. Proposals granted of donations New strategies engaged Financial mechanism established
Safeguard Compliance Plans <sup>33</sup>							

<sup>33</sup> Note that amount budget to monitor indicators is estimated. These indicators are linked with Budget Line Items; Personnel Salaries and benefits (For example, technicians will facilitate participation of vulnerable groups, IP, women, youth by accompanying them to access meetings or workshops), Meetings and workshops, contractual, Grants & Agreement.

Appendix VI.1 Safeguards on Involuntary resettlement							
Indicator 1.1: Number of persons whose access to and use of natural resources have been voluntary restricted	N° of persons	FPIC (First Prior and Informed Consent) process	Preliminary workshops of information	Tacana Volcanoe, Frailescana Natural Resources protection area	3 / year (3 per year)	Landscape coordinator, CONANP PAs	Est Amount: US\$2,500 Consultation activities.
Indicator 1.2: Percentage of persons who gave their consent for voluntary restrictions	% of persons	Interviews, workshops, roundtables	Preliminary talks documented between inhabitants and other sectors	Communities, of influence areas of Tacana Volcanoe, Frailescana Natural Resources protection area	3 / year	CONANP – PAs, Technicians and landscape coordinator	Est Amount: US\$2,500 Consent granted in written or Minute or acts of agreement.
Indicator 1.3: Percentage of persons who have received compensation for voluntary restrictions	% of persons	Meeting, interviews, workshop	0	Communities, of influence areas of Tacana Volcanoe, Frailescana Natural Resources protection area	4 / year	CONANP – PAs, Technicians and landscape coordinator	Est Amount: US\$2,500 Consent granted in written or Minute or acts of agreement.



Indicator 1.4: Number of recommendations issued by this project's Committee Grievance Mechanism in relation to restrictions on the use and management of natural resources and/or territorial conflicts related to access to natural resources.	N° of recommendations	Written recommendations agreed by the committee	0	3	Twice /year	Personnel of the project	Est Amount: US\$2,500 Committee sessions
<b>Appendix VI.2 Safeguards on Indigenous Peoples and Afro-descendants</b>							
Indicator 2.1: Percentage of Indigenous and Afro-descendant peoples and local communities where gender-sensitive FPIC (Free, Prior and Informed Consent) has been developed and documented.	%age of target group	Written minutes or assembly acts	0	Localities, communities within the three priority landscapes	1 / year	CONANP – PAs, Technicians and landscape coordinator	Est Amount: US\$1,000 Consent granted in Written docs or Minute or acts of agreement
Indicator 2.2: Percentage of Indigenous and Afro-descendant peoples and local communities where benefit distribution has been agreed and documented according to the right community governance mechanisms.	Percentage	Written minutes or assembly acts	0	Localities, communities within the three priority landscapes. 16 Primary Intervention Sites (PIS).	1 / year	CONANP – PAs, Technicians and landscape coordinator	Est Amount: US\$1,000 Agreement in Written docs or Minute or acts of agreement
<b>Appendix VI.3 Grievance mechanism</b>							
Indicator 3.1: Grievance mechanism instituted, legally recognized within the internal structure of CONANP and governance body, with facilities and a budget to function.	One grievance document in different languages (Spanish, Indigenous People's languages).	Inception workshop, talks, presentation, meetings, workshop	0	Localities, communities within the three priority landscapes. 16 Primary Intervention Sites (PIS).	6 / year	CONANP – PAs, Technicians and landscape coordinator, director and consultants	Est Amount: US\$5,000 Consent granted in Written docs or Minute or acts of agreement Document of the policy and mechanism presented in every activity

Indicator 3.2: Number of complaints reported to the project's Accountability and Grievance Mechanism.	Complaints	Inception workshop, talks, presentation, meetings, workshop	0	Localities, communities within the three priority landscapes. 16 Primary Intervention Sites (PIS).	Every second year	Structure of the project	Est Amount: US\$500 Meetings, phone call, written complaints, verbal complaint
Indicator 3.3: Percentage of conflict and complaint cases reported to the project's Accountability and Grievance Mechanism that have been resolved.	% of conflict	Inception workshop, talks, presentation, meetings, workshop	0	Localities, communities within the three priority landscapes. 16 Primary Intervention Sites (PIS).	Every second year	Structure of the project / committee of grievance mechanism	Est Amount: US\$500 Meetings, written answers.
Indicator 3.4: Number of conflicts resolved.	Conflicts resolutions	talks, presentation, meetings, workshop	0	Localities, communities within the three priority landscapes. 16 Primary Intervention Sites (PIS).	Every second year	Structure of the project. Grievance mechanism's committee	Est Amount: US\$2,000 Meetings, phone call, written complaints, verbal complaint
Indicator 3.5: Number of dissemination materials and events to expose the existence of this Grievance mechanism.	Number of Materials and events	talks, presentation, meetings, workshop, printed policy	0	Localities, communities within the three priority landscapes. 16 Primary Intervention Sites (PIS).	6 / year	Structure of the project. Grievance mechanism's committee Consultants Governance bodies	Est Amount: US\$2,000 Power Point presentations, Meetings, phone call, written documents, verbal complaint

Appendix VI.4 Gender Mainstreaming Plan							
Indicator 4.1: Number of women and men participating in project activities (for example, meetings, workshops, consultations, interviews, etc.).	M / W	talks, presentations, meetings, workshops	0	Localities, cities, countries	6 / year	Structure of the project. External committee consultants. Governance bodies.	Est Amount: US\$1,000 Meetings/workshops or any activity
Indicator 4.2: Number of strategies, plans (for example, Land-Use Planning Instruments, Management Plans), and policies deriving from the project that include gender considerations (relevant projects apply).	Number of main deliverables.	Workshops. Events Meetings. Technical reports	0	Localities, municipalities, landscapes	3 / year	Structure of the project. Partners. External committee consultants. Governance bodies.	Est Amount: US\$1,000 Final Documents. Plans. Proposals. Model. LIM.
Indicator 4.3: Number of communications campaigns with a gender approach and campaigns that incorporate women's perspectives and practices on land-use management.	Awareness and Communications campaigns.	Talks, Presentations, Communications materials Meetings. Congresses	0	Localities, municipalities, landscapes	4 / year	Structure of the project. Partners. External committee consultants. Governance bodies.	Est Amount: US\$1,000 Final Documents. Productive activities. Plans. Proposals. Model. LIM.
Indicator 4.4: Number of conferences, workshops or tools to strengthen capacities among project beneficiaries on gender.	Number of activities	Talks, Presentations, Communications materials Meetings. Congresses Training activities.	0	Localities, municipalities, landscapes	4 / year	Structure of the project. Partners. External committee consultants. Governance bodies.	Est Amount: US\$1,000 Final Documents. Productive activities. Plans. Proposals. Model. LIM.

Appendix VI.5 Stakeholder engagement plan							
Indicator 5.1: Number of governance bodies at landscape level established and functioning.	At least three	Call for meetings, agreement- MOU, rules of the mechanisms defined in a jointly manner	0	Three priority landscapes	1 – 2 years and at the end of the project	Director Manager Landscape coordinator	Est Amount: US\$1,000 Agreement. Rules Structure defined.
Indicator 5.2: Number of government agencies, civil society organizations, private sector, indigenous peoples and other stakeholder groups that have been involved in the project implementation phase.	Number of key stakeholders M/W	List of attendees of every activity	40	Localities, municipalities, state and landscape level.	Once / year	Director	Est Amount: US\$500 Final Documents. Productive activities. Plans. Proposals. Model. LIM
Indicator 5.3: Number persons (sex disaggregated) that have been involved in project implementation phase.	M / W	Participation in every activity of the project	100	Localities, municipalities, state, PIS, landscapes.	Quarter and Annual	Manager	Est Amount: US\$500
Indicator 5.4: Number of alliances and partnership formally established during implementation phase.	Number of alliances	Meetings, workshops. Round tables. Events.	0	Localities, municipalities, state, PIS, landscapes.	Annual	Partners Personnel of the project. Leadership units.	Est Amount: US\$1,000 Minutes. Memory of meeting. Agreement.

## **APPENDIX VI: Safeguard Compliance Plans**

### **(All Safeguard Plans approved 11/06/2017 by CI-GEF Safeguards Advisor)**

#### **Appendix VI.1. Involuntary resettlement**

##### **Introduction**

The project foresees measures that would restrict the access and use of natural resources, for example because of PA expansions, zoning changes due to the creation of new core areas within PAs, or the creation of new PAs. Therefore, this project developed a Process Framework for Restriction of Access to Natural Resources (Process Framework - see ESMF, Appendix IV (CI-GEF, 2015)). *It is important to clarify that this project will not address any situation of involuntary nor voluntary resettlement to expand, create or manage PAs in any jurisdiction.* For this reason, **this safeguard plan has been developed only considering the restrictions on access and use of natural resources** that some local or indigenous people may have when PAs are expanded or managed.

The objective of the *Process Framework* (See Annex 1) is to provide guidelines for avoiding, minimizing or mitigating possible adverse effects on the restriction of access to natural resources, and to ensure that affected communities are consulted, participate in a significant manner, and consent to the project activities that affect them.

The GEF recommends that the implementation of the project be accompanied by a participatory social, biological and ecological assessment to inform decision making. This recommendation entails the invitation to establish mechanisms of collaboration with local stakeholders and research centers throughout the process.

It is particularly important to pay special attention to land tenure issues, including rights, obligations and traditional uses of the land by Indigenous Peoples, Afro-descendants, and local communities, always taking into consideration the differences between men and women. This is particularly relevant for the landscapes intervened, where a history of agrarian backlog and irregular land tenure situations predominate (for example, see data on the Sierra Madre de Chiapas: 42,857 hectares of irregular lands in the three main PAs). At the same time, it is crucial to recognize that many people (particularly women and young people) whose livelihoods depend on agricultural labor do not have legal rights to land. So, it is important to consider the impacts not only on legal landowners, but also on other people who work the land and use the natural resources.

##### **Strategies related to involuntary and voluntary restrictions of access to natural resources**

- This project will update Management Programs of some PAs whose decree will be modified as proposed in the technical studies (including the expansion of existing PAs, the creation of new PAs, and new zoning for existing PAs). Therefore, the project will carry out the update process in a participatory manner in collaboration with inhabitants of the area, key actors intervening the territory, and with the scientific and social support of academic research centers.
- The update process will consider the reality of each area. It is crucial to the building of trust relationships with the inhabitants of the area that CONANP recognizes large power and mining projects in the region, and positions itself as a supporter of community resistance processes that defend biodiversity conservation in rural or indigenous territories.

- There are already many mining concessions within PAs: An analytical exercise carried out in 2015 based on mining concessions granted until 2010 found that 1,609 mining concessions intersect with a third of federal protected natural areas overlapping to almost 1.5 million hectares of PAs (*La Jornada Ecológica*, 2015). As mentioned above, there is a large mining concession area within the project's priority landscapes, particularly the Sierra Madre de Chiapas (FONCET, 2014) and the Sierra Sur of Oaxaca (*NVI Noticias*, 2015).<sup>34</sup>

In addition, the Mam Nation Assembly, a cross-border organization between Chiapas and Guatemala, has publicly decreed its opposition to mining projects in the area, reporting this rejection is based on "more than 35 Community Consultations that we have carried out in the framework of the law and International Conventions such as 169 of the ILO" (Mam Nation Statement, August 5, 2014). Most of the communities that have declared themselves a "mining-free zone" lie within this project's proposed intervention area, and potentially constitute strategic allies for the biodiversity conservation initiatives promoted by CI and CONANP with this initiative.

#### **Safeguards on Restrictions on the access and use of natural resources**

- Documented consent from affected communities will be delivered in the expansion of protected areas in communities placed in Buffer Zones and which involve voluntary restrictions.
- The Management Programs of most of the existing PAs in the priority landscapes have been updated and duly consulted with the parties involved, recognizing the particular forms of participation and the requirements established in the FPIC mechanism for indigenous peoples, Afro-descendants, and local communities. Article 65 of the General Law on Ecological Balance and Environmental Protection (LGEEPA, as per its initial in Spanish) establishes that the PA Management Program shall be formulated within a period of 12 months after the publication of the corresponding decree in the Official Gazette of the Federation. In some cases, this article has been partially accomplished, as there are still PAs without Management Programs. Some Management Programs are up to 15 years old and have not integrated modifications and alterations to the social, ecological and economic systems within the PAs. Other Management Programs were approved with limited or no social participation, thus failing to comply with the FPIC Safeguard. So, this project will provide facilities to accomplish some Management Programs as well as 15 Annual Operation Plans within the three priority landscapes to improve management of natural resources and conservation of biodiversity.
- According to Article 48 of the General Law on Ecological Balance and Environmental Protection (LGEEPA), only activities for the preservation of ecosystems and their elements and environmental education activities may be authorized in the core areas of Biosphere Reserves, while activities that damage ecosystems are prohibited (CONANP 2015). "Core areas" are usually remote regions with no population and in a few cases may constitute a restriction on the access and use of natural resources as they are potentially incompatible with use and management practices of inhabitants, owners, and users of the lands comprised in these areas. Therefore, the new PAs created, as well as the modifications to PA decrees that imply a new zoning based on the LGEEPA, will have as a priority within this project to ensure that there are no population centers inside the new core zones.

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<sup>34</sup> Vulnerable groups are defined as those experiencing at least two situations of marginalization or exclusion (Hall *et al.* 2015).

- If an FPIC process results in the rejection of the decree of new PAs or core areas by the people consulted, CONANP will explore other conservation mechanisms and categories (e.g. AVDCs and agreements between institutions and local authorities or agreement with local communities to manage areas of high biodiversity) for the management of these areas. In other words, if an FPIC process results in the refusal of the proposed conservation project, CONANP commits to restart the FPIC process on the basis of new proposals agreed with local stakeholders and look for other agreed options with local communities.
- The exploitation of mineral resources promoted by the Economy Ministry and private enterprises in the three priority landscapes has generated social unrest and violations of human rights, including the right to due process, the right to a healthy environment, the right to information, the right to participation and consultation, the right to freedom of expression, the right to protest, the right to be protected against criminalization, the right to assembly, the right of association, the right to adequate housing, the right to adequate food, the right to water and sanitation, the right to health and cultural rights. Along with the recommendations of the CNDH and international bodies, expressing concern about the systemic violation of human rights in the context of infrastructure and development projects, the National Supreme Court of Justice has issued the *Protocol of Action for those who Impart Justice in Cases Related to Development and Infrastructure Projects* (2014). However, many local communities do not have access to those who impart justice. Considering this situation, it is proposed that CONANP contributes to bridging this gap, only in environment issues, between citizens and justice providers, creating appropriate communication channels for communities within priority landscapes that wish to file a complaint to the corresponding institutions.
- There will be no involuntary restrictions when expanding PAs under this project.

**Compliance indicators: Safeguards on Restriction on access and use**

- Number of persons whose access to and use of natural resources have been voluntary restricted
- Number of persons whose access to and use of natural resources have been involuntary restricted
- Percentage of persons who gave their consent for voluntary restrictions
- Percentage of persons who have received compensation for voluntary restrictions
- Number of recommendations issued by this project's Grievance Mechanism in relation to restrictions on the use and management of natural resources and/or territorial conflicts related to access to natural resources.

**Annex 1. Process Framework for Restrictions to Access to Natural Resources**

The Process Framework for Restriction of Access and Use of Natural Resources describes how potential conflicts and grievance processes submitted by communities, families and individuals affected by restrictions will be resolved. In addition, it also describes the implementation arrangements, including the roles and responsibilities of the different actors in the implementation of the project, such as the implementing agency, affected communities and relevant government agencies.

**Project background**

During the PPG phase a leadership unit was designed as main decision making body during ProDoc, which was integrated by two women and five men, members of CONANP and CI Mexico



and a broad work group integrated by the other members of CONANP represented by PAs directors and a technical contact. The principles applied were of free opportunity, and all activities, such as meetings, participative workshops that included vulnerable groups<sup>35</sup> (women, indigenous peoples and Afro-descendants) and consultants were jointly defined including gender approach.

There was a total of six planning workshops (two per landscape) with local actors, two workshops with research institutions in Oaxaca and Chiapas, 9 conducting meetings between CONANP and CI Mexico, 67 local interviews, 6 workshops and meeting with NGO and government institutions, with a total of 249 participants -184 men and 65 women (26%)- 24 of them being indigenous peoples and Afro-descendants men (9%) representing local stakeholders (such as local communities, municipalities, productive social organizations, CONANP, SEMAHN, NGOs, state universities, local organizations, among others); many bilateral meetings between CONANP and CI México took place for decision making purposes or analysis of information. In addition, activity about safeguards during planning workshops highlighted a series of socio-environmental crises in the landscapes subject to project intervention (from conflicts with mining initiatives to economic losses from coffee leaf rust) which will be crucial for developing an appropriate intervention, as well as the local needs and perceptions in favor of the region's biological and cultural diversity.

## **Sierra Madre of Chiapas Landscape**

### ***1.a. Relevant ecological attributes***

The landscape of the Sierra Madre de Chiapas comprises a total of 806,753 hectares. This region includes four federal protected areas (Volcán Tacaná, El Triunfo and La Sepultura Biosphere Reserves, La Frailescana Natural Resource Protection Area), managed by CONANP and promoting the conservation and sustainable development activities. The region also has two state protected areas: Pico El Loro Paxtal and La Concordia-Zaragoza, which has limited or nonexistent institutional presence from conservation-related government agencies and civil society organizations. The ecosystems in this landscape include montane forest, low and medium tropical forest, savanna, secondary vegetation, biodiverse agricultural croplands (agrobiodiversity in agroforestry systems) and other strategic vegetation for ecosystem and species connectivity (Cortina Villar et al., 2012). The presence of 154 species classified by the IUCN as critical, endangered or vulnerable has been recorded in this landscape (CONABIO 2013a).

Preliminary studies carried out by CONANP-CI as part of this project's planning process identified a series of areas strategic to project operation. These include the expansion of PAs as well as the identification of intervention areas critical for biodiversity conservation and connectivity between protected ecosystems.

The following table presents the proposed expansions and provides key information to be considered by this project on analyzing restrictions of natural resource use.

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<sup>35</sup> Out of the 364 languages spoken in Mexico, these three indigenous languages are part of the 107 languages in danger of extinction, according to INALI (*La Jornada*, 2016). There are initiatives in the region to safeguard and recover these indigenous languages, such as the work of the Mam Peoples Council in Unión Juárez.

**Table 1. ANP expansion proposals in the Sierra Madre de Chiapas**

Name	Additional area	Current status or condition	General comments
Expansion of the Volcán Tacaná Biosphere Reserve by amending the PA declaration	39,282 hectares	Background and Justification Study (2011) (Technical study)	The original ANP decree does not define the zones and subzones for natural resource use, while the modification proposal defines a core area of <b>15,750.95 ha</b> , which implies restrictions on the access and use of natural resources. There are internal divisions within communities and opposition from some sectors of the indigenous population to conservation projects in the region. Some communities mistakenly identify federal institutions as partners of proposed mining projects in the region (fieldwork and interviews with local actors, February-March 2017).
Proposal to amend the Decree of the Natural Resources Protection Area - Forest Protection Zone in the lands comprising the municipalities of Ángel Albino Corzo, La Concordia, Villaflores and Jiquipilas, Chiapas, Mexico (APRN La Frailescana)	63,121.40 hectares	Background and Justification Study (2015).	It proposes to change the PA category from Natural Resources Protection Area to Biosphere Reserve. It includes key areas for connectivity that are outside the current boundaries, while excluding lands that lack significant forest cover. It also proposes a zoning (previously absent) that includes a core area of <b>28,466.65 ha</b> (with restrictions on the use and management of natural resources).
	<b>102,403.40</b>	<b>Additional area proposed</b>	

The proposal to expand the Volcán Tacaná Biosphere Reserve from 6,378.36 to 45,660.91 hectares includes a region with 181 localities with a population of 37,357 people, of which 18,476 are men and 18,027 are women (INEGI, 2010), including a population of 2,598 people (of 3 years of age or older) that speak an indigenous language (Mame and Tuzanteco) (CONANP, 2011).

While the original ANP declaration of this Biosphere Reserve does not define zones and subzones for natural resource use, the amendment proposal proposes a core area of 15,750.95 ha. According to Article 48 of the Law on Ecological Balance and Environmental Protection (LGEEPA, by its acronym in Spanish), only ecosystem conservation and environmental education activities may be authorized in the core areas of Biosphere Reserves, while resource uses that alter ecosystems are prohibited (CONANP 2015).

In the same way, the new zoning of the Frailescana implies limiting the use and management of natural resources in areas where there was no such restriction, where rural communities (including indigenous peoples from the highlands of Chiapas that settled there decades ago) work

the land and use its natural resources. According to the corresponding technical studies, in which the modification of the polygon and the change of PA category (from APRN to Biosphere Reserve) are proposed, the creation of a core area of 28,466.65 ha is proposed. At the same time, a buffer zone with a total area of 123,533.34 hectares is proposed, which will contain preservation, sustainable natural resource use, sustainable ecosystem use, public use, human settlement, and recovery subzones. There are 498 localities within the new polygon proposed for La Frailescana Biosphere Reserve, with a total population of 8,864 people, of which 1,211 speak an indigenous language (CONANP 2015; INEGI 2010).

**Map 1. Priority Landscapes in Oaxaca and Chiapas**



Source: CI Mexico-CONANP (2017).

The zoning proposal of this project also includes the connectivity between landscapes. In this case, a connection is proposed between the Sierra Madre de Chiapas landscape and the Oaxaca-Chiapas coastal landscape through three zones not included in the PAs, that is, outside of the official jurisdiction of CONANP. These areas, characterized by a historical occupation of indigenous and non-indigenous communities and a predominantly agricultural land use, represent a challenge for the implementation of the project considering its environmental importance as a biological corridor.

### **1.b. Relevant social attributes**

The landscape of the Sierra Madre de Chiapas included in this project has a total population of 150,345 people, of which 8,028 are indigenous population; 71,599 are women and 78,416 are men (INEGI, 2010). The region has a population of indigenous Mam, Tuzanteco and Mochó peoples (the language of the latter is native to the Motozintla area and had 275 speakers in 2010).<sup>36</sup> The

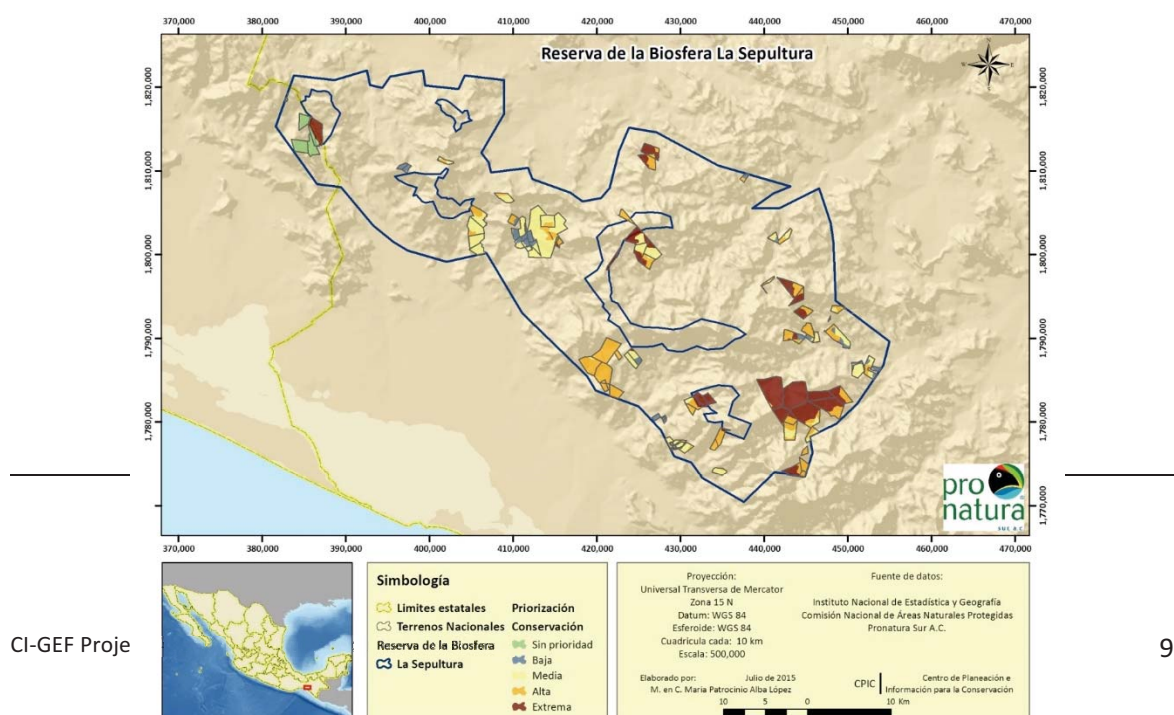
indigenous population of the region is also composed of Tzotzil and Tzeltal communities native to the highlands of Chiapas, who migrated decades ago to work in the coffee plantations and gradually established their own coffee plantations and communities in federal or unpopulated lands. During the workshops with key actors, the participants emphasized the importance of incorporating “the participation of the indigenous communities that migrated to the Sierra Madre into the decision-making processes” of the project (Sierra Madre Workshop Report, Tonalá, Chiapas, February 8, 2017).

The particular manner in which the mountainous slopes of the Sierra Madre were colonized historically contributed to creating a backlog in agrarian land reform and a situation of land tenure irregularity, resulting in numerous families lacking legal land tenure (which limits their possibilities of participating in many government programs and fully enjoying their rights). The agrarian backlog in the area is a historical issue that CONANP has occasionally sought to address, but there are many obstacles to solving this problem. According to a diagnostic and prioritization exercise carried out by Pronatura Sur, A.C., which included proposals for a course of action to regularize these lands based on negotiations between CONANP-SEMARNAT and SRA-SEDATU, the region’s existing PAs present the following situation regarding lands with irregular land tenure status (source: Pronatura Sur, A.C., 2016).

**Table 2. Lands with irregular land tenure status within the ANPs of the Sierra Madre de Chiapas (Pronatura Sur, 2016)**

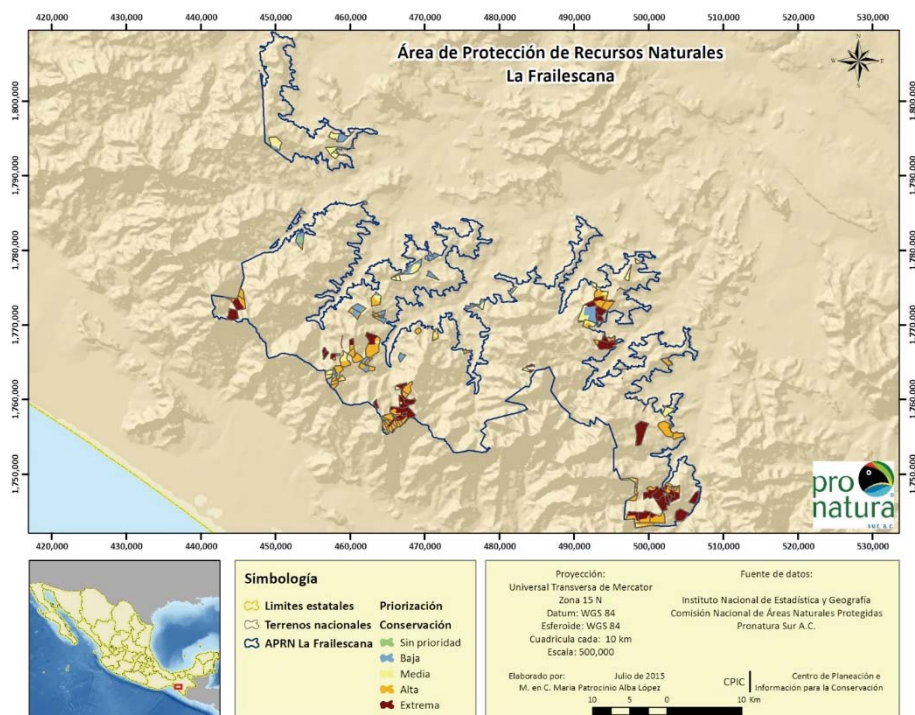
ANP	Number of lands with irregular land tenure status	Land area with irregular land tenure status	Percentage of irregular lands of total PA area
La Frailescaña APRN	102	15,358.48 ha	8.7
La Sepultura Biosphere Reserve	83	21,956.86 ha	13.1
El Triunfo Biosphere Reserve	40	5,542.03 ha	4.6
<b>Total</b>	<b>225</b>	<b>42,857.37 hectares</b>	

**Map 2. Lands with irregular land tenure status within La Sepultura Biosphere Reserve (Pronatura Sur, A.C. 2016)**





**Map 3. Lands with irregular land tenure status within La Frailesca APN (Pronatura Sur, A.C. 2016)**



**Map 4. Lands with irregular land tenure status within El Triunfo Biosphere Reserve (Pronatura Sur, A.C. 2016)**



Many communities survive from primary economic activities, mainly coffee growing and *milpa* (a traditional crop-growing system). However, the production for self-consumption is limited and commercial agriculture and livestock activities predominate. Projects promoting sustainable natural resource use proliferate in the region, from organic shade-grown coffee to Camedor palm (*Chamaedorea quetzalteca*) harvesting (Schroth *et al.*, 2009). Nonetheless, there is a strong trend towards commercial agriculture in this landscape, mainly livestock raising, but also forest plantations (fruit trees and African oil palms), sorghum and soybean crops (there are planting permits for transgenic soybean in the Soconusco area, though they have recently been placed under a moratorium), and, in areas such as the Frailesca, hybrid corn (see Alianza México-REDD+, 2016).

The history of conservation and sustainable development in the region laid the foundations for the participation of a wide range of actors in favor of sustainable development and conservation in the region, including international and national NGOs, foundations, academic institutes, and, above all, regional Producer Organizations (including coffee cooperatives as well as honey and pine resin producers, and even ecotourism cooperatives).

The region has a widespread presence of federal and state agencies. Moreover, all the federal PAs in the region have their own Management Program (which defines a zoning of permitted uses and soil suitability) and Advisory Board (a body for the participation of communities, academics, NGOs and other actors within the PA).<sup>37</sup>

### ***I.c. Social conflict in the region***

Based on workshops with local stakeholders and interviews with key actors, three strong social conflicts were identified to be latent or active in the region, which are critical for contextualizing the project's intervention.

1. Workshop participants identified a latent conflict with a hunting group from San Pedro Buenavista (Villa Corzo) that poaches in the Sierra Madre claiming to hold special permits, while creating conflicts with local communities performing forest fire management works in this area of the La Frailesca APRN (Sierra Madre Workshop Report, 8/02/2017).
2. The PA expansion proposals, along with restrictions on the use of natural resources due to new zonings (including core areas where only research and environmental activities are allowed), are a source of potential conflict with local settlers and other land users.
3. By the end of 2014, the Ministry of Economy reported that mining concessions in the state of Chiapas covered 16% of the state territory, with 110 mining concessions totaling 1,125,827.4219 ha (Servicio Geológico Mexicano, 2015). Operating and proposed mining activities in this landscape have generated rejection towards government institutions and strong social divisions within communities.<sup>38</sup> There are mining concessions throughout the

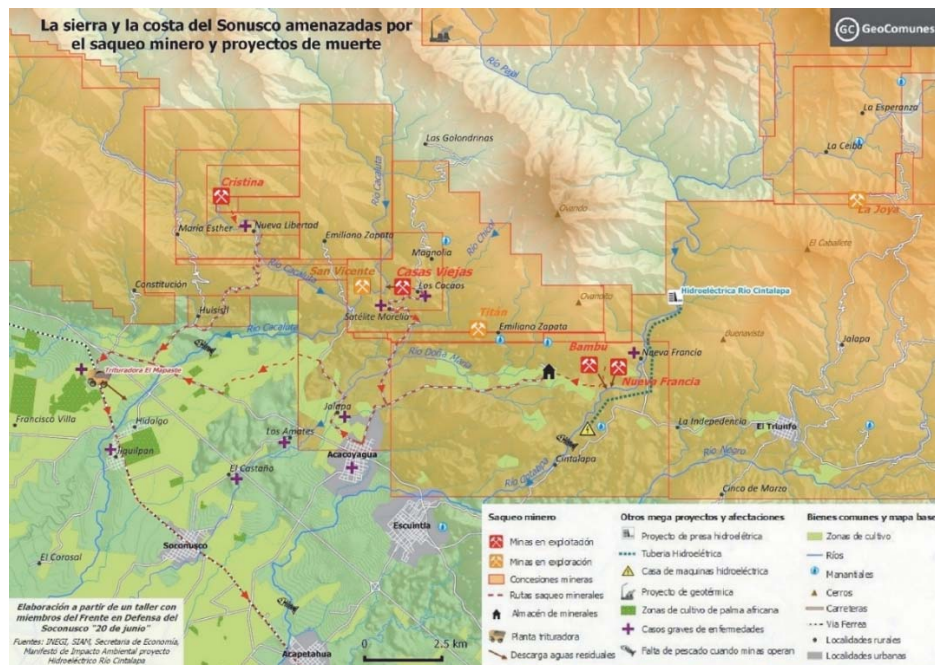
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<sup>37</sup> Regarding multi-level governance and inter-institutional coordination, there are key collaborative spaces in the region, including watershed management (from La Suiza micro-watershed experience with the Intercommunity Group on Territorial Action, to the Cuxtepeques and San Nicolás Watershed Committee), fire management (e.g. multi-level coordination among communities and municipal, state and federal authorities as part of Villa Corzo municipal administration's collaborative action), and sustainable production (e.g. Unión El Triunfo, which unites three historical coffee cooperatives in the Gulf slope of the Sierra Madre).

<sup>38</sup> While a Chinese mining company extracting titanium continues to operate in Escuintla, the reported abundance of titanium in the Coast and Sierra Madre regions, apparently the largest in the country, has led to the granting of 22 mining concessions for its extraction. Reports from the Integral Port Administration of Puerto Chiapas state that, from 2010 to 2015, 127,322 tons of titanium were mobilized to China (Cuarto Poder, 2017).

Sierra Madre de Chiapas: in the Frailesca region, current mining concessions include 30,804 ha in Ángel Albino Corzo, 21,543 ha in La Concordia, 32,300 ha in Villa Corzo and 8,979 ha in Villaflores, according to data from the Ministry of Economy (see FONCET 2014). Recent mining activities in Cerro Brujo, located in the municipality of La Concordia (in the area of influence of La Concordia-Zaragoza state reserve), extracting barite ore have generated concern among the region's communities, particularly since problems of corruption and violence associated to mining projects have taken place in the neighboring municipality of Chicomuselo (Alianza México-REDD+, 2016). In addition, community representatives from the region proposed to be included in the Volcán Tacaná Biosphere Reserve expansion, interviewed for this study in several communities of Unión Juárez, stated they associate CONANP's activities, as a federal agency, to the region's mining projects. Community opposition to government agencies is relatively common in the region: in the municipality of Chicomuselo, local communities have vehemently opposed the entry of government vehicles after the assassination of Maniano Abarca, a community leader in the fight against a Canadian mining company. In this scenario, around 60 communities of the Coast and Sierra of Chiapas have declared a mining-free zone in the 16 municipalities of Acacoyagua, Acapetahua, Chicomuselo, Frontera Comalapa, Escuintla, Motozintla, Ixhuatán, Mapastepec, Pijijiapan, Siltepec, Tapachula, Tonalá, Solosuchiapa, Ángel Albino Corzo, and Cintalapa. Most of the communities that have declared themselves as "mining-free zones" are located within the project's proposed polygon, and potentially constitute strategic allies for the biodiversity conservation initiatives promoted by CI and CONANP as part of this project.

**Map 5. Mining in Escuintla (GeoComunes, 2016)**



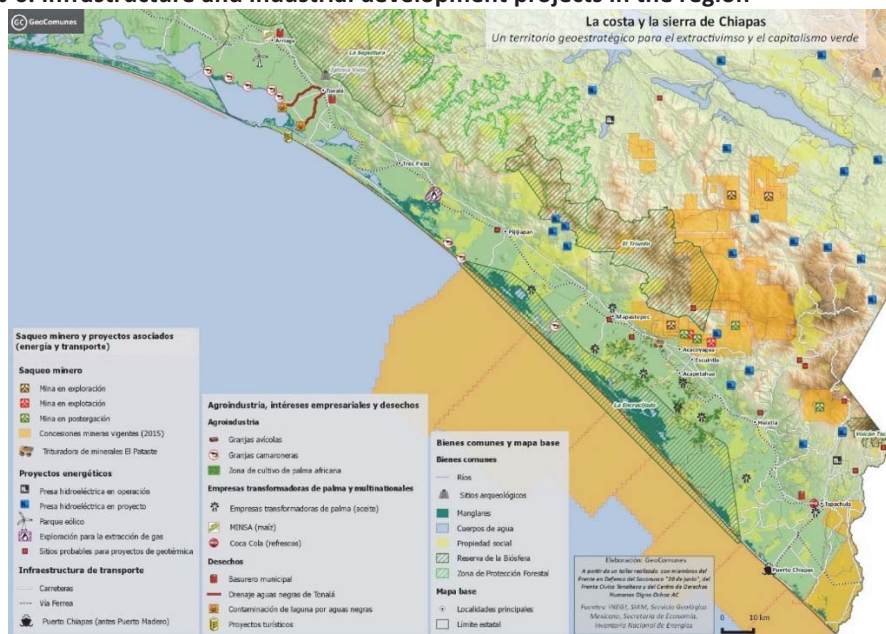
Source: GeoComunes, 2016

The Sierra Madre of Chiapas region has been identified by some civil society and human rights organizations as a strategic territory for economic interests external to the local population. For example, the recent decree of Puerto Chiapas as Special Economic Zone (SEZ) has a series of



federal fiscal and non-fiscal incentives to favor investment in infrastructure and industry. However, social organizations have expressed concerns about the quantity of projects in the region that do not prioritize the economy of local populations nor the ecosystem services of local landscapes.

**Map 6. Infrastructure and industrial development projects in the region**



Source: Geocomunes, 2016.

Though these maps, developed by GeoComunes research network, show both existing and projected projects with limited probability to materialize in the area, it is important to keep this context in mind since it impacts the relationship between local communities and federal agencies (even though CONANP is an environmental actor, to many people, the separation between society and government is wide enough to assume that all agencies are the same).

### I.c. Strategies for the Sierra Madre de Chiapas

- Take advantage of the Land Use planning at landscape level proposed under this project, the planning actions within the federal reserves, Tacana Volcanoe and La Frailescana and look for coordination with other planning and project to strengthen multilevel governance. In particular, coordination of biodiversity initiatives will take place with federal planning tools—for example the Fraileasca Investment Plan (Alianza México-REDD+, 2016) and the Isthmus-Coast Investment Plan (CONAFOR, 2016), developed by CONAFOR as part of the Emissions Reduction Initiative submitted by Mexico to the World Bank's Forest Carbon Partnership Facility—and state planning tools—such as the Environmental and Land-Use Planning Program of the State of Chiapas (Gobierno del Estado de Chiapas 2014) and the SEMAHN's "eco-region" proposal as part of the state's biodiversity strategy (CONABIO 2013b)—, municipal planning tools (Municipal Development Plans, watershed committees and Rural Development Committee) and local planning tools (several *ejidos* in the region have Community Land-Use Planning Instruments registered with CONAFOR and Community Regulations registered in the RAN – National Agrarian Registry). These local governance mechanisms will be basic for multilevel coordination and for consolidating new biodiversity conservation mechanisms (such as the Community Biocultural Protocols).

- The Management Plans of the region's PAs, as land use planning mechanisms, will provide extensive information to the PA's inhabitants and promote their active participation in the definition of the criteria, projects and characteristics of these Management Plans. In such participatory consultation process for updating Management Plans (or disseminating new Management Plan proposals, as in the case of PA extensions), special attention will be given to ensuring participation of men and women, recognizing the leadership of women organizations in the region, and also emphasizing the participation of sectors traditionally excluded from the decision-making process, such as people without full land rights living in agrarian lands (*poseionarios* and *avecindados*) and in lands with irregular land tenure status.
- Establish a consultation mechanism to finalize the Process Framework at the beginning of this project to extend current protected areas.
- GrupoSierra Madre, as a network of stakeholders led by CONANP with the broad participation of civil organizations and research centers, will be consolidated and be part of the Governance Mechanism of this landscape. In the development of this consultancy, the eight-people interviewed, including CONANP staff, academics from Oaxaca and Chiapas, and community leaders, mentioned that the lack of consolidating into a legal figure to operate projects was a barrier for this process. However, they proposed to follow up on the Sierra Madre Forums successfully carried out under the coordination of CONANP, to take advantage of this space for the conservation of this strategic region's biodiversity and cultural diversity. This initiative of inter-institutional and social coordination addressed two crucial needs identified in the qualitative social analysis of the region: 1) coordination among research centers and institutes of higher education; and 2) the contribution of CONANP to socio-territorial conflict resolution in the region, particularly regarding the very sensitive issue of mining.
- Women's leadership in the region will be an asset to the project: The Sierra Madre de Chiapas has a series of women's groups, including artisans, bakers, coffee roasting and grinding cooperatives, among others, that could be energized by this project. Recognizing the strengths of these organizational experiences is critical for the success of conservation initiatives based on sustainable development. In the immediate future, it is proposed that the project organizes a diploma or award in honor of María Rosaura Arguello Martínez, leader of the ICEAAC (Indigenous and Peasant Environmentalists Angel Albino Corzo, acronym in Spanish) coffee cooperative, who died in an accident in 2014. Her personal history of commitment to the work of female coffee producers and her contribution to building alternative livelihoods and improving their families' wellbeing could pose an example to other initiatives and leaderships in the region.
- Environmental education in local languages. Dissemination of materials through local radio stations (including materials in local languages).

## **South Pacific Coast of Oaxaca and Chiapas Landscape**

### ***II.a. Relevant ecological attributes***

The landscape of the southern Pacific coast of Oaxaca and Chiapas has terrestrial and marine ecosystems comprising approximately 857,525 hectares. The region includes four PAs (La Encrucijada Biosphere Reserve, Huatulco and Chachagua National Parks, and Playa de Puerto Arista Sanctuary), seven Areas Voluntarily Destined for Conservation (AVDC), three state PAs (Cabildo Amatal, Gancho Murillo, Huizapa-Sesecapa) and an estuary.

Mangroves, wetlands, and lagoon systems, located inside and outside the region's PAs, are home to 38 species listed by the IUCN as threatened in the categories of Critically Endangered (CR), Endangered (EN) and Vulnerable (VU). This landscape has eight listed KBAs (including PAs) and nine Ramsar sites.

Studies carried out by CONANP as part of the planning of this project identified a series of areas strategic to project operation. These include both the expansion of PAs and the identification of critical areas of intervention for biodiversity conservation and connectivity between protected ecosystems.

In this Landscape, there is a series of proposals for expanding existing ANPs to increase the area under conservation and consolidate biological connectivity. The areas comprised in these proposals, as well as key information to be considered in the Safeguard Plan on Restriction on the use of natural resources, are described below (see Annex I).

**Table 3. PAs expansion proposals**

Name	Additional area	Current status or condition	General comments
Modification of La Encrucijada Biosphere Reserve, Chiapas	2,216.45 hectares	Background and Justification Study (CONANP 2015).	It proposes modifications to two core areas to exclude lands open for cultivation and urban plots, and expand the PA to include well conserved mangroves, lowland forests, and coastal dunes.
Modification of the PA decree of Playa de Escobilla Sanctuary, Oaxaca	117.04 ha	Background and Justification Study (CONANP, 2016).	Expand the length of the protected beach 3 km (the original decree did not define a polygon, but a beach length of 15 km to conserve this nesting site). New total area: 263.13 ha. Core area: 156.65 hectares Buffer zone: 106.24 hectares The Zapoteca population in the Sanctuary's zone of influence uses the beach for fishing activities and for the sale of tourism services.
Modification of the PA decree of Playa Puerto Arista Sanctuary, Chiapas	514.05 ha	Background and Justification Study (CONANP, 2015)	It establishes a polygon with two core areas (totaling 171.31 ha) and a buffer zone (555.22 ha)
Modification of the PA decree of Playa de la Bahía de Chacahua Sanctuary, Oaxaca	679.11 ha	BJS (CONANP, 2016)	The original decree did not establish a polygon, only a beach length of 17.4 km New area: 771.76 ha Core area: 167.47 ha Buffer zone: 604.29 ha Population in the surroundings of the Sanctuary: 2,834 inhabitants (1,422 women and 1,412 men), with 43.4% of the population aging 14 years or younger. Prevalence of Afro-descendants; access to health and education is largely below state and national averages.
	<b>3,526.65</b>	<b>TOTAL additional area</b>	

The modifications to the decrees of the beach Sanctuaries are clearly justified by the need to update the decree with new legislation and practices. These Beach Sanctuaries have the particular feature of a linear decree (i.e. a straight line of a precise length, measured in kilometers, along the federal zone of the beach), without defining the corresponding polygon. The proposed delimitation of the polygon and the creation of a new zoning (with restricted uses established in core areas, in particular) should be implemented hand in hand with a wide information campaign for the users and inhabitants of the ANPs, along with a consultation and participation process. Despite the history of conservation efforts in the area, particularly for the protection of turtle nesting areas, the new zoning of these ANPs implies limiting natural resource use and management in areas where no such explicit restrictions previously existed (at least not with the same legal support). If the decree is to be modified, it will be necessary to update the Management Program; this provides the ideal opportunity to consolidate a participatory process that respects the social, environmental and economic safeguards of the CI-GEF project.

The zoning proposal of this project also addresses the connectivity between landscapes. In this case, a connection is proposed between the Sierra Madre de Chiapas landscape and the Oaxaca-Chiapas Coastal Landscape through three areas not included within PAs, that is, outside the official jurisdiction of CONANP. These areas, characterized by a historical occupation of indigenous and non-indigenous communities and by a predominantly agricultural land use, represent a challenge for the implementation of the project, despite their environmental importance. Of particular interest is the case of the Huizapa-Sesecapa “forest protection zone”. This particular reserve was initially decreed, back when Lázaro Cárdenas was president, as an area for precious woods harvesting in favor of the large estates that occupied this polygon.<sup>39</sup>

#### **//.b. Relevant social attributes**

The landscape of the Pacific coast of Oaxaca and Chiapas has an estimated population of 205,959 inhabitants, of which 97,288 are women and 98,645 are men (INEGI, 2010) and indigenous population are 24,072 persons. The region includes Indigenous and Afro-descendant populations, among which the Ikojts (Huave), Binizaa (Zapoteco) and Kitsecha’tnio (Chatino) stand out.

The Afro-descendant population category does not exist in the legal structure of the Mexican State (Avendaño Villafuerte, 2011). According to the 2015 Inter-census Survey carried out by INEGI, 1.4 million Afro-descendants live in the country. This sector represents 1.2 percent of the total population, and there are 705 thousand women and 677 thousand men of African descent (INEGI 2015).

The main economic activities in the region include fishing, commercial agriculture (cattle ranching, oil palm, and fruit tree plantations), provision of touristic services (a still limited but booming sector), and rain-fed subsistence agriculture. Pre-Columbian fishing activities have been practiced for many years in the region and they constitute the primary income of many families affiliated to

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<sup>39</sup> Today, this area in the municipality of Mapastepec, which connects the REBIEN in the coast with the REBITRI in the Sierra Madre, is covered by plantations of African palm and mango, and pasture for dual-purpose cattle. The lack of presence of government institutions from the environmental sector in the region is one example of the challenges to conservation and of the importance of due respect to the project’s safeguards and guidelines. Meanwhile, the state ANPs of El Cabillo Amatal y El Gancho Murillo, located in the municipality of Tapachula, Mazatán and Suchiapa, Chiapas, are the scenario of a new collaboration between UNACH and SEMAHN in favor of conservation, protection, dissemination, and research on the sustainable use of natural resources in these ANPs (*Cuarto Poder*, 2017).

cooperatives (many of these were legally constituted prior to PA decrees). On the other hand, the southeast region of this polygon (Soconusco) is the main palm oil producing area in the country, with the presence of several oil extraction plants. In this manner, the African palm (*Elaeis guineensis*) has become an invasive species for mangrove and coastal ecosystems, as seeds are carried by rainfall or animals from palm oil plantations to the coastal plain. CONANP has been successful, so far, in controlling the oil palm invasion at La Encrucijada, through extensive funding allocated to “Strengthening the African palm control strategy at La Encrucijada Biosphere Reserve”, as part of the Conservation of Species at Risk Program (PROCER, by its acronym in Spanish).

Mexico’s historic contribution to the conservation of sea turtle nesting areas, through turtle centers, nesting monitoring, and identification of critical areas for conservation, provides the basis for the presence of governmental and non-governmental actors protecting this species, including scientific research activities and responsible tourism. However, there is a rather limited connection between isolated intervention areas and the overall situation of this large coastal area, which is experiencing significant social, demographic and economic pressures.

### **II.c. Social conflict in the region**

Based on workshops with local stakeholders and interviews with key actors, three social conflicts were identified to be latent or active in the region, which are critical for contextualizing the present intervention.

1. The PAs expansion proposals, along with restrictions on the use of natural resources due to new zonings (including core areas where only research and environmental activities are allowed), are a source of potential conflict with the local inhabitants and users of these ecosystems.
2. The African palm (*Elaeis guineensis*) is nowadays an invasive species for mangrove and coastal ecosystems, as seeds are carried by rainfall and animals from palm oil plantations to the coastal plain. The REBIEN has carried out environmental education campaigns and a truncated attempt to provide social and environmental responsibility certifications to oil industry companies (RSPO – Roundtable on Sustainable Palm Oil), but with limited results (interview with environmental authorities in Acacoyagua, Chiapas, February 2017; see Brandi *et al.*, 2015 and Selfa *et al.*, 2015). Similarly, the expansion of papaya plantations was identified as an environmental problem in workshops with local stakeholders (Coast of Oaxaca and Chiapas Workshop Report, February 9 and 10, 2017).
3. The Tehuantepec Isthmus region has been the scenario of serious socio-territorial conflicts between indigenous communities and wind power companies. While some communities have rejected the presence of wind farms, in 2014, the Ministry of Energy (SENER, by its acronym in Spanish) started the first consulted megaproject as part of the energy reform. The “Protocol for the implementation of free, prior and informed consultation on the development of a wind power generation project, in accordance with the Convention 169 of the International Labor Organization on indigenous and tribal peoples in independent countries” obtained, according to SENER, the approval of the project. However, in 2015, the non-governmental organization representing the people affected by the project filed an *amparo* (a legal instrument for the protection of individual rights) against the consultation process, since, according to the complainants, it was a vicious process that was not prior, free, informed or in good faith (see CNDH, 2016). The conflict persists in the region, as confirmed by the *United Nations Working Group on Business and Human Right’s*

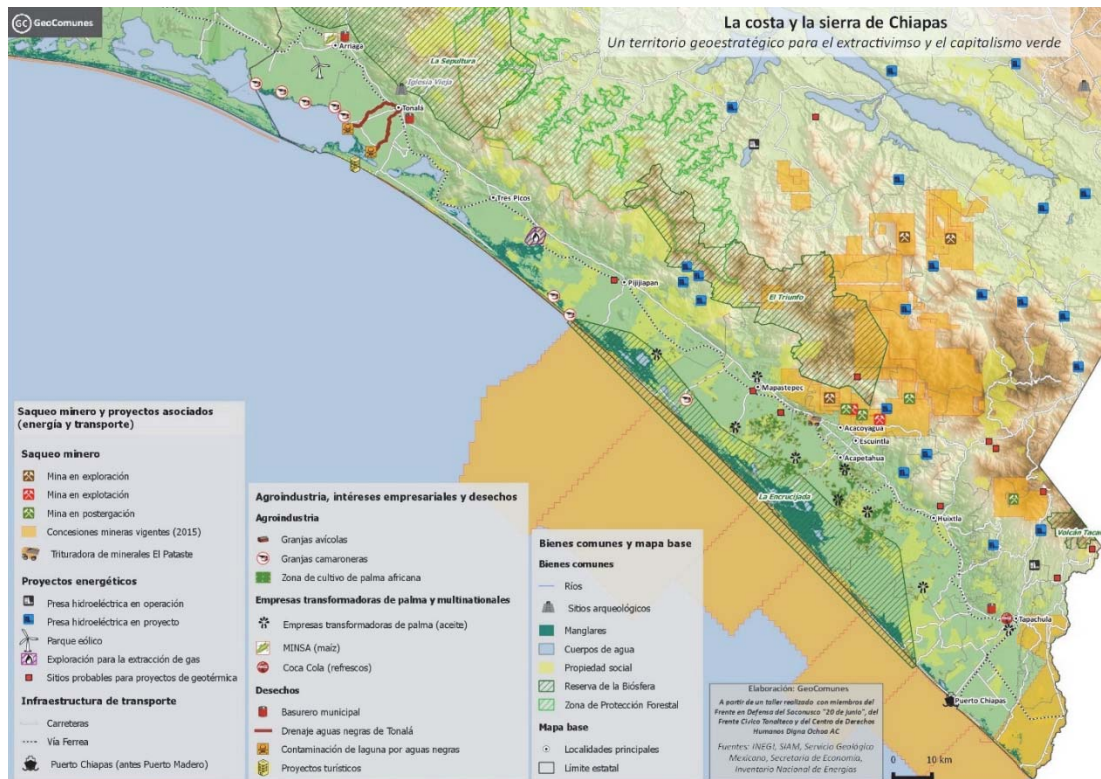


visit in late 2016, which highlighted human rights violations in the project and the lack of trust among stakeholders (OHCHR, 2016).

4. Shrimp farm projects have spread across the region and are sometimes a source of complaint by local communities denouncing the environmental and socio-economic effects that they can originate. Such is the case of a recent denunciation by the National Indigenous Congress in early March 2017 of the acts of violence in San Francisco del Mar, Oaxaca, in the context of internal divisions within communities on wind energy and shrimp farm projects in their communal lands (Coast of Oaxaca and Chiapas Workshop Report, February 9 and 10, 2017).

The socio-environmental conflicts in this region have proliferated with the expansion of the wind farm project following a biased consultation process, a recent announcement from SAGARPA informing that palm oil plantations in Chiapas have reached 80,000 hectares (SAGARPA 2016), and the decree of Special Economic Zones (SEZ) in Puerto Chiapas and Salina Cruz.

Map 7. A geostrategic vision of the coastal region



Source: GeoComunes, 2016.

## **II.c. Specific recommendations for the Pacific coast of Oaxaca-Chiapas landscape**

- The modifications to the decrees of the Beach Sanctuaries are clearly justified by the need to update them with new legislation and practices. The decrees of these Beach Sanctuaries have the particular characteristic of being linear (i.e. 15 kilometers of beach), lacking a definition of the corresponding polygon. The proposed delimitation of the polygon and the creation a new zoning (with restricted uses established in core areas, particularly) should be implemented hand in hand with a broad information campaign for the users and inhabitants of the PAs, along with a consultation and participation process. If the decree is to be modified, it will be necessary to update the Management Program, which provides the ideal opportunity to consolidate a participatory process that respects the Social and Environmental Safeguards under this project. The Process Framework for Restriction of Access to Natural Resources will be strengthened when with stakeholders as a consultation mechanism.
- Recognize and energize the forms of organization and participation of the Afro-descendant population living in this landscape, which are facing acute marginalization. For example, a public consultation is currently under way with the objective of identifying the different names that black peoples in Mexico use in their region to call themselves, in order to create a catalog of self-nominations for its inclusion in the 2020 INEGI Census.
- Regarding the state PAs in the coast of Chiapas that do not have a management program due to lack of finance and staff (Huizapa-Sesecapa Forest Protection Area – 12,944 hectares; Area Subject to Ecological Conservation El Cabildo Amatal – 330 hectares classified as Ramsar Site; and Area Subject to Ecological Conservation “El Gancho-Murillo” – 4,643 hectares classified as Ramsar Site), agreements with the communities that inhabit these areas to involve them in management and conservation activities will be necessary, as well as development of management plans and land-use planning instruments.<sup>40</sup>
- Environmental education in local languages. Dissemination of materials through local radio stations (including materials in local languages).

## **Sierra Sur and Isthmus of Oaxaca Landscape**

### **III.a. Relevant ecological attributes**

The landscape of Sierra Sur and Isthmus of Oaxaca comprises a total of approximately 953,972 hectares. The region includes 28 Areas Voluntarily Destined for Conservation (AVDC) totaling 847 hectares. This landscape is characterized by montane forests and tropical deciduous forests, among other ecosystems of interest to biodiversity, but without legal protection. This priority landscape contains two species listed as vulnerable according to the IUCN, an Alliance for Zero Extinction site, and a large KBA.

Studies carried out by CONANP as part of this project’s planning identified a series of strategic areas for the operation of the project. The null presence of PAs, outside of small AVDCs, and the region’s social context pose some challenges to operating the program in this landscape, which

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<sup>40</sup> Particularly, in the case of Ramsar Sites, the project could include them in the total area under ecological management through the concept of Areas Voluntarily Destined for Conservation (AVDC), a conservation category rarely used in the state of Chiapas (from 2008 to 2010, 6 AVDCs were decreed in the state of Chiapas). This mechanism could be developed in conjunction with the inter-institutional coordination recently established between SEMAHN and UNACH in favor of the conservation and management of this coastal state ANPs (*Cuarto Poder*, 2017).



will depend to a large extent on the mechanisms of collaboration with inhabitants and local stakeholders. The AVDC mechanism has been a process of building agreements with local communities for the conservation of strategic areas. Although these tend to be limited to small areas, their contributions to biological connectivity are crucial.

The priority areas for this landscape include spaces of connectivity for biodiversity conservation through the Sierra Sur and the coastal landscape. Of particular interest will be to resume work at the basin level, which integrates the correlation between high and coastal areas. A key experience on which to build upon is the work of the Copalita river basin, which flows into the touristic area of Huatulco.

### **III.b. Relevant social attributes**

The landscape of the Sierra Sur of Oaxaca has an estimated population of 147,623 people, of which 71,712 are women and 68,007 men (INEGI, 2010), with an indigenous population of 78,783. The region includes indigenous Binizaa (Zapotec) and Nuu savi (Mixtec) populations.

The main economic activities in the region include coffee production (of which the Pluma Hidalgo variety stands out for its quality) and rain-fed agriculture (*milpa*).

This landscape has limited presence of institutions, a history of marginalization and social conflict, and a context of wealth in natural resources and social poverty.

### **III.c. Social conflicts in the region**

Based on workshops with local stakeholders and interviews with key actors, two main social conflicts were identified to be latent or active in the region, which are crucial to contextualizing the present intervention.

- Production losses and resulting social and environmental impacts due to the coffee rust (*Hemileia vastatrix*) epidemic have put the regional economy under great stress (Libert-Amico *et al.*, 2017). The Coffee Rust Epidemiological Surveillance Program, under the coordination of SENASICA, carried out chemical control of the disease in 8,521 hectares of the region in 2015; however, its results have been limited in terms of renovation of coffee plantations and economic recovery of this sector crucial to the regional economy (SENASICA, 2016: 10).
- The lack of governance has been a historical problem in the region, one that has been exploited in some areas by organized crime groups (Sierra Sur of Oaxaca Workshop Report, 10 and 11 February, 2017).

### **III.c. Strategies for the Sierra Sur of Oaxaca Landscape**

- Strengthen community conservation mechanisms by promoting Internal Regulations in *ejidos* and communal lands (local safeguard plans for the active management of the territory; local governance mechanism) and Community Biocultural Protocols, an innovative mechanism (Shrumm y Jonas, 2012; see CDI, 2014) backed by the Convention on Biological Diversity and the strengthening of community culture.
- Environmental education in local languages. Dissemination of materials through local radio stations (including materials in local languages).
- Take local organizations and capacities as a basis (Sierra Sur of Oaxaca Workshop Report, February 10 and 11, 2017).

### **Criteria for eligibility of affected persons**

- People with a High marginalization rate.
- People who are not land owners but they are part of the population living in the area and that the project might exclude.
- People historically excluded or discriminated like women, agricultural day laborers, migrant workers.

Persons with illegal activities or who have no relation with the project, territory or whose acts are on bad faith will be excluded from mitigation actions.

### **Measures to assist the affected persons**

The project foresees no actions that would negatively impact local people but actions to benefit them. People within boundaries of PAs get more support from federal or international programs than the ones in corridors, so there might be an unequal distribution of benefits or strategies regarding neighbors of population living in federal protected areas.

PAs are organized in Core and Buffer Zones, and the affectation that might limit access of natural resources is in the Buffer Zones where local communities may continue with their economic activities but they have to change from regular practices to sustainable practices to conserve natural resources. The Core Zones are mainly remote high regions with no population.

Some measures identified to assist voluntary affected persons in Buffer Zones are:

- Assist land owners to conserve ecosystem services, mainly fresh water sources.
- Species economically important will be identified as well as the area to improve conservation and management of such species by providing technical assistance.
- Training in specific topics such as climate change, mitigation, adaptation, ecosystem services, environmental education, etc. to strengthen capacities and make people aware of the benefits of conserving biodiversity and ecosystems services in the medium and long term for future generations.

In Core zones:

- Development of ecotourism projects, bird watching activities or designing trails might apply in some cases.
- Conservation local agreements are put in place and let people know about specific actions to use the area in a sustainable manner such as trails or ecotourism activities.

### **Conflict resolution and complaint mechanism**

Roles and responsibilities concerning conflict resolution and grievances of stakeholders including executing entity, affected communities and government agencies will be described.

When affected communities request an alternative process, or present a complaint, the Accountability and Grievance Mechanism Policy describes the procedures and actions to solve such complaints and applies policies of the environmental and social safeguards respecting customary, human and general rights.

### **Implementing arrangements**

Monitoring and evaluation arrangements will be described in the Framework, and should include a budget and financing plan for its implementation.

Within the stakeholder mapping activity developed in this ProDoc process, the following key stakeholders were identified with responsibilities concerning project implementation.

See Annex 2: Mapping of Actors per priority landscape, including sector, geographic scope, role, kind of participation, resources, main contacts, incidence in the project.

See also, letter of commitment of key stakeholders as allies of this initiative identifying joint or complementary strategies or programs by component.

The monitoring arrangement will be identified within component 1, output 1.3 addressing governance of the priority landscapes and local participation. Baseline will be developed within the first year of the project.

## Appendix VI.2. Indigenous Peoples plan

### a) Summary of the legal and institutional framework applicable to IP

The three priority landscapes cover areas of high biodiversity as stated in the project context and overlap with lands owned, occupied or utilized by indigenous peoples and afro-descendants.

The objective of this plan is to both, ensure that indigenous peoples are actively involved in the design of the project, and that receive culturally appropriate benefits resulting from negotiations and agreements with the people and/or communities affected. Since indigenous peoples are present within the potential areas of restriction on access and use of natural resources, the Indigenous Peoples Plan must go hand in hand with the Process Framework for Restriction of Access to Natural Resources, as well as the gender mainstreaming plan.

Indigenous peoples represent the 36.5% of the total population of the three priority landscapes:

- The Sierra Madre de Chiapas, has a total of 150,345 inhabitants of which 8,028 are indigenous, representing 5.3% of the population. The indigenous peoples identified for this landscape are Mam, Tzotzil and Tzeltal.
- The South Sierra and Isthmus of Oaxaca, has a total of 147,623 inhabitants of which 78,783 are indigenous who represent the 53.3% of the population. The indigenous groups identified are Binizaa (Zapotec), Chontal and Chatina.
- The Pacific South Coast of Oaxaca and Chiapas, has a total of 205,959 inhabitants of which 24,072 are indigenous who represent the 11.6% of the population. The indigenous groups identified in this landscape are Mixteco, Nahuatl, Chatino, Amuzgo, Tlapaneca and Huave; as well as afro-descendants or afro-Mexicans and *mestizos*.

A total of 3,788 rural localities are distributed among the three priority landscapes.

The landscape with the most complex socio-economic and cultural context is the South Sierra and Isthmus of Oaxaca. This landscape has the highest percentage of population in poverty and extreme poverty; different municipalities with a very high degree of social marginalization and a human development index lower than the national average; the largest amount of indigenous population, and various schemes of natural resources management and appropriation.

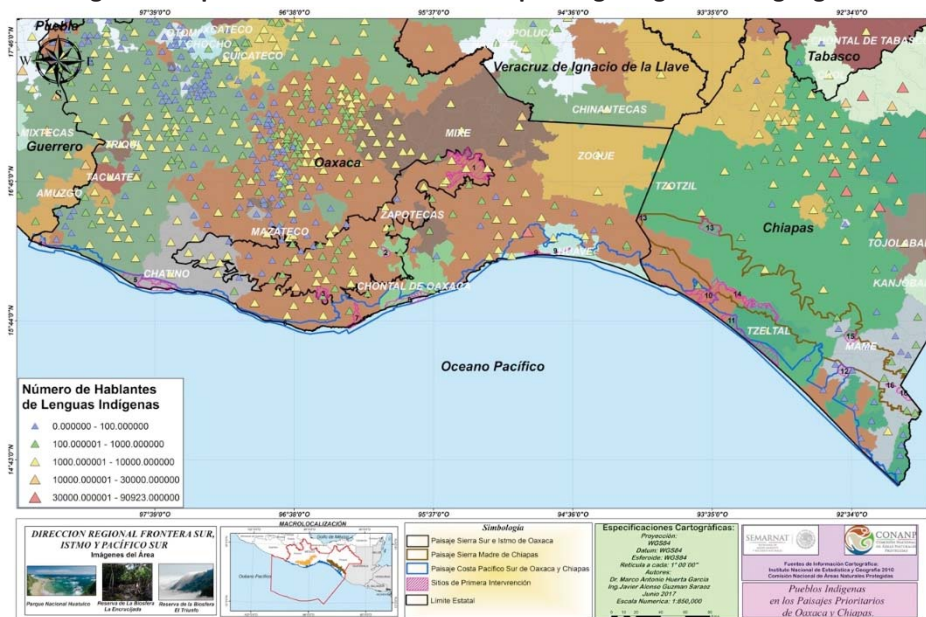
Through an inclusive approach, the strategy of this project will benefit vulnerable groups -in particular indigenous, afro-descendent people, women, and youth- strengthening their participation in decisions related to their economic benefits and well-being.

The Mexican legal framework regarding indigenous peoples establishes their right to free determination under the constitutional framework of autonomy that secures national unity. Besides constitutional support to respect human rights and equality within the first constitutional articles. The *Diario Oficial de la Federación* in 2016<sup>41</sup> submitted the recommendation of the prior consultation to Mexican Indigenous Peoples and Communities to grant their consent.

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<sup>41</sup> DOF, 2016. General recommendation on the right to prior consultation of Mexican indigenous peoples and communities: [www.dof.gob.mx/nota\\_detalle.php?codigo=5447796&fecha=12/08/2016](http://www.dof.gob.mx/nota_detalle.php?codigo=5447796&fecha=12/08/2016)

**Figure 1. Population size of inhabitants speaking indigenous languages**



Mexico is the second most bio culturally diverse country in the world; it ranks below Indonesia and above India, Brazil and Australia (Toledo and Ortiz-Espejel, 2014). Mexico is a megadiverse (hosting 10 percent of the world's biological diversity) and mega-culturally diverse country (with 11 language families, 68 linguistic groups, and 364 linguistic variants that should be called languages, according to INALI, 2007). It is no accident that biological megadiversity coincides with cultural megadiversity. This cultural diversity, landscapes, productive systems and multiple resource uses, gave rise to more than 100 domesticated species of plants, mainly for food, and herbal medicine comprising 4 thousand species (Toledo and Ortiz-Espejel, 2014).

International agreements, which include CBD, acknowledge that rights to prior consultation and participation are not limited to indigenous peoples as such but also include tribal peoples and "local communities". This implies that mestizo communities would also have the right to access international courts to demand respect for their rights to be consulted on mining or hydroelectric projects, for example.

In a similar way, Afro-descendant populations in the Americas must be recognized as a people with its own customs, traditions and forms of organization and justice procurement. Mexico made its first attempt of recognition in 2015, by carrying out a census of the Afro-descendant population which resulted in a total of 1.4 million Afro-Mexicans.<sup>42</sup> Since the beginning of 2017, a consultation called "*How do we want to call ourselves? Towards the INEGI 2020 Census*" has been in process to

<sup>42</sup> According to Afro-descendant organizations such as México Negro, despite the census, Afro-descendants are not yet recognized in the Constitution (*La Jornada*, 2015). According to México Negro, "knowing how many Afro-descendants live in Mexico will influence public policies and, consequently, the money destined to them" (Ibid.)

define Afro-descendant peoples' self-ascribed identity in Mexico, to register the different names that Mexico's black peoples use in their regions and build a catalog of self-nominations to be included in the INEGI 2020 Census.

Particularly during the Sierra de la Costa of Oaxaca and Chiapas planning Workshop (February 9 and 10, 2017) participants stressed that cultural diversity, customary law and traditional forms of participation and government must be included in the development and implementation of the project. This adds to the proposal stating that the consultation process will be properly documented and the agreements or arrangements constituting the consent of the affected indigenous peoples will be described. Any disagreement raised will also be documented, including the way it was addressed or resolved (See document FPIC Plan).

**b) Summary of analyses related to the environmental and social safeguards:**

The Executing agencies (CI Mexico and CONANP) performed a general evaluation of its different components, introduction, project background - context, compliance of environmental conventions and country legal and institutional frameworks, as well as answered eligibility questions and assessment; implementing completely its *Screening Results and Safeguards Analysis* evaluation framework. The key contributions identified were:

- To strengthen the Mexican System of Protected Areas of Oaxaca and Chiapas by addressing integral management of the priority landscapes through land-use planning;
- To enhance current sustainable practices in key production activities and convert conventional practices to sustainable ones in key productive sectors;
- To strengthen good governance through key stakeholder participation;
- To build capacities of key stakeholders particularly women, indigenous communities and other vulnerable populations and including local peoples and governmental institutions for better decision-making in the use of natural resources, etc. among others.

**c) A detailed description of the participation and consultation process during implementation.**

To develop the safeguards component for its adoption in every area of the Project, as well as the specific plans, team of experts participated in all activities of the ProDoc, including meetings, planning workshops and round tables. During the first internal meeting to define strategy for ProDoc and plan de workshops at each landscape, the work group composed by CONANP personnel and CI Mexico as well as with consultants developed and analysis of key players and defined a map of actors that inhabit and/or develop research, conservation, primary economic activities or invest in programs in the area where the project would take place. This map of key players was analyzed and commented by the consultant team on safeguards. The players selected participated in planning workshops at landscape level to identify safeguards for each of the three landscapes proposed. The information gathered in the workshops was analyzed and complemented with bibliography to finally integrate the safeguard plans.

So, the project engaged during PPG a diversity of players, from community and *ejidos* to civil society organizations, academia, and government institutions of the three levels of government. Hence, this project social and environmental safeguards aims to contribute to respect human rights and equal participation, where interests and points of views from a diversity of players are valued equally.

During the six planning workshops of the ProDoc, two per landscape, the safeguard team of consultants have a participation of half day of the workshop to properly introduce, present and

get information directly from the participants, as well as further on developed local and regional interviews at landscape level. This team could not develop the FPIC since Primary Intervention Sites were defined at the end of the process.

**d) A summary of results of the participatory consultation**

Not all of the project's primary intervention sites overlap with indigenous peoples' territories (Table 1), however, as a good institutional practice, the FPIC processes in the three landscapes will not only involve the indigenous and Afro-descendant populations, but also the mestizo population, in accordance with international standards regarding the principles of Diversity, Equity, Permanence, Transparency, Compliance and Representation also upheld by Mexico's National Commission for the Development of Indigenous Peoples (CDI).<sup>43</sup>

**e) A framework for ensuring FPIC with the affected Indigenous Peoples' communities during project implementation;**

**Background information on Free, Prior and Informed Consent processes in Mexico**

Processes and projects proposed to be developed in indigenous peoples' territories in Mexico are legally required to carry out Free, Prior and Informed Consent (FPIC) processes as well as a required policy of GEF, as established by:

- Article 2 on indigenous peoples' rights and Article 26 of the Political Constitution of the United Mexican States on democratic and deliberative planning;
- Articles 6 and 7 of the International Labour Organization (ILO) Convention 169 on Indigenous and Tribal Peoples in Independent Countries;
- Article 2 of the United Nations Declaration on the Rights of Indigenous Peoples.

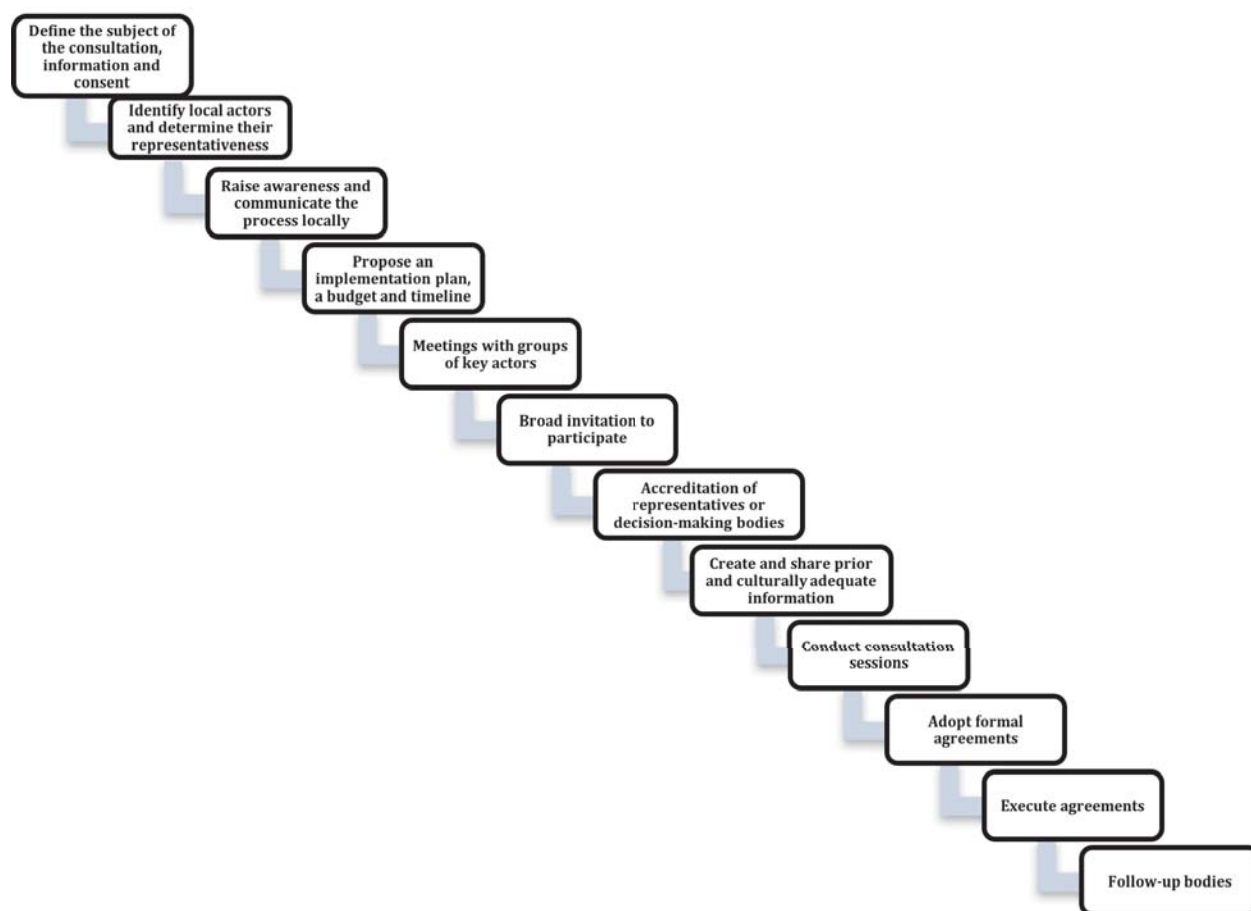
The FPIC process will also consider implementing the "Guidelines for Applying Free, Prior and Informed Consent: Handbook for International Conservation" as well as with the process identified by an environmental NGO of Mexico, the Mexican Centre for Environmental Law (CEMDA), which considers six fundamental steps to establish a FPIC process: 1) Information, 2) Internal deliberation within the communities, 3) Agreement, 4) Consent, 5) Implementation, and 6) Follow-up, which can be broken down into 12 steps as shown in Figure 4 (CEMDA, 2013).

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<sup>43</sup> Protocol for the implementation of consultations with indigenous peoples and communities in accordance with the standards of the International Labor Organization Convention 169 on Indigenous and Tribal Peoples in Independent Countries (CDI, 2013).



Figure 4. Key steps in the FPIC process. Source: CEMDA, 2013



Based on this information, a proposal of FPIC Plan for the three landscapes involved in the project is presented in the following section, considering the primary intervention sites.

### Objective of the FPIC plan

To establish the methodological procedures through which local and indigenous communities in the primary intervention sites within the three landscapes of the project will be consulted and IPs communities and Afro-descendant communities will be invited to provide their consent, with gender sensitiveness, through their institutions and representative agents, on the design, implementation, and evaluation of the **Conservation and Sustainable Use of Biological Diversity in Priority Landscapes in Oaxaca and Chiapas Project**.

### Specific objectives

1. To elaborate a technical and methodological document that establishes the subject of the FPIC process, incorporating local players and their representativeness segregated by gender, and provides details of the FPIC communication, invitation encouraging women,

elderly, handicapped and other vulnerable groups, and implementation plan, including the timeline. This, at Primary Intervention Site (PIS).

2. To design materials for analysis and for the execution of meetings with groups of key players that enable participants to explore the situation and the position of the different interest groups towards the project.
3. To invite a broad spectrum of local players to participate, distribute communication and information materials, and implement accreditation mechanisms that assess the representativeness of players and community representative bodies for decision-making. Gender considerations for this objective are time, location and basic training.
4. To carry out informative meetings and discussions about the project, within decision-making bodies and in the presence of decision-makers with community representativeness, to adopt agreements.
5. To establish mechanisms for the execution and follow-up of agreements, as well as evaluation bodies and, if necessary, grievance mechanisms.

## **Activities**

### **1. First specific objective**

- 1.1. Identifying local players men and women, their community representativeness and their social, cultural, political, and economic interest framework.
- 1.2. Identifying the communal or collective decision-making bodies, such as assemblies, committees, and governance mechanisms.
- 1.3. Writing a technical-methodological document that justifies and establishes the FPIC process for each of the primary intervention sites.
- 1.4. Designing the FPIC communication, invitation, and execution plan, taking into consideration the local communication mechanisms, gender topics, the local language, and the community's seasonal activities (agricultural calendar, festivities, etc). Training on specific human rights and other social issues of concern shall be offered.
- 1.5. Establishing the FPIC process' course of action and timeline, from beginning to end.

### **2. Second specific objective**

- 2.1. Identifying the groups of key players and their specific power (political, economic, social, and cultural) to explore the best pathways for executing the FPIC, the points of disagreement and agreement, and the project allies.
- 2.2. Designing materials for analysis that explain the project in simple terms, are accessible to the general population, and, especially, indicate the issues that could generate disagreements, conflicts of interests, and concurrence among key players and the project.

### **3. Third specific objective**

- 3.1. Launching a broad invitation to the public, guaranteeing the participation a plurality of players.
- 3.2. Designing communication materials (brochures, audiovisual materials, etc.) that allow the general population to be informed about the project and the spaces where discussions and consultations will take place.
- 3.3. Communicating the project within the collective decision-making bodies, local player committees, and local governance bodies.

- 3.4. Establishing an accreditation mechanism assessing players, their representativeness, and their capacity to make decisions on behalf of a social group, community, or town. When women have little participation, the causes need to be understood.

#### **4. Fourth specific objective**

- 4.1. Inviting local players with communal representativeness.
- 4.2. Carrying out meetings, with ample participation, within collective decision-making bodies to present and discuss the project.
- 4.3. Establish the points of agreement and disagreement, as well as the mechanisms for adjusting the project or withdrawing from it.

#### **5. Fifth specific objective**

- 5.1. Establishing collective mechanisms or collegial bodies for the follow-up of agreements and project modifications.
- 5.2. Establishing groups or associations of local players for project evaluation and grievance mechanism.

#### **Considerations for the three landscapes and their primary intervention sites**

In the framework of the discussions on FPIC processes in Latin America and Mexico, according to Oxfam (2015), Monterrubio (2014), CDI (2013), CEMDA (2013) and Ethnicity (*nd*), the following recommendations of relevance to the primary intervention sites of the **Conservation and Sustainable Use of Biological Diversity in Priority Landscapes in Oaxaca and Chiapas Project** are drawn.

1. Ensure the active participation of the entities observing the process, such as the Public Prosecutor's Office, the Ombudsman's Office, or other equivalent national human rights institutions.
2. Take actions to document and organize the information from past and projected consultations, and provide public access to this information.
3. Establish a grievance body with the capacity required to process demands, claims and complaints arising during the consultation process and the execution of the project. This mechanism will solve complains or define actions to answer claims.
4. Even if the FPIC processes had already taken place in the primary intervention sites and/or the project considers establishing additional voluntary protected natural areas, since this project is consistent with international FPIC good practices, the project will conduct a free, prior and informed consent analysis for the extension or creation of new areas or other conservation mechanisms, as well as, whenever possible, for every project or site, to guarantee its appropriate development, as well as in the areas where the project will enhance biodiversity management and conservation. This process will consider the concerns and expectations of the communities to define actions to adequately inform them and avoid false expectations, if present.
5. Local customs and procedures in decision-making, participation, and action regarding conservation will be identified and adapted in the communities involved in the project when implementing such mechanisms as Protected Areas and best practices to produce goods and services. If some local rules or customs and procedures hinder the participation of women or vulnerable groups, the general director or coordinator of the project will

establish culturally appropriate and agreed ways to ensure their voices will be heard and they will take part in decision-making.

6. The general director or coordinator of the project together with the team and the local communities will identify acceptable culturally forms to approach and involve of indigenous, Afro-descendant, or agrarian communities, always earning their consent and accepting feedback on the process personally and periodically according to the local arrangements adopted. This shall be documented showing agreements, follow-ups, and transparency, seeking the feedback from project stakeholders at the level of primary intervention sites and at the landscape scale where participation of and collaboration with indigenous groups, rural communities, or social organizations, among others, is present.
7. Every agreement with project stakeholders leading to Integrated Landscape Management should ensure that indigenous, Afro-Mexican or rural communities or organized social groups shall have enough time to discuss and analyze its content and freely decide to sign or seal it.
8. The human, social, economic or environmental benefits deriving from the project shall be informed and questions shall be answered to avoid future conflicts and achieve a local and regional understanding for its adequate communication.
9. The project monitoring system shall be communicated to the indigenous, Afro-descendant, and rural communities and organized social groups in accordance to the timeline set for such project monitoring.

**f) An action plan of measures**

To ensure that the Indigenous Peoples receive social and economic benefits that are culturally appropriate, including, if necessary, measures to enhance the capacity of the project executing entities to ensure that they are delivered and/or sustained;

**Safeguards identified on Indigenous Peoples and Afro-descendants**

- Know the internal agreements and community land-use planning instruments of native communities, and the institutional procedures of players involved in the project, to make new agreements backed up by local populations regarding the operation of the project.
- Local communities or indigenous peoples' customary law will be identified and analyzed to environmental regulations to be able to use and enjoy of natural resources.
- Local populations will be the first to benefit from conservation activities and the production of goods.
- The Governance mechanism of each landscape will include the participation of local populations and institutions, emphasizing transparency.
- For a good governance, this project will build capacity of key local stakeholders particularly women, indigenous communities and other vulnerable populations and including local peoples and governmental institutions, for land use, better decision-making in the use of natural resources, improved actions and benefits from sustainable farming practices and improved landscape management, among others.
- Local and regional governance agreements will be set in the formulation of activities and their regulations.
- Respect the internal agreements and customary laws of local communities and indigenous peoples.
- Jointly with communities and project team could identify how can guarantee the responsible and regulated use of natural resources to ensure every person in the community, from the different gender, age, and social landowner categories (e.g.

ejidatarios, avecindados, etc.), and see when possible to have the same opportunities and obligations to use and enjoy them. *To be discussed with advisors and analyze this possibility as positive safeguard but not cause of any problem at community level.*

- If it is feasible, if it is not within NOM 059 (Mexican main environmental Norm) considerations about access of natural resources by original people, unless it has the corresponding studies, as well as respecting the agreements of the communities.
- Analyze and evaluate the scientific basis and traditional use of natural resources and, based on these, propose to rewrite use and management policies to ensure understanding and congruence between policies and resource use local good practices.

#### **Compliance indicators: Safeguards on Indigenous Peoples and Afro-descendants**

- Percentage of Indigenous and Afro-descendant peoples and local communities where FPIC (Free, Prior and Informed Consent) has been developed and documented.
- Percentage of Indigenous and Afro-descendant peoples and local communities where benefit distribution has been agreed and documented according to the right community governance mechanisms.

**Table 1. Municipalities of Oaxaca and Chiapas where the project will take place that have indigenous and Afro-descendant populations.**

SIERRA SUR OF OAXACA	MUNICIPALITIES	INDIGENOUS POPULATION
1	LACHIGUIRI, GUIENAGATI, GUEVEA AND SANTO DOMINGO TEHUANTEPEC	ZAPOTECO / MIXE
2	SANTA MARÍA ECATEPEC	CHONTAL
3	PLUMA HIDALGO, POCHUTLA, SAN PEDRO EL ALTO, SAN MIGUEL SUCHIXTEPEC, SANTIAGO XANICA, SAN MIGUEL DEL PUERTO AND SAN MATEO PIÑAS	ZAPOTEC-MIXTEC
PACIFIC SOUTH COAST OF OAXACA AND CHIAPAS	MUNICIPALITIES	INDIGENOUS POPULATION
1	SANTIAGO TAPEXTLA	AFROMESTIZO OR AFRO-DESCENDANT
2	JAMILTEPEC AND TUTUTEPEC	
3	TONAMECA	TRIQUI
4	HUATULCO, POCHUTLA AND SAN MIGUEL DEL PUERTO	ZAPOTEC-MIXTEC
5	HUAMELULA AND ASTATA	CHONTAL
6	SAN FRANCISCO DEL MAR AND SAN FRANCISCO IXHUATÁN	HUAVE
7	TONALA	
8	PIJIJAPAN	
9	ACACOYAGUA, ESCUINTLA AND ACAPETAHUA	

SIERRA MADRE OF CHIAPAS	MUNICIPALITIES	INDIGENOUS POPULATION
1	CINTALAPA, JIQUIPILAS AND ARRIAGA	
2	TONALÁ, VILLA CORZO AND PIJIAPAN.	
3	ÁNGEL ALBINO CORZO, CHICOMUSELO AND MONTECRISTO DE GUERRERO	
4	UNIÓN JUÁREZ, CACAHOATÁN, TAPACHULA, MOTOZINTLA AND ESCUINTLA	MAM

Fuente: CI Mexico-CONANP (2017) and CDI (2017).

### **Components, Outputs-targets and Indicators closely related to Indigenous peoples**

Although the safeguards will cut cross all components, outcomes, outputs planned, as stayed in the Results Framework of the ProDoc, there are specific components that specifically addresses Indigenous peoples safeguards:

**Component 1.** Related to the land use plan, creation of an integrated territorial management system at the landscape level that includes land conservation in different political jurisdictions respecting and identifying customary good management of natural resources or land use. Participation of local players, governmental agencies and other key stakeholders in the territory in planning, decision making and land use will be promoted, considering cultural diversity of indigenous peoples and local peoples living in key landscapes. This process will be the basis for building governance throughout the project.

**Outputs** under this component are closely related to Indigenous Peoples and Afro-descendants, and gender considerations by fostering participation at decision-making level when developing the “model of biodiversity conservation through integrated landscape management”, as well as when expanding protected areas by 102,403 hectares which will be been locally consented.

Within the Social and Environmental Safeguards Plan of the project (which includes stakeholder management plans, access to resources, indigenous peoples, gender, and conflict resolution mechanism), a protocol will be developed and applied to obtain FPIC of indigenous and rural communities and to cover the legal formalities required, both in environmental legislation and in the attention to indigenous peoples and human rights.

FPIC will also be implemented following the "Guidelines for Applying Free, Prior and Informed Consent: Handbook for International Conservation" as well as the established by CEMDA as mentioned above. This protocol will be the technical basis for declaring the creation or expansion of PAs as necessary, as well as the governance activities, training, etc.

The **targets** of outcome 1.3 are:

- **Indicator target:** 2.6 million ha (PA and corridors) with sustainable land use plans and other tools for land use (scale 1: 50,000).
- **Indicator target:** 102,403 ha of land cover increase of PAs within the three priority landscapes, reaching a new cover of 812,354 ha.
- **Indicator target:** Multi-stakeholder coordination body for each priority landscape is established and functional

The three governance mechanism of each landscape, includes local and community's participation, which will consider Indigenous peoples men and women's participation and afro-descendants.



The strategy to achieve a higher participation of women, indigenous peoples, afro-descendants and other vulnerable groups consists in promoting proactively the inclusion of these groups in the planning, implementation, and monitoring and evaluation of conservation and ILM activities as well as equity and equality goals carried out by this project.

**The project has been designed by using the** Gender, indigenous peoples and other vulnerable groups approach has been mainstreamed throughout the project activities, components and deliverables

**Component 2:** The knowledge of indigenous peoples and rural communities will be integrated in this process by compiling previous studies and analysis of information generated by research institutions, universities, NGOs and consultants.

Participants of the project will be impacted by increasing their incomes when developing sustainable practices and participating in a value chain with market driven approach.

Mechanisms to ensure a fair distribution of funding from public programs, to incentivize the sustainable use of natural resources among different stakeholders, with emphasis on women, indigenous peoples and other marginalized sectors, designed and implemented.

Targets identified which will benefit to local members of communities:

- **Indicator target:** On at least 4,650 hectares in the PIS sustainable practices have been adopted, as indicated by reaching the highest scores (6-10 points) for CONANP's Index of sustainable projects (ISP)
- **Indicator target:** An average 15% of income increase of members of Producer Organisations (PO) that have adopted sustainable production practices with a market-driven value chain approach.

### **Component 3:**

Financial sustainability of the project outputs will benefit substantially local communities which cover IP and Afro-descendants territories. Under the Grievance Mechanism as well as the components related to Indigenous people there will be close relation with Oaxaca and Chiapas government entities such as Indigenous Peoples ministry, National Commission of Indigenous People of Oaxaca and Chiapas, Human Rights State Commissions as well as specialists will be hired as consultants within the first two years of the project to establish the environmental and social safeguard plans.

#### **g) When potential adverse project effects on Indigenous Peoples identified during PPG,**

As detailed in the Access of natural resources safeguard plan. The following social conflicts were identified while planning activities were developed at the three priority landscapes:

- Illegal hunting activities are prohibited in Chiapas after 1994 social struggle. So, these activities are being experienced by inhabitants of the Sierra Madre of Chiapas.
- Mining concessions granted by the Mexican government affecting influence zones of PAs as well as local communities, several municipalities and communities from the Sierra Madre and Sierra Sur and Isthmus of Oaxaca have been self-declared out of mining.
- Eolic energy affecting indigenous lands from the Isthmus of Tehuantepec by the Pacific Coast of Oaxaca face some complaints.
- Some productive activities such as, papaya plantations with regular practices mainly located by river side, which contaminate fresh water or African Palm (*Elaeis guineensis*) is nowadays an invasive species for mangrove and coastal ecosystems, representing an

environmental damage and long term negative impacts for ecosystem services for local communities.

- Shrimp farm projects have spread across the region and are sometimes a source of complaint by local communities denouncing the environmental and socio-economic effects that they can originate.
- Pest and diseases like the coffee leaf rust (*Hemileia vastatrix*), which affects regional economies, as well as core zones of PAs and biodiversity, among other adverse impacts.
- The lack of governance has been a historical problem in the region, one that has been exploited in some areas by organized crime groups (Sierra Sur of Oaxaca Workshop Report, 10 and 11 February, 2017).

### **Objective of this action plan**

Anticipate unfavorable events that can occur and act, as much as possible, to reduce the chances of these happening as well as generate and use reliable, accurate and timely information in the decision-making process when developing and managing landscape land use plans.

### **Strategies to address adverse impacts on agricultural activities such as Papaya, African Palm production, Shrimp farm projects, and others:**

- By the component 2, these adverse effects will be addressed by implementing best practices, this considering social conditions as the social capital of local communities or producers. Alliances of work among different players within production system to facilitate collaboration among farmers will be enforced as well as value chain for these products to facilitate collaboration among supplies, processing companies, consumer, consultancies, etc. will be consolidated. Although some of these changes will come from scientific and technological innovation, most of them and the most crucial part will have to do with changes in peoples' mindsets and in the way they collaborate.
- Short value chain will be developed for the sustainable production supported by this project as well as contractual agreements to sell the production, insurance to production, etc.
- Contract schemes that establish minimum prices can be considered a safeguard for producers since they minimize the risk of losses when there is a fall in prices. They give producers a minimum level of income for their production during the contractual term, hence, if prices fall below that price, they do not lose too much, and if the final price is more favorable, they can access higher incomes because it is left open for the future.
- Building alliances between buyer and producer identifying mutual benefits of the partnership.
- Another strategy for some productive activities and tourism services will be to generate more profits and be more competitive by improving benefits for human well-being and quality.
- Training in decision making, financial mechanism, best practices in production activities, etc.
- Diseases like coffee leaf rust will be addressed by improving best practices, exchanging experiences and learn about effective strategies among partners between two priority landscapes, and working with the landscape approach. This will be more effective than to work at plot, farm, municipal or PA level.

- For financial adverse impacts this project will analyze the creation of a ***Fund for producers facing contingencies*** or emergency funding. Concerning this issue and regardless of whether or not the producers participating in the Project have financial credits or not, the creation of a is proposed to be used in situations of need caused by any of the factors described in these safeguards.
- Create governance bodies for decision making regarding land use, risk, and opportunities for integral management at landscape level. At local level, this project will generate and strengthen close relations between members of the community, promote or consolidate union or organized group of producers (cooperatives).

h) **The cost estimates and financing plan for the IPP coordinated to ensure consistency with the overall project budget;**

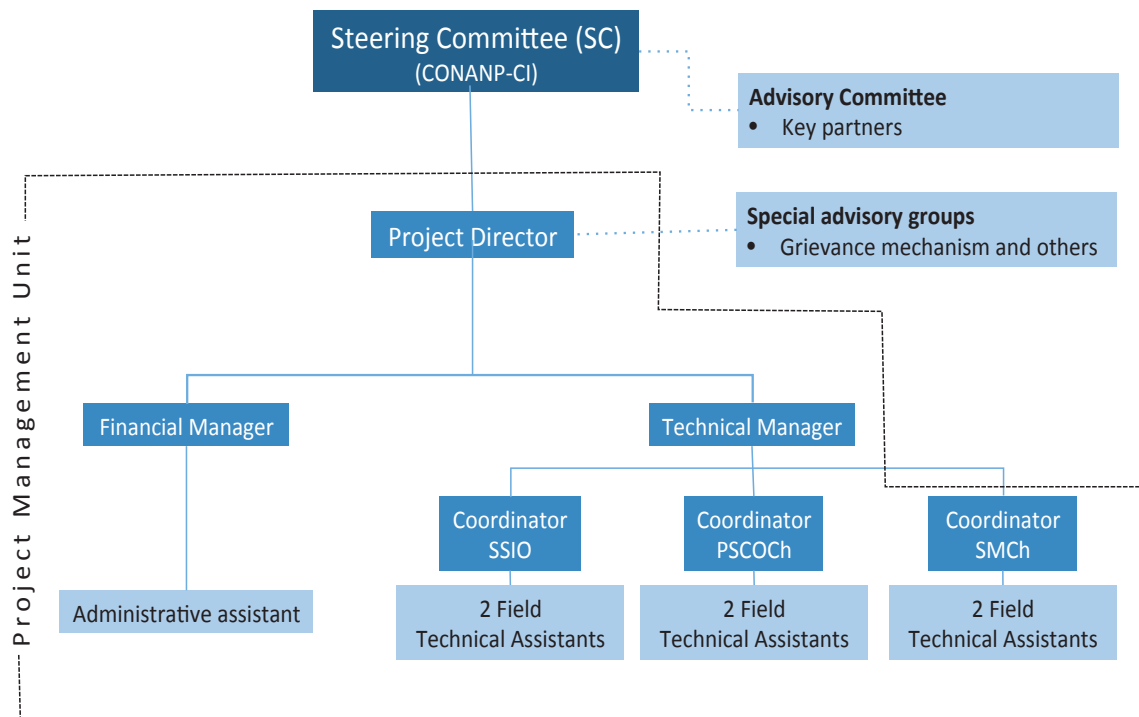
See Appendix VII. Project Detail Budget, where Outcomes, Outputs and Indicators are identified with a cost as mentioned above.

i) Accessible procedures appropriate to the project to address grievances, by the affected Indigenous Peoples' communities arising from project implementation.

When designing the grievance procedures, the Executing Entity considers the availability of judicial recourse and customary dispute settlement mechanisms among the indigenous peoples.

This project counts with identified professional services inherent to the operations process the interaction and structure can be found in the following graphic:

**Figure 5. Program management structure**



When managing this project, the approach identified is the adaptive management to have opportunities to solve complains once they are presented and followed the mechanism. Annual

operations plans will be developed to analyze risk, adverse effects of the projects and prevent complains.

Decision making to address grievances upon complain nature and best resolution of conflicts.

**h) Mechanisms and benchmarks appropriate to the project for monitoring, evaluating and reporting on the implementation of the IPP.**

These monitoring and evaluation mechanisms should include arrangements for consultation with and the free, prior, and informed consent of the affected Indigenous Peoples' communities with respect to monitoring and evaluation.

- The monitoring and evaluation plan addressing components, indicators, and outputs are in the Appendix III, as well as time line and results framework with information described above.
- The FPIC will be implemented at Primary Intervention Sites at local level once the localities are defined within the first six months of the project by the team of the project in close collaboration in the case of Oaxaca of the Agency of Indigenous Peoples (SAI, as per its initials in Spanish). Another arrangement with SAI is the approach methodology, to foster relations at local or communal level, as well as to get support for indigenous peoples language to produce capacity building materials, manuals or to attend the complains as stated in the Grievance Mechanism.
- This project will get external advisory expertise to implement this IPP and train the team or personnel responsible of project implementation. A protocol will be developed to attend HR, IPP, gender and cultural sensitiveness.
- Local project presentation will be conducted at the beginning of the project as well as social, use of natural resources, goals or plans assessments to conduct the FPIC will be conducted at community level within the 16 Primary Intervention Sites. Consents will be sought by the end of the first year. And role of indigenous and Afro-descendant communities will be self-identified.
- After local assessments are conducted and consent is granted, the team and expert in safeguards will define to develop community, PIS, or landscape level IPP plans and key actions.

**Main compliance indicators: Safeguards on Indigenous Peoples and Afro-descendants** (Please see Appendix III).

- Percentage of Indigenous and Afro-descendant Peoples and local communities where FPIC (Free, Prior and Informed Consent) has been developed and documented.
- Percentage of Indigenous and Afro-descendant Peoples and local communities where benefit distribution has been agreed and documented according to the right community governance mechanisms.
- Number of plans strategies integrate IPP safeguard (e.g. Integrated Landscape Management Plan)

Figure 6. Map of languages diversity of Mexico. INALI, 2015



## **Appendix VI.3. Grievance mechanism**

### **Problem description and background**

This project will count on the accountability and grievance mechanism to ensure that the people negatively affected by the project can submit a complaint to the executing agencies, CI Mexico and CONANP for its consideration and attention. The mechanism will be in place at the beginning of the project activities, and will be presented to all stakeholders in the language, manner, and media that best fits the local context. This mechanism is linked with the Involuntary resettlement and Restrictions of Access to Natural Resources plan as well as the other safeguard plans issued by this project.

The grievance mechanism will not replace in any circumstance existing CONANP's or national level dispute resolution and redress mechanism.

### **Objective**

This mechanism aims to address possible violations of the project policies and processes by timely responding to resolution of complains from parties affected by this project; be independent, transparent, effective, and accessible; inform grievances about the status of their complaints; and keep a record of all cases submitted.

### **Provisions**

- CI Mexico and CONANP will be first contacted for any complaint and be responsible for informing project-affected parties about the Accountability and Grievance Mechanism.
- Complaints to CI Mexico – CONANP may be presented in any format, through different channels including, but not limited to: oral testimony (individual or group), face-to-face meetings, in writing, through meeting minutes, by a telephone conversation or via e-mail, and without imposing any legal requirement that could limit the access to this mechanism. Any complaints presented in Indigenous languages other than Spanish will be translated and to support this action CI Mexico will ask advisory from the Human Rights States Commission (Oaxaca and Chiapas) or other institutions such as Indigenous Peoples state agencies.
- Project-related grievances should be communicated to CI Mexico and CONANP. The grievance should be responded in writing within 15 calendar days of receipt and a copy of the grievance and its response should be sent to the CI-GEF Project Agency Team. This response should include a proposal for the conflict resolution.
- All reasonable grievances raised will be attempted to be solved within 30 days.
- CI Mexico and CONANP will be responsible for informing affected communities about the project commitments and the environmental and social safeguards provisions, this will happen once the project starts during meetings, workshops and other activities related to the project's implementation and throughout its lifetime.
- Grievances and Executing Entities responses will be well documented (documents, e-mails, letters, pictures, etc.) and filed at CI Mexico offices.
- CI has its own grievance mechanism, managed from its headquarters in Virginia, USA. Any unsolved complains by the grievance mechanism of this project, shall be directed to CI headquarters by accessing the CI's EthicsPoint Hotline at <https://secure.ethicspoint.com> or file a claim with the Director of Compliance (DOC) who can be reached at:



Director of Compliance  
Conservation International  
2011 Crystal Drive, Suite 500  
Arlington, VA 22202, USA.

- Complaints out of the scope, boundaries or jurisdiction of CI Mexico and CONANP, should be rejected and when possible, the complaint might be sent to other institutions.
- Grievance Mechanism disclosure:
  - o This policy and mechanism will be presented at the Inception Workshop.
  - o Once the project starts, this policy will be shared by the Coordination Unit, personnel of the project, with third parties such as consultants, Steering Committee and in every public activity such as meetings, workshops.
  - o Visibility of this policy: A poster in Spanish disclosing this mechanism will be placed in all offices established by the project or where personnel of the project will be located. CI's Operational policy for media products will be followed to print such materials.
- This mechanism will also have an external interdisciplinary body (Committee), to analyze the complaints and propose solutions or attention to the grievances. This committee will receive the complaints from personnel of the project and will investigate and issue recommendations on complaints and denunciations submitted by the inhabitants of the three priority landscapes.
- The Committee will session only when grievances are presented or once a year.
- The Grievance mechanism will become a case study of CONANP's Southern Border, Isthmus and Southern Pacific Regional Office, will also work as a pilot project at the sub-national level and will promote its adoption at the national level.
- The mechanism will be led by one of the key managers will have the skills or experience in socio-ecological development and the social dimension of conservation as well as conflict resolution.
- The co-executing agency CONANP has its own mechanism of complaints, so the complaints that lay under CONANP's jurisdiction will be directed to the following mechanism that will respond to complaints related to PAs boundaries presented by the inhabitants of the PAs. CONANP as a national institution is regulated by the federal law, therefore these types of complaints under CONANP's jurisdiction should be sent to the "Organo Interno de Control" in SEMARNAT, which can be reached at: <https://www.gob.mx/conanp/acciones-y-programas/quejas-denuncias-e-inconformidades>

**Telephone:** In country 01 800 00 00 247 in Mexico City 5490 0900 y 5490 0988

**Submit complains at:** OIC – SEMARNAT offices, located at Av. Ejército Nacional 223, Col. Anáhuac, Del. Miguel Hidalgo, C.P. 11320, Ciudad de México.

**Regular mail:** Free format document director to Titular del OIC en la SEMARNAT, con domicilio en Av. Ejército Nacional 223, Col. Anáhuac, Del. Miguel Hidalgo, C.P. 11320, Ciudad de México

**E-mail:** [oic.quejas@semarnat.gob.mx](mailto:oic.quejas@semarnat.gob.mx) or [atencion.ciudadana@semarnat.gob.mx](mailto:atencion.ciudadana@semarnat.gob.mx)

- As well as to the Public Ministry - *Secretaría de la Función Pública*:  
<https://sidec.funcionpublica.gob.mx/>

**Telephone:** In country 01 800 11 28 700 and Mexico City 2000 2000 y 2000 3000 extensión 2164

**Address:** *Espacio de Contacto Ciudadano*, located at Av. Insurgentes Sur No. 1735, PB Módulo 3, Col. Guadalupe Inn, Del. Álvaro Obregón, C.P. 01020, Ciudad de México.  
Regular Mail: Escrito libre dirigido a la Dirección General de Denuncias e Investigaciones de la SFP, con domicilio en Av. Insurgentes Sur No. 1735, Piso 2 Ala Norte, Col. Guadalupe Inn, Del. Álvaro Obregón, C.P. 01020, Ciudad de México.

**E-mail:** [quejas@funcionpublica.gob.mx](mailto:quejas@funcionpublica.gob.mx) or [contactociudadano@funcionpublica.gob.mx](mailto:contactociudadano@funcionpublica.gob.mx)

- The following provides a format that can be used to present a complaint:  
<https://sirh.conanp.gob.mx/?p=156>

This mechanism can help building trust with the inhabitants of the priority areas, in favor of biodiversity conservation and serve as a key to the project success.

See Annex 1. Mechanism of Complaints Chart

#### **Compliance indicators: Grievance Mechanism**

- Grievance mechanism instituted, legally recognized within the internal structure of CONANP, with facilities and a budget to function.
- Number of complaints reported to the project's Accountability and Grievance Mechanism.
- Percentage of conflict and complaint cases reported to the project's Accountability and Grievance Mechanism that have been resolved.
- Number of conflict resolutions meetings with stakeholders.
- Number of dissemination materials and events to expose the existence of this Grievance mechanism.

#### **Link of the grievance mechanism with the Restriction of Access to Natural Resources plan**

When expanding PAs within the priority landscapes, projects requiring Free Prior and Informed Consent (FPIC) or triggering an Indigenous Peoples Plan (IPP) will also include local conflict resolution and grievance redress mechanisms in the respective safeguard documents. These will be developed with the participation of the affected communities in culturally appropriate ways and will ensure adequate representation from vulnerable or marginalized groups and sub-groups, such as women and youth.

#### **Prevention of grievance and mitigation actions**

- Personnel of the project will develop an analysis of Environmental and Social Safeguards of the Project vs ProDoc, budget, monitoring plan and will identify potential risks or potential conflicts.
- The Project Team will present an analysis to the Project Director who together will define a final strategy to prevent or mitigate conflicts within the Project.
- Once the strategy is presented to the Coordination Unit (CU) and approved, the strategy will become official.
- The mitigation strategy will be updated every year and evaluated by CU measuring progress and providing recommendations.

### **Conflict Resolution basis and eligibility requirements**

- Upon receiving complaints, the personnel of the Project will determine eligibility of requests. Eligibility requirements for complaints will include that the complaint:
  - Relates to this project that CI Mexico and CONANP are co-executing;
  - Is submitted by or on behalf of a person or people affected by the project; and
  - Raises potential issues relating to compliance with the GEF's Minimum Standards on Environmental and Social Safeguards and Gender Policy.
- Based on determination, the personnel of Project will either follow up on the complaint or designate to the Grievance Mechanism Committee to conduct, as needed, a thorough and objective review of grievance. The committee will report to the Project Director. This review can include local inspections, interviews of project-affected people, and comprehensive information gathering to allow a factual determination of the issues raised and a reliable basis for any recommendations made.
- The Director of the Project will issue reports with findings to requesters and all stakeholders involved.
- Based on reports, the Director of the Project will assist parties to engage in resolving the problem. This may include: facilitating a consultative dialogue, promoting information sharing, undertaking joint fact-finding, facilitating the establishment of a mediation mechanism, and/or using other approaches to problem solving. Remedial actions involving a change in the project will require approval from the CI-GEF Project Agency who will then inform the GEF Secretariat.
- Upon completion of previous steps the Committee or Project Director will create a report summarizing the complaint, steps to resolve the issues, the parties' decisions, and the parties' agreement, if any. This report will be made available to all parties involved.
- The Project Director or designated person of the project will monitor implementation of decisions and will prepare monitoring reports on implementation of remedial actions and submit them to the involved parties. As part of the monitoring process all parties involved will be consulted.
- Conclusion of the process occurs after monitoring of remedial actions is completed. The Committee prepares a final report and submits report to all parties involved.
- If the claimant is not satisfied with the response from CI Mexico – CONANP, Grievance Committee, the grievance may be submitted to CI headquarters as mentioned above and CI – GEF agency and then to the GEF Conflict Resolution Commissioner.
- Whenever the Grievance Committee cannot address the claim, they will notify to the Project Director to direct the case to CI's Senior Director of Compliance and Risk Management
- The Grievances Committee will propose the actions to be taken to solve the grievance and with agree them with Project leadership in place.

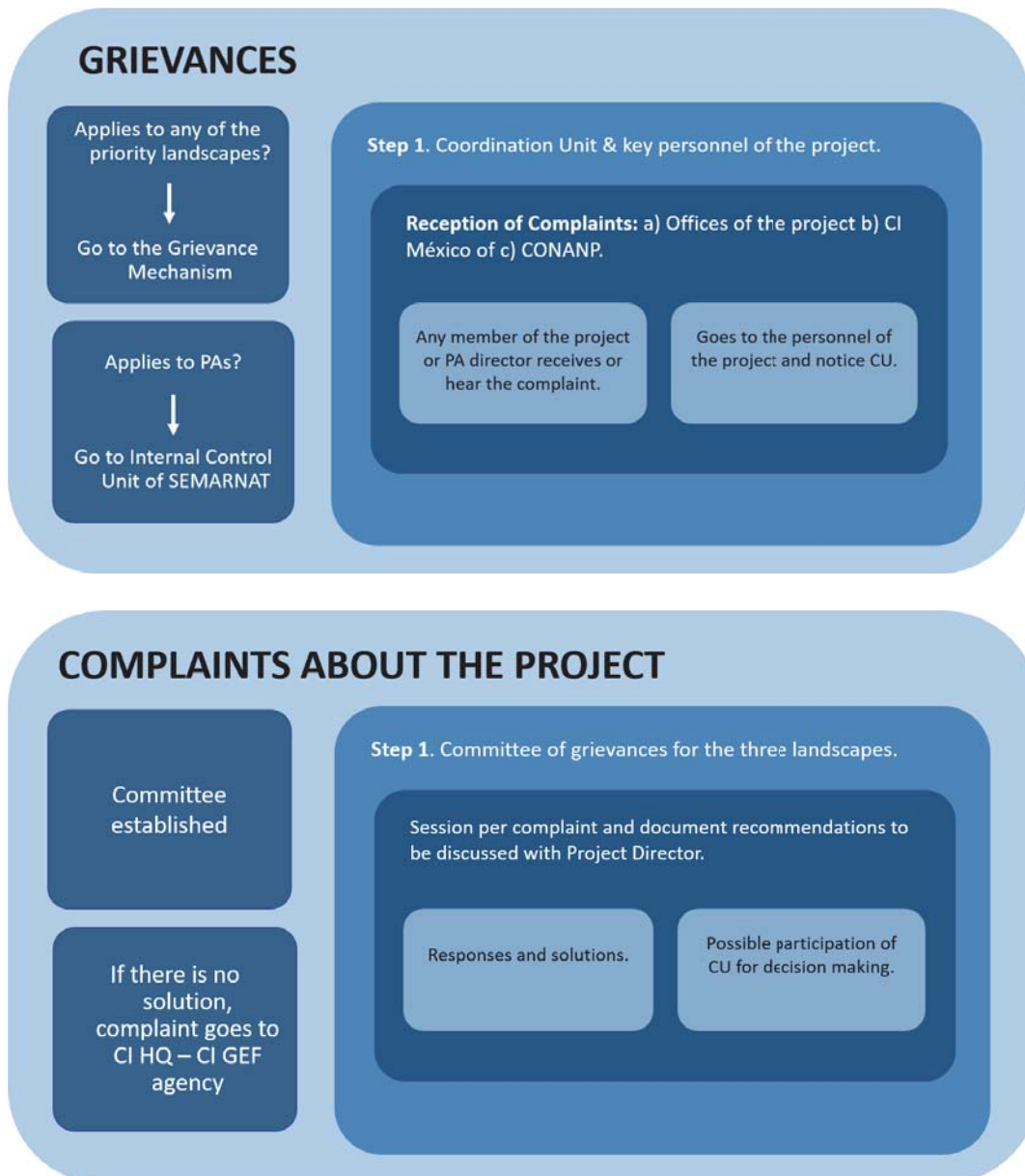
### **Profile of the member of the Committee of Grievance Mechanism:**

Committee should be composed of government institutions, civil society, and community representatives to solve specific grievance cases under this project.

- Voluntary persons of member organizations or institutions part of the governance body of every priority landscape.
- The committee should be composed by 3 – 5 people.

- Committee members should have technical expertise in environmental and social safeguards and should have at least one member with knowledge of the priority landscapes.
- Committee should be aware of the Project, affected landscapes, First Priority Sites and expansion of protected area projects.
- Availability to meet at least every six months.
- Availability to meet whenever a complaint is presented.
- Members or invitees to be part of this committee will be the Human Rights state Commission (CDH) or Indigenous Peoples state agencies of Oaxaca and Chiapas to attend local language complains.

**Figure 1 y 2. Mechanism of Complaints Chart**



## Appendix VI.4. Gender Mainstreaming Plan

### GLOSSARY OF TERMS

<b>Gender</b>	The economic, social, political, and cultural attributes and opportunities associated with being men and women. Gender is a social construct, which does not imply addressing only women's roles, but the simultaneous consideration of both male and female roles and their interaction in society.
<b>Gender analysis</b>	Examines the differences in women's and men's lives, including those which lead to inequity, and applies this understanding to policies and programs.
<b>Gender aware</b>	The explicit recognition of local gender differences, norms, and relations and their importance to outcomes in program and policy design, implementation and evaluation. This recognition derives from analysis or assessment of gender differences, norms and relations in order to address gender equity in outcomes.
<b>Gender equity</b>	The process of being fair to men and women. To ensure fairness, measures must be taken to compensate for historical and social disadvantages that prevent women and men from operating on level playing field.
<b>Gender equality</b>	The state or condition that affords women and men equal enjoyment of human rights, socially valued goods, opportunities and resources.
<b>Gender integration</b>	The strategies applied in program assessment, design, implementation and evaluation to take gender norms into account and to compensate for gender-based inequalities.
<b>Gender sensitive</b>	The act of recognizing the differences, inequalities and specific needs of women and men, and working on this awareness.
<b>Gender role</b>	A set of social and behavioral norms that are considered to be socially appropriate for individuals of a specific sex.
<b>Gender mainstreaming</b>	The process of incorporating gender into policies, strategies, programs, activities and administrative functions, as well as the institutional culture of an organization.

Source: ESMF version 05 – November 2015

### Introduction

This five-year project aims to strengthen the conservation of biodiversity of global importance in the national system of protected areas and corridors, through the integrated management of culturally diverse coastal and terrestrial landscapes in Oaxaca and Chiapas, Mexico.

This project, designed in a participatory manner with local actors, will promote integrated landscape management to conserve biodiversity of global importance in three coastal and terrestrial priority landscapes of Oaxaca and Chiapas, while promoting sustainable rural livelihoods, thus creating virtuous circles between sustainable use, biodiversity conservation and well-being for local people.

The project has three interdependent and articulated components, forming an integrated strategy running parallel and simultaneously:

1. **Component 1:** Integrated management of the three priority landscapes for strengthening biodiversity conservation through land-use planning and the expansion and management of protected areas.
2. **Component 2:** Mainstreaming models of sustainable production with market-driven value chain approach in agriculture, fishing, aquaculture, forest and tourism activities, as a pillar of integrated management of the three priority landscapes.
3. **Component 3:** Increasing financial sustainability in the integrated management of the three priority landscapes.

This plan aims to mainstream the gender approach during all the project -from its design to completion- to achieve better project outcomes during the five years of implementation. This project will be implemented in both, regional and local scale. Regional scale refers to the implementation of the integrated landscape management approach (regional land use plans) and local scale to the work in the 16 primary intervention sites (PIS).

Gender refers to the economic, social, political and cultural attributes and opportunities associated with being a man or a woman. Gender is a social construct, which does not imply addressing only women's roles, but the simultaneous consideration of both male and female roles and their interaction in society (ESMF, 2015).

In other words, gender is a social concept of the functions, behaviors, activities, and attributes that each society considers appropriate for men and women simultaneously, therefore it varies among cultures. It is a dynamic concept open to changes and it encompasses actors, governance, and territory. Thus, the gender plan recognizes the diversity among male and female groups, for example that indigenous women may face additional challenges to participate in decision-making processes and in the fair distribution of the benefits of the project compared to non-indigenous women.

The Gender Mainstreaming Plan aims to integrate gender into the design, implementation and monitoring of the project so that both women and men receive culturally-compatible economic and social benefits, and do not suffer discriminatory effects during the development process, and enjoy full respect for their dignity and human rights.

Gender mainstreaming is understood as the process of incorporating gender into the policies, strategies, programs, activities, administrative functions, and institutional culture of an organization (ESMF, 2015). It is not only about involving women, but about analyzing the equitable distribution of responsibilities, opportunities and benefits for men and women. This includes recognizing the role of women in the use of natural resources and in generating family health and well-being.

### **Gender-related considerations**

Mexico is a signatory to international agreements on human rights, such as the American Convention and the United Nations Declaration. Mexico acceded to the Convention on the Elimination of All Forms of Discrimination against Women since 1979, as well as the conventions on the rights of children; economic, social and cultural rights; the elimination of all forms of racial discrimination; civil and political rights; and the Security Council resolution 1325 on Women, Peace and Security. Mexico is also a signatory to the Inter-American Convention on the Prevention, Punishment and Eradication of Violence against Women.



The legal framework in this area has also advanced in the states of Chiapas and Oaxaca, which have acknowledged, for many years, the respect for human rights, and in 2009 both states issued a law on the equality between men and women.

Chiapas in that same year adapted these laws to fulfill the millennium development goals. There has been progress in public policies aspects, such as the establishment of public institutions that implement programs to disseminate information on rights, non-violence, and development, but there is still much to be done, including mainstreaming gender in all public policies.

Despite all of those policies, there are still wide inequality gaps like public policies, gender awareness from decision-making to operational levels though at this moment in the State of Chiapas there are public programs to strengthen capacities, equipment and several municipalities which have a gender alert on femicide. There is also very little progress on equity.

While Chiapas and Oaxaca are the states with the highest biological and cultural diversity in Mexico, many indigenous communities are governed by customary law. Thus arduous work, dialogue, understanding and respect between society and government, and granting rights to men and women equally and with equity are demanded.

The three priority landscapes of the project (Sierra Madre of Chiapas, Sierra Sur and Isthmus of Oaxaca, and Pacific South Coast of Oaxaca and Chiapas) have a total population of 503,927 inhabitants, distributed in 3,788 communities (INEGI, 2010). The 16 PIS are home to 323 communities inhabited by 110,883 indigenous or Afro-descendant peoples, and of the three landscapes, in the Sierra Sur and Isthmus of Oaxaca 53% of the population is indigenous (INEGI, 2010).<sup>44</sup>

In terms of equality, participation in politics, decision-making, conservation and rural development projects, men and women are not equitable. Local experiences on conservation or environmental initiatives have been that women's participation reaches approximately 10 to 20%.

Barriers identified preliminarily on women participation in planning, conservation and development initiatives, productive projects, and decision making in land use management show that:

- The project area is characterized for having a historic patriarchal society, where women have voice but not participate in decision making.
- Married women are the main responsables for reproduction, child care and household chores, thus their time is limited to develop other activities. Additionally, conservation and development initiatives do not provide facilities to allow women's participation, there is still a need to incorporate gender awareness activities.
- The role of women in rural or indigenous communities is focused on the housekeeping and thus, they are not able to travel outside their communities, mostly when they are taking care of their children.
- Opportunities for higher education are granted mainly to men who have more time availability and mobility to attend activities outside rural communities.

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<sup>44</sup> According to our own fieldwork experience, in these regions, women play a key role in the use and management of natural resources and biodiversity, not only in the *milpa* plots and coffee orchards, but also by getting involved in the management of backyard gardens where they cultivate maize, beans, chili, medicinal and edible plants and fungi, etcetera.



- Violence and risk in rural areas lead women to stay at home instead of having mobility outside their communities.

These barriers are going to be considered during the implementation of the project by conducting different activities (e.g. talks, workshops, films) focused on promoting gender awareness, respect to human rights and equal opportunities. Also, different strategies to foster the participation of women will be implemented, e.g. invitations will be delivered to women and men, activities will be developed in the communities, child care activities will be developed on specific cases, among others.

Specific barriers and associated measures to reduce barriers will be identified in the community gender/social analyses and local assessments that are to be carried out within the first 6 months of the project, after selecting the PIS. A complete local context (environmental, social, economic-production practices, cultural) assessment will be carried out by the Program Management Unit with scientific support from CR-Moore Center. This assessment will strengthen the baseline of the monitoring program.

In the areas of the Sierra Madre of Chiapas and the Sierra Sur of Oaxaca, where coffee plantation predominates, women participate in coffee production particularly in the harvesting process, but they are also in charge of processing the harvested product (if the space of the coffee plantation may seem a male-dominated space, the backyard space —where the harvested product is processed— is female-dominated) (Rocheleau et al., 1995). In the case of hiring labor for labor-intensive activities (such as pruning coffee trees), women are responsible for feeding all workers (interview during fieldwork in the Sierra Madre de Chiapas, January 30, 2017). Similarly, when harvesting wild *Camedor* palms, women participate in quality-control and post-harvest processes, where they create much value (this is, for example, the experience of Palmeros de la Sierra Madre) (see Tonalá Workshop report, February 8, 2017). On the coasts of Chiapas and Oaxaca, where fishing predominates, women play a key role in processing fish and in fabric staining activities using purple snails (*Purpura pansa*) (Salina Cruz Workshop, February 10, 2017).

In addition, these regions have a high presence of communal land ownership and it is worth highlighting women's achievements in gaining participation and strengthening their *ejidos* and communities.

In 1993 women constituted only 16.76% of legal agrarian landowners; today they reach 34.79% (RAN, 2017). Holding legal rights to land has allowed women to have a voice and be able to vote in decision-making processes within their communities. Currently, 1,045,892 women in Mexico have land ownership recognized and registered in the National Agrarian Register (RAN, by its acronym in Spanish). Moreover, in December 2016, Article 37 of the Agrarian Law was amended to promote the participation of female *ejidatarias* and *comuneras* in the representative bodies of their agrarian communities. This amendment mandates that: "Candidates for the elected positions that form the *ejido* administration and the supervisory board must be integrated by no more than 60 percent of candidates of the same gender." Up to date this amendment is difficult to be accomplished due that the land owners are majority men as well as agrarian governments do not reflect the true potential of women, as can be seen in the following data:

- Of the 15,339 *ejidos* with local representation bodies in Mexico, 581 have female presidents, 1,797 have female secretaries, and 2,332 have female treasurers. In addition, in the Supervisory Boards, there are 555 female presidents, 1,963 female first secretaries, and 2,541 female second secretaries.

- Of the communal representative bodies, at national level, 33 women are presidents, 104 are secretaries, and 132 are treasurers. In the Supervisory Boards, 26 women are presidents and 241 secretaries (RAN, 2017).

Throughout the design and development of this project, it has been sought to apply the gender approach from participation in the decision-making spaces, to design of financial mechanisms, sustainability and meetings.

**Table 1. Participation in workshops and meetings by gender**

Event	Date	Men	Women
First Project Planning Workshop and Design of the First Workshops with Local Actors.	February 2 and 3, 2017	13	4
Workshop for project assessment and construction of strategic definitions with local actors for the “Conservation and Sustainable Use of Biological Diversity in Priority Landscapes in Oaxaca and Chiapas Project” (biocultural diversity). Sierra Madre de Chiapas Landscape—Tonalá	February 7 and 8, 2017	30	11
Workshop for project assessment and construction of strategic definitions with local actors for the “Conservation and Sustainable Use of Biological Diversity in Priority Landscapes in Oaxaca and Chiapas Project” (biocultural diversity). Pacific Coast of Oaxaca and Chiapas	February 9 and 10, 2017	33	13
<b>Total</b>		<b>76</b>	<b>28</b>

During PPG phase the decision making group composed by CONANP and CI Mexico discussed the gender importance for equal participation in different activities, key stakeholders mapping took place at preliminary planning activities. The stakeholders were defined and invitations were sent for planning workshops at institutional level to NGOs, research centers, social productive organizations and government agencies. As a normal practice, CONANP PAs teams promoted participation of women representing local stakeholders such as municipalities, groups of producers or producers organizations, and the Project facilitated transportation both ways to the cities where planning workshops took place accompanied by field technicians associated to the Project and CONANP employees. These were the main measures to promote more women or indigenous people participation at the planning stage of this Project achieving 26% of women participation (See Table 1).

### Gender strategies

The project and its allies will apply gender **equality** as a principle to enable men and women to enjoy equal opportunities, rights, benefits and resources. Therefore, measures will be identified to compensate disadvantages to enjoy equitable conditions within the project. The principle of **free opportunity** must also prevail throughout the project’s lifespan to provide equal opportunities for men and women to participate or not in the project.

- **Building basic capacities** on gender issues, first within the project management structure, and then among partners, allies and consultants, applying the abovementioned principles.
- Gender strategy and gender mainstreaming safeguard will be presented since the beginning of the project when hiring its personnel. During the Inception Workshop; with partners, associates, consultants and local communities a strategy will be presented to address specific policies in a collaborative manner.
- In the priority landscapes, there is a series of economic and environmental initiatives where all or most of the partners are women. The project will have a strong support to

**community-based economic initiatives promoting the participation of women.** The Program Management Unit (PMU) will design appropriate strategies since the beginning of the project. The following initiatives will be considered at landscape level to identify participants for the governance bodies of each priority landscape or exchange of experiences as part of capacity building activities at the PIS, this to integrate empowerment activities and compensate for historical disadvantages in the coffee sector:

- Invitations to participate in the project activities will be directed equally, to men and women of communities.
  - During the PO identification phase, the project will select groups to work with, aiming to promote the equality and the capacity building in gender, these groups will include the women working in coffee cooperatives: In the Sierra Madre of Chiapas there is a number of new organizations and civil associations that are small community-based enterprises formed by women. These include the *Café de Mujeres* of the CESMACH cooperative, the *Café Metik* run by the Women's Association for Sustainable Development (which grew out of female partners and wives of partners of the *Comon Yaj Noptic* coffee cooperative), and even a new series of ecotourism projects (for example, the coffee route in *El Triunfo*) managed by women.<sup>45</sup>
  - Women's leadership in the region will be recognized: For example, the Sierra Madre of Chiapas has a series of women's groups, including artisans, bakers, coffee roasting and grinding cooperatives, among others, that could be empowered by this project. Recognizing the strengths of these organizational experiences is critical for the success of conservation initiatives based on sustainable development support and encourage women participation. In the immediate future, it is proposed that the project organizes a diploma or award honoring local well known women. History of commitment to the work of female producers, leaders, artisans etc. and contribution to building alternative livelihoods and improving their families' wellbeing could pose an example to other initiatives and leaderships within the priority landscapes.
  - Environmental education or dissemination activities in local languages will impulse women participation.
- Lack of access to education and information and high levels of marginalization make literacy levels a barrier to information access. The use of community radio and dialogue tables, widely disseminated in the region, is recommended for the dissemination of environmental education materials and information on the project in the appropriate language.
  - The gender approach will be integrated into the Integrated Management of each Landscape and its instruments, such as the Land-Use Planning Instruments of each region and their governance. Therefore, gender equality will be important in decision making.
  - Gender equality will be implemented as far as possible and skills, knowledge and experience will be provided in project operations, as well as with partners, allies and consultants of the different activities and the achievement of joint results. A training session will be developed with the Project team to understand gender and apply results of

<sup>45</sup> There are innovative projects throughout the coast, such as the Ikoots midwives of San Mateo del Mar, who are traditional midwives organized in the House of Indigenous Women (CAMI). They provide community health care and prepare traditional medicines based on traditional indigenous knowledge (*Agencia de Noticias Istmo Press*, 2016).

this plan and general safeguards, besides this other trainings will be provided for example at the inception workshop.

- To create **gender awareness** at the landscape level and in the governance of each landscape, gender analyses will be developed at the landscape level and for the 16 PIS within the six months of the project. This will help to disseminate the gender approach in the region and communities, and define specific actions, considering the culture, and customary law.
- A protocol to address gender strategies and mainstream them will be developed during the first six months of the project, this protocol will provide guide on how to address cultural barriers that might avoid women participation within this project.
- The strategies to adapt the gender approach and its mainstreaming into the project will be analyzed each year to **compensate for gender-based inequalities** depending on the culture, local customs, and project capacities, at the landscape and PIS levels; for example, by making activities accessible, not increasing women's workload but analyzing their needs and time and seasonal availability. Since women generally have less mobility than men outside their communities due to household duties and child rearing, childcare and adequate transportation should be provided and the project should consider bringing the activities to the communities as much as possible.
- Documenting people's participation, by sex, in meetings as well as in the economic incentives provided is a key part of the project monitoring plan.
- Baseline of women / men participating in production activities at the PIS will be developed during the first year of the project.
- This project will be aligned and supported by the gender focal point of the CI's Americas region as well as with CI gender policy and tools developed to implement activities and achieve outcomes, outputs and indicators.

### Monitoring and evaluation

This activity, which is the responsibility of the project management unit, will be delegated to the project's monitoring and evaluation officers and the person responsible for implementing the gender plan, which will be a person with gender skills within the structure of the project.

The gender mainstreaming plan will be considered a living document throughout the project's lifespan, since the strategies will be developed each year as part of the project annual plans. Therefore, activities will be adapted for the achievement of the project's results, products, and indicators.

A gender analysis at the landscape scale –region, PIS, community or locality– will be done during the local assessment that will be performed not only for social issues, but for natural resources management, and economic and productive activities. This activity fits into the Governance Outcome of the project that mentions to achieve a percentage (at least 30%) of women participation as well Indigenous Peoples and Afro-descendants in the Integrated Landscape Management which encompasses land use planning, biodiversity conservation actions, sustainable productive activities, communications, and bodies of decision-making at landscape level.

Compensation strategies will be supervised, monitored and evaluated to establish equity within the project process, particularly at the level of productive and service activities, as well as in decision-making for the governance of each landscape.

The strategies mentioned will be monitored every three months during the project's lifetime, and will be evaluated yearly by the project team, including key project partners or consultants.

**Compliance indicators identified: Safeguards on Gender, Indigenous Peoples and Afro-descendants**

In component 1 on the results framework the Project aims to ensure equity in the development of Integrated Landscape Management Plans and other relevant project documents. As well as to get a more equitable participation of men and women in the governance of each landscape and activities within the Project and the following indicators were identified:

- Number of women and men participating in project activities (e.g. meetings, workshops, consultations, interviews, etc.)
- Number of strategies, plans (e.g., Land-Use Planning Instruments, Management Plans), and policies deriving from the project that include gender considerations (relevant projects apply).
- Number of communications campaigns with a gender approach and campaigns that prioritize women's perspectives and practices on land-use management.
- Number of conferences, workshops or tools to strengthen capacities among project beneficiaries on gender.
- Women comprise at least 30% of the people participating in the development of the land use plans and being part of the decision making mechanisms such as the governance bodies at landscape level. 15% of the women will also participate in sustainable production projects at PIS scale.

Appendix VI.4 Gender Mainstreaming Plan								
Indicators	Metrics	Methodology	Baseline	Target	Location	Frequency	Responsible Parties	Indicative Resources for 5 yr
<b>Indicator 4.1:</b> Number of women and men participating in project activities (for example, meetings, workshops, consultations, interviews, etc.)	Number of men and women participating in talks, presentations, meetings, workshops.	List of attendees of the various meetings.	0		Localities, cities, states	6 / year	Structure of the project. External committee. Consultants. Governance bodies.	US\$1,000 designated for meetings and workshops.
<b>Indicator 4.2:</b> Number of women and men who receive benefits (e.g. employment, income-generating activities, training, access to natural resources, land tenure rights, equipment, leadership roles, etc.)	Number of men and women benefitting from Training activities. Employment. Land use management plans. Equipment. Technical assistance..	List of attendees. Minutes. Reports of the activities.	0		Localities, municipalities, landscapes.	4 / year	Structure of the project. Partners. External committee. Consultants. Governance bodies.	US\$500 identified for contractual services

<b>Indicator 4.3:</b> Number of strategies, plans (for example, Land-Use Planning Instruments, Management Plans), and policies deriving from the project that include gender considerations.	Number of <i>Final Documents. Plans. Proposals. Model. LIM.</i> that incorporate gender considerations	<i>Final Documents. Plans. Proposals. Model. LIM.</i>	0		Localities, municipalities, landscapes.	3 / year	Structure of the project. Partners. External committee. Consultants. Governance bodies.	US\$1,000 of grants and agreements
<b>Indicator 4.4:</b> Number (and percentage) of communications campaigns with a gender approach and campaigns that prioritize women's perspectives and practices on land-use management.	Number of Awareness and communications campaigns.	Talks. Presentations. Communications materials. Meetings. Congresses.	0		Localities, municipalities, landscapes.	4 / year	Structure of the project. Partners. External committee. Consultants. Governance bodies.	Est Amount: US\$1,000 of grants and agreements
<b>Indicator 4.5:</b> Number of conferences, workshops or tools to strengthen capacities among project beneficiaries that contain a component/session on gender.	Number of gender capacity building activities.	Talks. Presentations. Communications materials. Meetings. Congresses. Training activities.	0		Localities, municipalities, landscapes.	4 / year	Structure of the project. Partners. External committee. Consultants. Governance bodies.	US\$1,000 designated for meetings and workshops.



<b>Indicator 4.6:</b> Number of actions that deliver equality and equity <sup>46</sup> in the outcomes and outputs of the project.	Equity number of activities.	Special actions to make women participation equally. Schedule considerations of M/W. Gender awareness activities at local, PIS and landscape level.	0		Localities, municipalities, landscapes.	4 / year	Structure of the project. Partners. External committee. Consultants. Governance bodies.	US\$1,000 Actions can be identified in budget line items
<b>Indicator 4.7:</b> Percentage of women stakeholders participating in governance mechanisms for ILM and indigenous peoples, afro-descendants and other vulnerable groups.		Special actions to make women / men participation equally. Schedule considerations of M/W. Gender awareness activities at local, PIS and landscape level. Gender equity and equality protocol. Gender sensitiveness.	0	30% women and 20% indigenous peoples, afro-descendants and other vulnerable groups	Localities, municipalities, landscapes.	4 / year	Structure of the project. Partners. External committee. Consultants. Governance bodies.	US\$500 designated for meetings and workshops

<sup>46</sup> Equity indicator will be measured by identifying the number of actions, Budget to women and men to be fair and have access to the opportunities of this projects in terms of trainings, meetings, talks, events, productive practices, etc.



## Appendix VI.5. Stakeholder engagement plan

### a) Introduction

This project builds upon previous conservation and sustainable development experiences of CONANP and CI Mexico carried out in the Oaxaca Chiapas region related to local and traditional knowledge, biodiversity conservation and productive activities; as well as on previous joint efforts related to the management of natural resources at the landscape level, particularly in Chiapas (e.g. GEF-Ecosechas).

When conceptualizing and planning this project many voices, opinions, papers, reports were taken into account to integrate a project that can deliver more and better impacts at local and regional level. We started by defining roles and responsibilities between co-executing agencies CONANP and CI Mexico, which resulted in signing an agreement of collaboration.

During the PPG phase co-executing agencies CONANP and CI Mexico defined a leadership unit named Coordination Unit (CU) as the entity responsible for decision making during the PPG phase. The CU was integrated by two women and five men, members of CONANP and CI Mexico and a broad work group integrated by several members of CONANP represented by PAs directors and a technical contact. All activities, such as meetings, participative workshops that included vulnerable groups<sup>47</sup> (women, indigenous peoples and Afro-descendants) and consultants were jointly defined, considering a gender approach.

There were a total of six planning workshops (two per landscape) with a broad range of actors identified by landscape, two workshops with research institutions in Oaxaca and Chiapas to define landscapes boundaries, critical biodiversity and Primary Intervention Sites (PIS); another 9 conducting meetings between CONANP and CI Mexico were necessary for strategy and decision making, 67 local interviews about production, commercialization channels, environmental and social aspects; 6 workshops and meetings with NGOs and government institutions to define institutional arrangements, roles, participation and to take their experience, opinions and programs or strategies in the landscapes. In total about 249 people participated: 184 men and 65 women (26%), 24 of them being indigenous peoples and Afro-descendants men (9%) representing local stakeholders (such as local communities, municipalities, productive social organizations, CONANP, SEMAHN, SEMAEDSO, NGOs, state universities, local organizations, among others). Numerous additional bilateral meetings between CONANP and CI México took place for decision making purposes or analysis of information.

The project area is composed by three priority landscapes of Chiapas and Oaxaca: The Sierra Madre of Chiapas (SMCh), the Sierra Sur and Isthmus of Oaxaca (SSIO) and the Pacific South Coast of Oaxaca and Chiapas (PSCOCh).<sup>48</sup> The total project area is 2,618,250 ha, of which 806,753 ha belong to the SMCh, 953,972 ha to the SSIO, and 991,000 ha to the PSCOCh.

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<sup>47</sup> Vulnerable groups are defined as those experiencing at least two situations of marginalization or exclusion (Hall *et al.*, 2015).

<sup>48</sup> Priority landscapes were selected according to the following criteria, they: a) host a wide number of species; b) host threatened species; c) host a significant group of habitats and ecosystems where threatened species live with similar and continuous physiographic conditions; d) landscapes are exposed to ecosystem loss and habitat fragmentation; e) there is cultural diversity, where peoples from different cultures live and use natural capital in a similar way; and f) they offer auspicious conditions to implement good governance.

To enhance project implementation, sixteen primary intervention sites (PIS) comprising a total area of 208,160 ha were selected within the three priority landscapes; the PIS are sites where immediate conservation actions is needed for biodiversity conservation purposes. The scope of work has been defined at two levels; one, at the Integrated Landscape Management and the other one at primary intervention sites.

#### **b) Policies and requirements**

Disclosure of project activities to key stakeholders will take place once the project starts and during and after conclusion. Shared information includes, but is not limited to, potential impacts mostly to participating communities; it includes also social and environmental assessments as well as safeguards plans related to access of natural resources, Gender, Stakeholder engagement, Indigenous Peoples and Afro-descendants and the Grievance Mechanism.

These efforts shall ensure that:

- Stakeholder's views and concerns are taken into account by the project and are known by key decision makers,
- Stakeholder groups of historically vulnerable or marginalized people (e.g., women, youth, elders, religious/ethnic minorities) are able to fully participate in this process.
- The public is involved in decision making and problem-solving.
- Stakeholders are informed regarding project activities.

Consultations will be carried out throughout the project's implementation, including monitoring and evaluation as necessary, to ensure project adaptive management and proper implementation of environmental and social safeguards plans.

#### **c) Summary of any previous stakeholder Engagement Activities**

The activities carried out to date involving stakeholder engagement are the planning activities, meetings, workshops, local level interviews, including the CU, work groups and consultants.

The following table shows the summary and engagement activities during the ProDoc process.

	SMCh	SSIO	PSCOCh						
Planning workshops (n=6) <sup>49</sup>	57	63	86	Verbal Power Point about the project Printed Maps Video about concept of safeguards, verbal and power point presentation about – CI-GEF safeguard policies.	02/07-10/17 In Tonalá Chiapas, and Salina Cruz and Ixtepec Oaxaca. 02/24-28/17	Risks identified in every landscape: mining, wind power, illegal activities (logging, narcotics, turtle nests looting), etc.	Some of the issues recorded are beyond the control, jurisdiction and main objective of this project.. So, these concerns will be addressed when defining the landscape land uses and key decision-makers including local communities will have a voice and decisions: good governance of every priority landscape.	Formal invitations to all key stakeholders. Workshop memories, pictures, lists of attendees signed by participants.	

<sup>49</sup> See sex-disaggregate numbers of these meetings in Appendix VI. 4. Gender Mainstreaming Plan, Table 1. Participation in workshops and meetings by gender.

Workshops with research institutions (n=2)	11	12	12+14	GIS Maps Excel list with criteria defined. Power Point Presentations	01/02/17 Tuxtla Gutiérrez. And Oaxaca, Oaxaca	Prioritizing sites. Lack of research. Climate change. Umbrella species vs local species. Watershed vs landscape approach. How to address priority sites and watersheds not considered within the boundaries of the priority landscape.	Additional species not considered in the 15 list of species will be considered during monitoring activities and for research, besides that their distribution range. Best practices will be encouraged with potential benefit to the region.	List of attendees. Data bases exchange. Power points of presentation about priority sites and species.
CU and work group workshops and meetings (n=9)	Numbers are included in the planning workshops (they were not separated).			Power Point presentations. Printed materials as tables, maps.	July –December 2016, 02/02, 16, 24/17 Tuxtla Gutiérrez. March – June 2017.	Defining Primary Intervention Sites at the very end of the process did not allow consultants to find social, productive, cultural, economic information.	Compilation and analysis of information	Memories, decisions made, list of attendees signed
Interviews about productive activities, commercialization channels and economic and finance issues.	10	21	36	Printed Questions, Oral interviews, Consultation workshop on safeguards	February and April 2017 Local communities	Key information was compiled and analyzed by productive – market and finance mechanisms consultancies.	The main information and activities to be taken is considered in Components 2 and 3 of ProDoc.	Questionnaires applied, map of actors including people interviewed, ProDoc – results framework.
Workshops with NGOs				Power point	04/06/17 and	Need to establish	Reponses were	Agendas, list of

(n=4)				presentations, maps printed, database of information, exchange of strategies and key information on sustainable development, biodiversity, conservation activities.	May, 2017. Tuxtla Gutierrez and Oaxaca, Oaxaca	synergies, co-programming and be part of the governance bodies at every landscape. Key information was generated on other strategies and projects, geographic scope of work. NGOs identified their role, contribution, participation at component level of this project.	provided immediately in every meeting and responses on concerns were provided by e-mail.	attendees signed, Map of NGO strategies and synergies identified in this project. Letter of interest in becoming a partner of this project were received identifying counterpart in cash and in kind.
Meetings with state gov agencies of Oaxaca (n=2)				Agenda. Power Point Presentation Printed summary of the project.	May, 2017. Oaxaca, Oaxaca	Respect jurisdictions and customary rights mostly of indigenous regions. In Chiapas one issue is that the current political state period is ending in 2018. And an advantage found in Oaxaca to co-program and co-funding programs is the opportunity of the new administration	Responses were provided in group or bilateral meetings. The institutions are willing to be part of the governance body of each landscape and play a specific role in this project.	Letters of commitments with collaboration identified in cash and in kind to this project. Pictures



Meetings with federal ? state? government of Oaxaca and Chiapas (n=3)					Agenda. Power Point Presentation Printed summary of the project.	April and May, 2017. Tuxtla Gutierrez and Oaxaca, Oaxaca	2016- 2022. Genuine and positive interest in joining this landscape approach with opportunities to cooperate among different federal gov entities	Government	Letters of commitments with collaboration identified in cash or in kind to this project. Pictures List of attendees signed.
Individual meetings with state Gov entities (n=10)					Printed summary of the project. Verbal information.	April – June 2017. Tuxtla Gutierrez, Chiapas and Oaxaca, Oaxaca.	Limited budgets at state treasure during the current political periods for both states	Verbal and written commitments of interaction and establishing real alliances of work taking into consideration in kind contributions such as personnel, infrastructure and responsibilities under their jurisdiction.	Letters of commitments with collaboration identified in cash or in kind to this project. Pictures List of attendees signed.

There was a total of six planning workshops (two per landscape) with local actors, two workshops with research institutions in Oaxaca and Chiapas, 9 conducting meetings between CONANP and CI Mexico, 67 local interviews, 6 workshops and meeting with NGO and government institutions, with a total of 249 participants -184 men and 65 women (26%)- 24 of them being indigenous peoples and Afro-descendants men (10%) representing local stakeholders (such as local communities, municipalities, productive social organizations, CONANP, SEMAHN, NGOs, state universities, local organizations, among others); many bilateral meetings between CONANP and CI México took place for decision making purposes or analysis of information.

Figure 1. Number of participants involved in PPG workshops

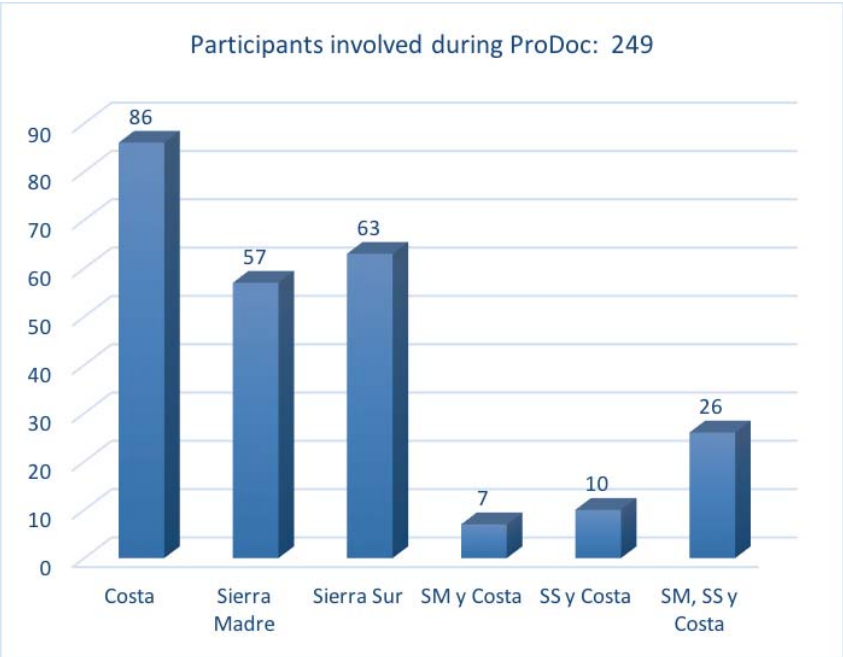
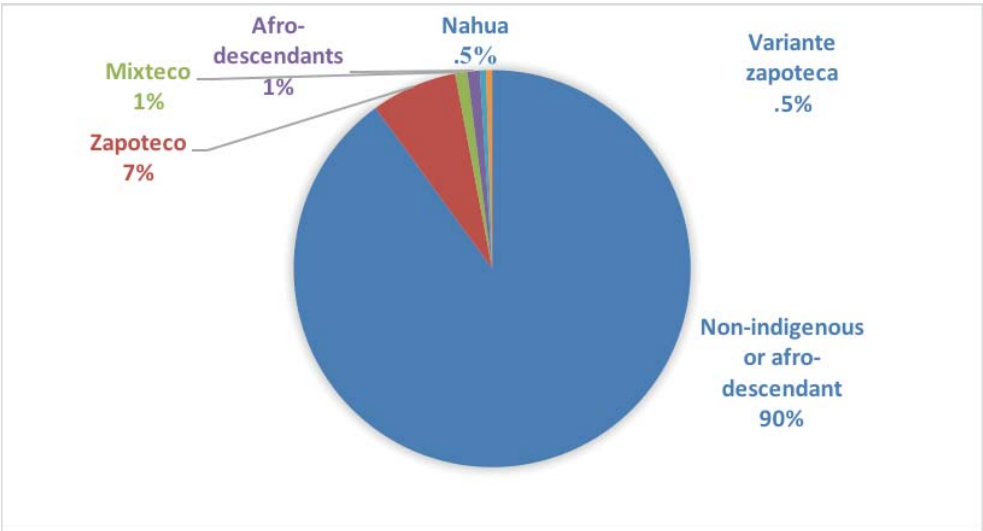
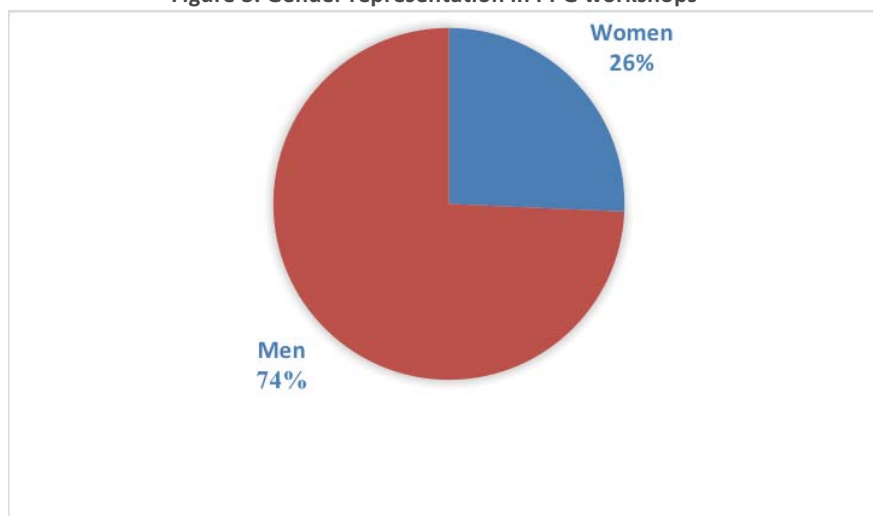


Figure 2. Percentage of indigenous peoples and afro-descendants involved in PPG workshops



Total: Indigenous peoples and afro-descendants: 10% / Non indigenous or afro-descendant: 90%

Figure 3. Gender representation in PPG workshops



### Meetings and workshops with NGO of Chiapas and Oaxaca

Four meetings and workshops took place with NGOs of Oaxaca and Chiapas to map actors and also to identify synergies, and get feedback related to the ProDoc.

See Annex 3 of NGOs, missions, strategies in place in the landscapes and municipal levels, and synergies identified by each NGO in every component of the project.

Table 1: NGOs identified with work at the priority landscapes

Pronatura Sur	X	X	X
Fondo de Conservación el Triunfo	X		
AMBIO	X		
Tierra Verde, Naturaleza y Cultura AC	X		X
Ecobiosfera el Triunfo	X		X
Biomasa AC	X		
Medio Ambiente, Productividad y Sociedad	X		
The Nature Conservancy	X		X
Conservación Internacional	X		X
La Mano del Mono	X		X
UCIRI		X	
Costa Salvaje			X
CONBIODES			X
La Ventana		X	X
WWF Oaxaca		X	X
SERBO AC			X
Suma Consultores		X	X
Grupo Mesófilo		X	X

Preliminary and general stakeholders identification by the Coordination Unit.

**Figure 3. Structure of stakeholder participation in the project. Source: Planning and Workshop Reports CI-CONANP, February and March 2017**



#### Mapping stakeholders activity 1 during PPG

CONANP-CI Mexico and the group of consultants identified key stakeholders grouped in the following categories: a) Governmental institutions, b) NGO, iii) Academia and research institutions, iv) Social and v) Economic. Influence of these actors was analyzed and identified in diagrams, one per landscape.

Diagrams below identify position of each actor according to level of interest and influence in each landscape:

- Low-left square: Actors with little interest and influence
- Upper-left square: Actors with little interest and a lot of influence
- Low-right square: Actors with a lot of interest and less influence
- Upper-right square: Actors with a lot of interest and influence

**Figure 4. Key actors from the Sierra Madre de Chiapas, mapped in terms of level of influence and interest at the landscape level**

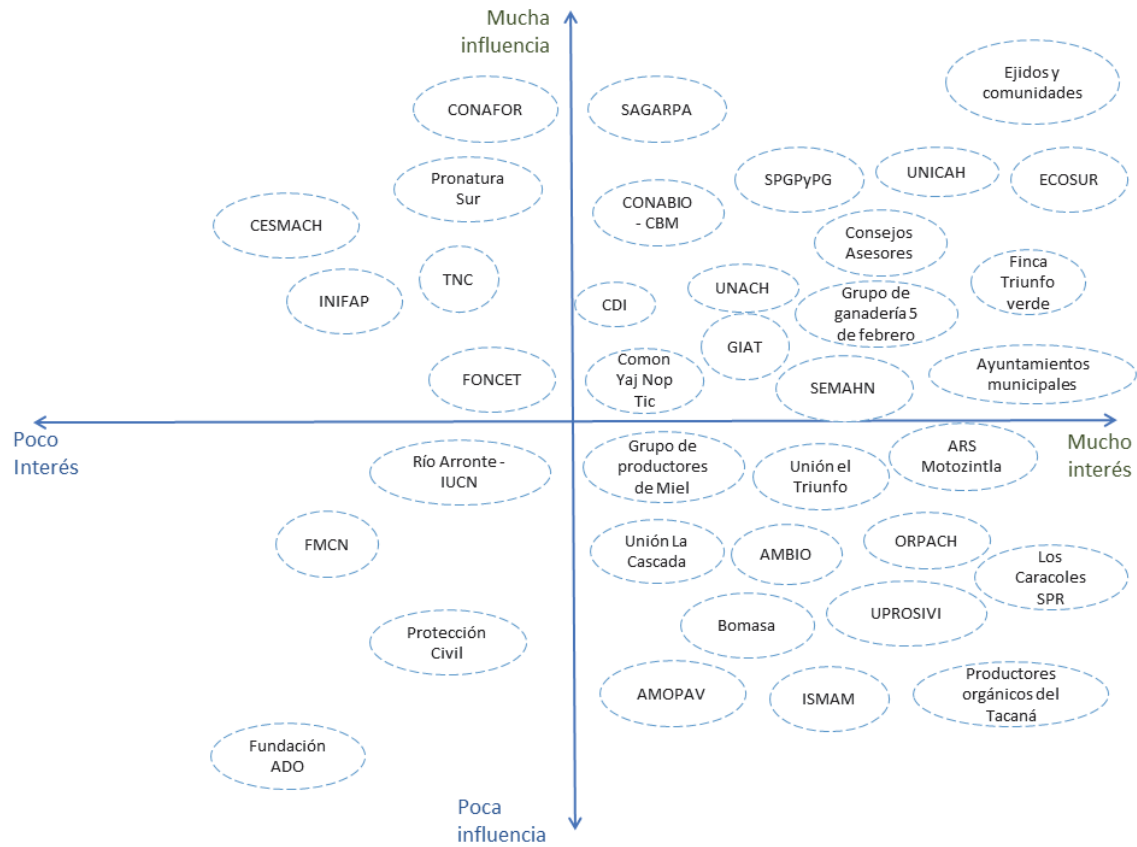
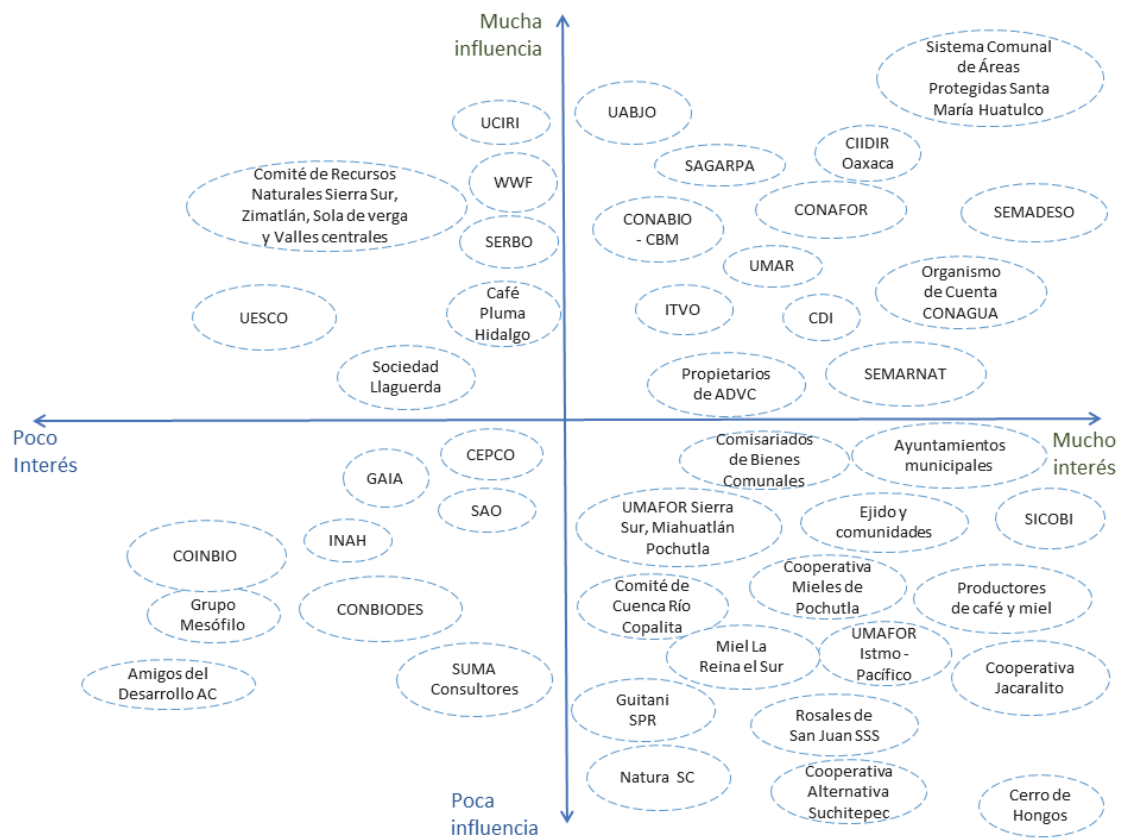
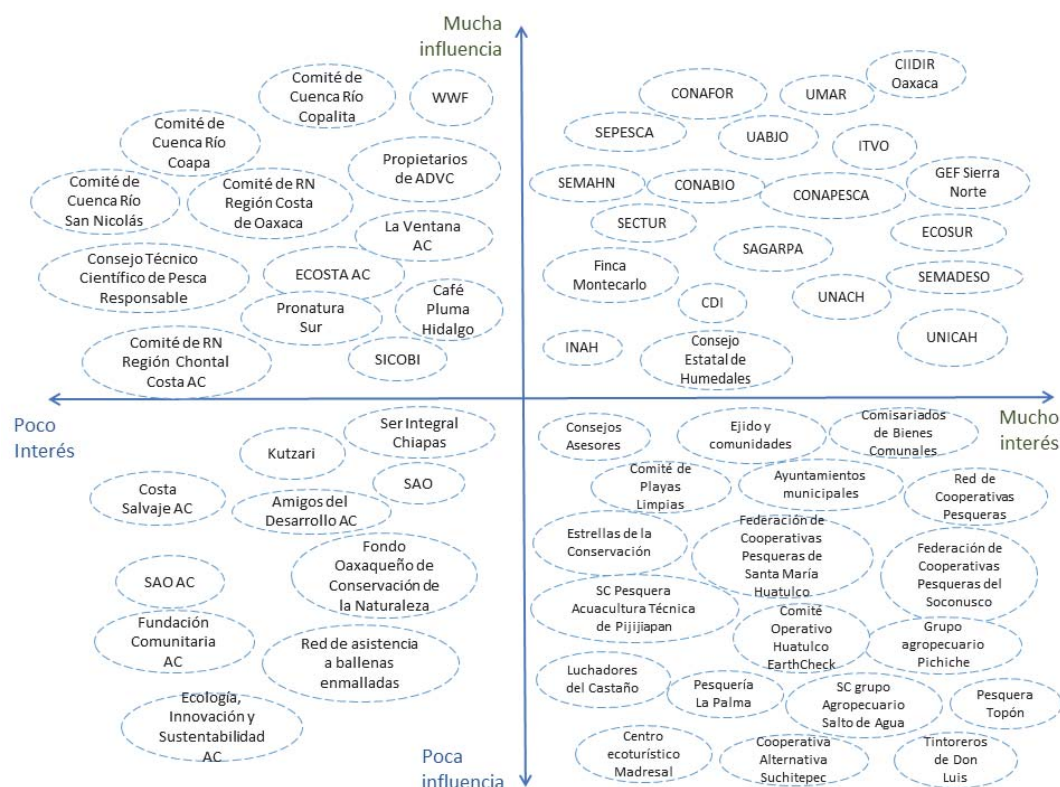


Figure 5. Key actors from the South Sierra and Isthmus of Oaxaca, mapped in terms of level of influence and interest at the landscape level



**Figure 6. Key actors from the Pacific South Coast of Oaxaca and Chiapas mapped in terms of level of influence and interest at the landscape level**



This baseline planning information allowed to engage key stakeholders for developing the ProDoc and to build up the Map of Actors and strategies for engaging stakeholders.

During the last meetings and workshops more key stakeholders were added per landscape, including companies and social organizations that implement activities in the priority landscapes.

**Table 2. Key stakeholder summary categories per landscapes including established enterprises and local social organizations**

Academia and research institutions	4	5	7
Producer's organizations	1	7	5
NGOs	13	13	23
Government agencies	10	21	42
Social organizations	18	16	29
Enterprises	89		35
Local social productive organizations	104		24

#### d) Project stakeholders

**Stakeholder identification and characterization (see annex 2. Stakeholders map for project implementation phase)**



According to the stakeholders analysis of the three landscapes in Chiapas and Oaxaca and the primary intervention sites established in the project<sup>50</sup>, at least 11 types of stakeholders were identified that exhibit different (though common) attributes, interests and areas of involvement, according to Table 6.

**Table 3. Stakeholder map of the three landscapes in Chiapas and Oaxaca**

Type of stakeholder	Attributes	Interest/Influence	Involvement
Educational institutions	Research, education and raising awareness	Public, multisector	Scientific, Technical and Advisory
NGOs	Research, cooperation, activism and community promotion	Private and public, multisector, national and international	Technical, Financial, Coordination and Advisory
Communities/local populations/ <i>ejidos</i> <sup>51</sup>	Field implementation of programs or strategies	Public, multisector and territorial, empowerment in the territory	Communication, activity monitoring and implementation
Municipal government	Execution of government policies	Public, multisector and territorial	Coordination, financing
State Government	Policy and Program Design	Public, multisector and territorial	Coordination, Technical, Financing
Federal government		Public, multisector and territorial	
Committees or government-civil society bodies	Sectorial and territorial governance	Public, sectorial and territorial	Coordination, Co-financing
Assemblies or Community Boards	Multisector and territorial governance	Private, sectorial and territorial	
<i>Ejido</i> Councils			
Municipal delegates			
Peasant organizations or social enterprises <sup>52</sup>	Economic development		
Private businesses			

In the case of the State of Oaxaca, communication with communities was requested to take place through the State Government (i.e., through the Indigenous and Environmental ministries, –SAI and SEMAEDSO, respectively). We agreed to informing first local communities, respecting their types of social organization, practices and customs, and then informing municipalities.

Based on the above, a stakeholder engagement plan to involve the 11 types of stakeholders was proposed. This plan is strategic in nature and allows prioritizing cooperation and territorial interrelation efforts between the specific projects for each primary intervention site and takes into account the characteristics of each type of local, regional or national stakeholder.

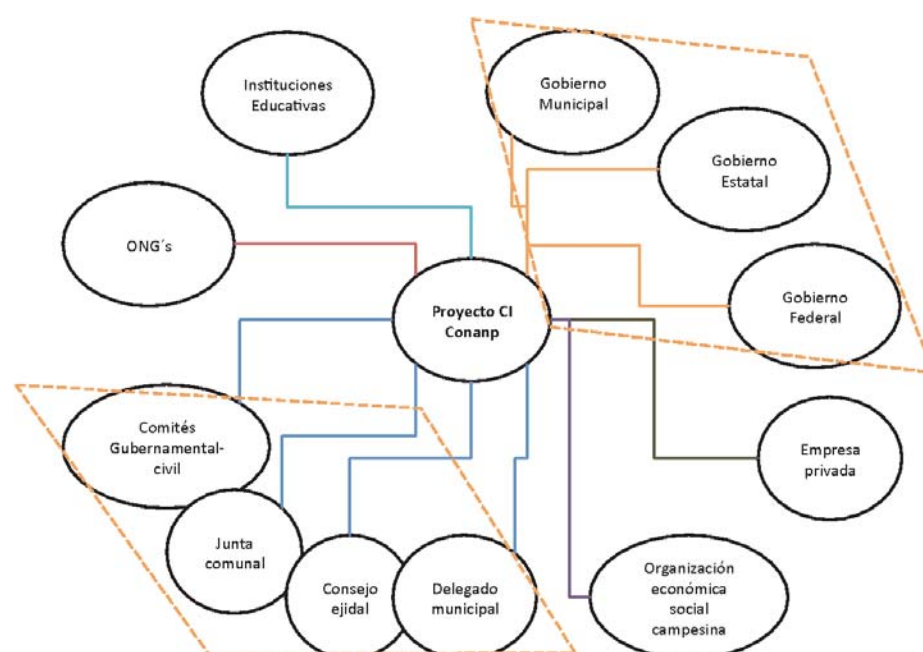
Consequently, it is possible to find two fundamental groups of stakeholders whose members can overlap: the different levels of government, on the one hand, and local and sectorial-territorial organizations, on the other (Figure 2).<sup>53</sup>

<sup>50</sup> See Excel document entitled “21022017\_Actores\_Clave\_ph.xls”, available this Dropbox: [https://www.dropbox.com/s/ax4ke8uiq93x72q/21022017\\_Actores\\_Clave\\_ph.xlsx?dl=0](https://www.dropbox.com/s/ax4ke8uiq93x72q/21022017_Actores_Clave_ph.xlsx?dl=0)

<sup>51</sup> See the definition of *ejido* according to the Mexican Constitution at: <http://www.pa.gob.mx/publica/pa07ba.htm>

<sup>52</sup> Another type of actor are the experts in sustainable production good practices and model farms, for example in the case of coffee, individuals with AVDC, special organic coffee producers, etc., who are considered as (family) organizations or businesses.

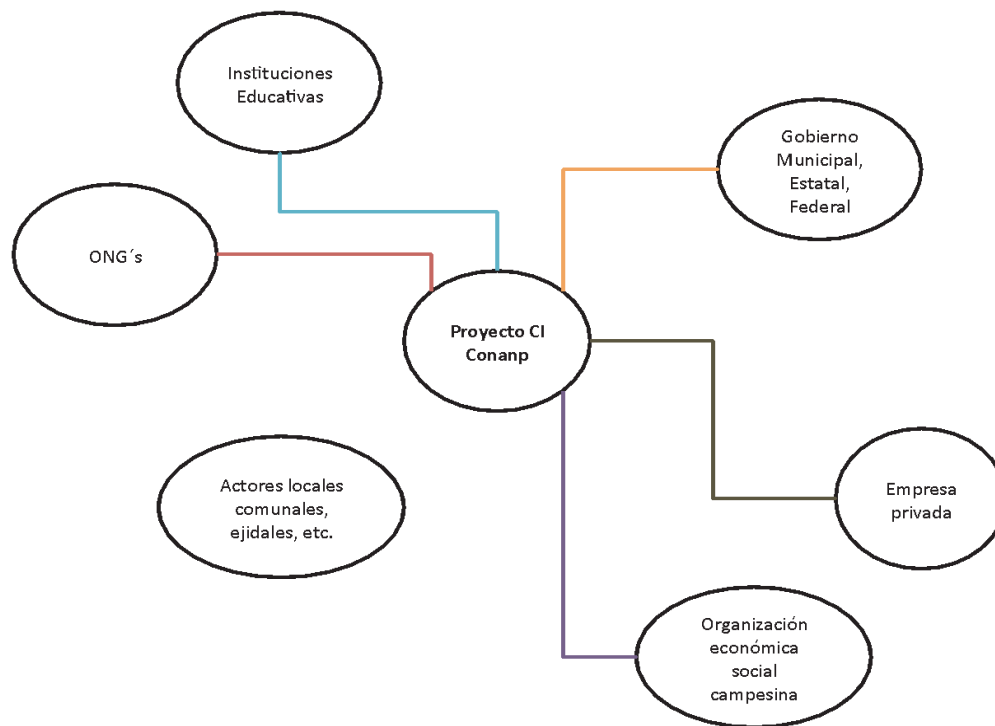
Figure 6. Stakeholder network map of the three landscapes in Chiapas and Oaxaca



In addition to these two groups of stakeholders (levels of government and sectorial-territorial organizations) –which may be more or less articulated and share common areas in the map– there are other actors who have their own rationalities that translate into interests, levels of influence, and different logics of involvement. These are educational institutions, NGOs, private companies, and peasant/indigenous economic-social organizations, which are synthesized in the following stakeholder network map (Figure 7).

Figure 7. Simplified stakeholder network map for the three landscapes of Chiapas and Oaxaca

<sup>53</sup> That is, the *ejido* council, community meeting, the municipal delegate or communal lands representative, are composed of individuals and promote interests that are more or less common among them. For this reason, when contacting them, they should be considered as a more or less organic block. This, in turn, poses the challenge that if group interests exist among local actors, the project in such primary intervention sites will suffer a long and perhaps conflictive process in its development, as local actors make the CI-Mexico CONANP initiative a subject of dispute.



## Annex 2

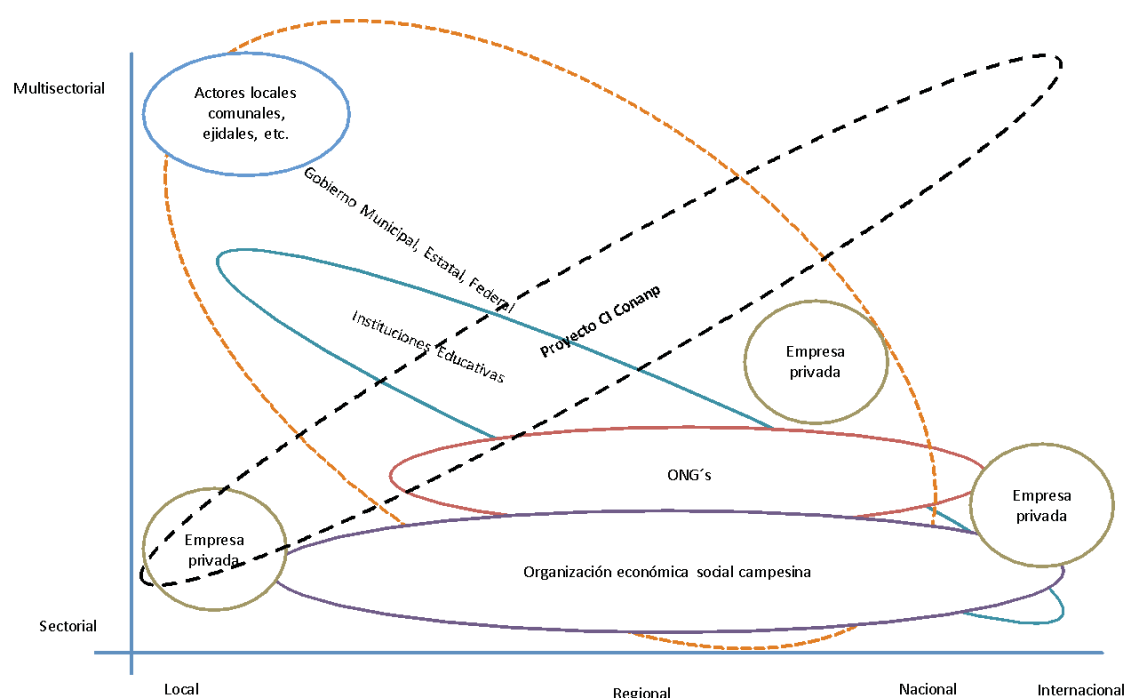
### e) Stakeholder Engagement Plan

The map of actors will be analyzed and updated every year by the personnel designated to implement and lead the project.

#### Intervention strategy

There are different levels of relation, interest and involvement of the identified stakeholders in the components. The six categories of stakeholders identified in relation to the CI Mexico-CONANP project can be expressed in Figure 8, which shows that the various key stakeholders have different levels of operation as well as domains of interest that overlap. As a result, the different levels of government are the most challenging set of stakeholders for the project because they are present at different levels and roles within the region.

**Figure 8. Key stakeholders and their territorial and sectorial overlaps**



Thus, while private companies have sectoral interests —limited to the specific scope of their business— and local to global influence, a social-peasant economic organization may exhibit regional and even international presence with interests centered on its economic activity (food, microcredit, corn, timber, tourism, etc.).

However, it is important to consider the relationships that are built on territorial scales, for example, NGOs linked to peasant organizations and, in turn, linked to educational institutions that, possibly, are also linked to local community actors and collective decision-making bodies. However, as the interests of the actors are adding areas of action, then the actors become multi-sectorial and with them, their interests become more complex.

### Strategies of stakeholder engagement

- The following principles will be part of the culture of the project: free opportunity, respect of human rights, transparency, joint decision making and responsibility, self-definition in roles and responsibilities of actors engaged, equality, and others that might rise once the project starts.
- Call of proposals and general calls under this project will be launched to forums, meetings, training activities and general activities by direct invitations signed by the director of the project.
- The list of local actors is based upon the basic Map of Actors attached (See Annex 2), which will be updated and further analyzed during the implementation process, including their history of participation.<sup>54</sup> This will enable the construction of network maps that show the interrelations between stakeholders, their communication channels and synergies.
- Since the project has multiple —social, community, regional, economic, productive, ecological, municipal, etc. — interests in the three landscapes in Chiapas and Oaxaca, it is pertinent to

<sup>54</sup> The document “Información complementaria de actores.xls” offers a preliminary approach to the diversity of local actors, which should be detailed and interrelated in the future prior to project intervention in the primary intervention sites, see [www.dropbox.com/s/x7xpnige8t47snm/Informaci%C3%B3n%20complementaria%20actores?dl=0](http://www.dropbox.com/s/x7xpnige8t47snm/Informaci%C3%B3n%20complementaria%20actores?dl=0)

consider the risks of the project regarding opposition of powerful political or commercial groups, among other, when building *groups of key actors*.

- Although some stakeholders may hold public or private interests, they should be considered as *actors with private interests*, even though they constitute public servants or public powers. This is relevant in the context of implicit alliances between different actors, given the unknown history of links and DIPsutes, and because this CI Mexico-CONANP project intervenes in various social spaces that are occupied by different actors who do not necessarily share the interests of this project.
- The stakeholders' degree and areas of involvement will depend on the implications of the CI Mexico-CONANP project on the positions and projects of each actor or group of actors, which is also related to the project's negotiation capacity and flexibility on whether or not it will incorporate the rationality of the groups of key actors.

#### **As an example: The coffee leaf rust socio-ecological crisis in mountain landscapes**

Coordination between CONANP and key stakeholders is proposed to promote new initiatives that respond to the needs of the populations in the priority landscapes and to address the threats and challenges to landscape management. For example, the Mexican Carbon Programme, an interdisciplinary research center, initiated in 2016 the "Campaign in favor of carbon stocks and biodiversity of shade-grown coffee plantations in the Sierra Madre de Chiapas", creating an alliance between coffee cooperatives, small independent producers and *ejidos* with coffee plantations in the 22 municipalities of the Sierra Madre de Chiapas to look for solutions for the coffee rust socio-ecological crisis. This action-research initiative has not only issued a number of recommendations against coffee rust (see Programa Mexicano de Carbono, 2016), but it is also forming a regional and inter-community alliance of territorial actors to adapt to this pest whose dispersion has been associated with climate change (Avelino *et al.*, 2015<sup>55</sup>; Libert, 2014<sup>56</sup>). As part of the campaign, the Mexican Carbon Program has carried out carbon and biodiversity inventories as well as soil analyses in 232 sampling sites across the Sierra Madre (all within this project's priority landscape), providing key information for understanding the ecosystem services provided by the agrobiodiversity and the biocultural management of the landscape, while measuring deforestation and forest degradation due to land-use change resulting from coffee rust-related economic losses. This research project could be extended to other areas, recognizing the importance of coffee production (and the great economic losses due to rust) in the Sierra Sur of Oaxaca.

#### **f) Description of methods that will be used to consult with each of the stakeholder groups identified**

Considering the above-mentioned two groups of stakeholders, namely the various levels of government and the NGOs, peasant organizations, educational institutions and local actors, within the first group of stakeholders, there will be alliances, interests and actions that the project will need to analyze, on a case-by-case basis, in each primary intervention site, to establish avenues of communication, management, discussion and agreements that enable multi-level and multi-sectoral synergies. This raises a challenge for CI Mexico-CONANP: the project in the three landscapes in Chiapas and Oaxaca should demonstrate transparency in its implications for different cultural, political, social, economic and ecological spheres in a multilevel manner –municipal, state, regional and national.

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<sup>55</sup> Avelino, J., Cristancho M., Georgiou S., Imbach P., Aguilar L., Bornemann G., Läderach P., Anzueto F., Hruska A., Morales, C. 2015. The coffee rust crisis in Colombia and Central America (2008-2013): impacts, plausible causes and proposed solutions, *Food Security* 7: 303-321.

<sup>56</sup> Libert, A. 2014. Los desafíos que plantea el cambio climático a la relación entre sociedad y naturaleza: una mirada desde Chiapas. En: Basail Rodríguez A. y O. Contreras Montellano (eds.), *La construcción del futuro: los retos de las ciencias sociales en México*, CESMECA-UNICACH, Tuxtla Gutiérrez, 499-510.

In the second group of stakeholders, similarly to the previous one, it will be necessary to use the agreement-building schemes that best integrate the interests, priorities and inertia of each stakeholder. However, due to the diversity of its members and the lack of legal status of some of these actors and their relationships,<sup>57</sup> their identification may be more difficult and slower.

#### Methods in building groups / alliances / networks

1. Carry out a needs assessment: It is recommended to carry out this exercise in an early stage of implementation of the project, inviting the producers and/or groups of producers that will be working to implement the value chain methodology (6 chains + tourism: 7 needs assessments). The objective will be to identify the specific challenges, risks and obstacles that producers will face, and the possible tools and solutions they could use to prevent and manage risks. With this, it will be promoted that each group of producers generate their own production safeguards within a common framework, but adding their own concerns, methods and tools. In this way, a needs assessment tailored to each product and each landscape will be developed and this will be an input to the creation of production safeguards for each value chain, which will be protecting the producers involved in the project.
2. Structure a joint project or program: At this point, a simple and operative production safeguards methodology or plan is generated that works for each producers group and for the ecotourism sector. It is recommended that the safeguards plan be a very concrete document with few agreements to implement, thus, for every possible risk detected, there will be concrete actions aimed at preventing or minimizing damages.
3. Co-creation of solutions: The objective of this step is to generate processes for information dissemination, change motivation, opening of reliable spaces for discussion and feedback, and generating cohesion. To achieve this, exchange of experiences and workshops have been planned where social, communications, challenges issues will arise. This will be important as part of the establishment of a governance structure at landscape level.
4. Evaluation and communication tools: Communication is a key factor for the success or failure of any project. Using it correctly and maintaining openness and transparency communication facilitates cohesion, trust, alliances and a sense of belonging. It is a useful tool in the prevention and management of conflicts and risks.
5. Interviews with key stakeholders or informants will take place.
6. Traditional mechanisms such as round tables, assemblies or formal meetings will be considered for consultation and decision-making, this is referred as “customary rights”, which are identified in the First Prior and Informed Consent mechanism developed for this project.

#### **g) Description of any other engagement activities that will be undertaken**

- Benefit sharing and fair and equitable distribution of benefits of the project.
- Training in best practices for productive agricultural activities as well as tourism services.
- Training of financial mechanism for productive activities and to improve management of forests, biodiversity and ecosystem services conservation.
- Training in land use management at landscape level.
- Training in human rights and awareness on equality and equity.
- Rural, indigenous and local knowledge dialogs in round tables, workshops or exchange of experience about traditional sustainable practices and conservation of biodiversity actions.
- Even though the three components address joint work, stakeholder engagement and mechanisms to establish alliances or relation of work to accomplish project’s goals,

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<sup>57</sup> That is, the informal members of an actor –for example, an NGO– could belong formally to an education institution and, in turn, maintain close relations with local actors and peasant organizations.

Component 1, output 1.3 includes governance and establishes training and free participation of local representatives in governance bodies at landscape level.

**h) Timetable**

		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Consultation	Localities of PIS and communities and main cities of expansion of PAs																				
Disclosure	At local or regional offices. During meetings, workshops																				
Building Partnerships	Everywhere																				
Analyze and update map of actors	At governance bodies sessions.																				
Feedback progress of the project to local or regional partnerships or group of actors.	At governance and specific partnership locations (e.g. localities) through the three priority landscapes																				
Media campaigns	Throughout the three landscapes and regional level.																				

**i) Resources and responsibilities**

- The Coordination Unit will supervise this plan and some members will participate in some activities.
- The Director of the project will be the responsible of SEP and leader in establishing partnerships and follow up them.
- Manager and team be responsible in updating the stakeholder plan and defining groups of actors involved in decision making or other mechanisms defined in three components of the project.
- All personnel of this project will be aware or might receive any complaints from local actors and affected communities and turn it to the manager and then to the director and committee of grievance mechanism.



The budget is included in the time of the personnel of this project and addressed at Job Descriptions or Term of Reference in the case of consultants. Budget is also designated for activities related to decision making mechanism, meetings, workshop, printing, media campaigns, etc.

j) **Grievance mechanism**

Taken from Appendix VI. 3. Grievance mechanism of the project

- CI Mexico and CONANP will be first contacted for any complaint and be responsible for informing project-affected parties about the Accountability and Grievance Mechanism.
- Complaints to CI Mexico – CONANP may be presented in any format, through different channels including, but not limited to: oral testimony (individual or group), face-to-face meetings, in writing, through meeting minutes, by a telephone conversation or via e-mail, and without imposing any legal requirement that could limit the access to this mechanism. Any complains presented in Indigenous languages other than Spanish will be translated and to support this action CI Mexico will ask advisory from the Human Rights States Commission (Oaxaca and Chiapas) or other institutions such as Indigenous Peoples state agencies.
- Project-related grievances should be communicated to CI Mexico and CONANP. The grievance should be responded in writing within 15 calendar days of receipt and a copy of the grievance and its response should be sent to the CI-GEF Project Agency Team. This response should include a proposal for the conflict resolution.
- All reasonable grievances raised will be attempted to be solved within 30 days.
- CI Mexico and CONANP will be responsible for informing affected communities about the project commitments and the environmental and social safeguards provisions, this will happen once the project starts during meetings, workshops and other activities related to the project's implementation and throughout its lifetime.
- Grievances and Executing Entities responses will be well documented (documents, e-mails, letters, pictures, etc.) and filed at CI Mexico offices.
- CI has its own grievance mechanism, managed from its headquarters in Virginia, USA. Any unsolved complaints by the grievance mechanism of this project, shall be directed to the CI-GEF Project Agency and to CI headquarters by accessing the CI's Ethics Point Hotline at <https://secure.ethicspoint.com> or file a claim with the Director of Compliance (DOC) who can be reached at:

Director of Compliance  
Conservation International  
2011 Crystal Drive, Suite 500  
Arlington, VA 22202, USA.

- Complaints out of the scope, boundaries or jurisdiction of CI Mexico and CONANP, should be rejected and when possible, the complaint might be sent to other institutions.
- Grievance Mechanism disclosure:
  - o This policy and mechanism will be presented at the Inception Workshop.
  - o Once the project starts, this policy will be shared by the Coordination Unit, personnel of the project, with third parties such as consultants, Steering Committee and in every public activity such as meetings, workshops.
  - o Visibility of this policy. A poster in Spanish disclosing this mechanism will be placed on all offices established by the project or where personnel of the project will be located. CI's Operational policy for media products will be followed to print such materials.

**k) Monitoring and reporting**

Number of governance bodies at landscape level established and functioning	Call for meetings, agreement-MOU, rules of the mechanisms defined in a jointly manner	0	3	1 – 2 years and at the end of the project	Director Manager Landscape coordinator
Number of government agencies, civil society organizations, private sector, indigenous peoples and other stakeholder groups that have been involved in the project implementation phase	List of attendees of every activity	40	60	Annual	Director
Number of persons (sex disaggregated) that have been involved in project implementation phase	List of attendees of every activity	100	300	Quarter and Annual	Manager
Number of engagement (e.g. meeting, workshops, consultations) with stakeholders during the project implementation phase	List of stakeholder engagements	0	30	Annual	Landscape coordinators / Manager / specialists
Percentage of stakeholders who rate as satisfactory the level at which their views and concerns are addressed by the project (a third party for measuring this indicator will be defined)	Interviews Research Reports	0	70%	One End of the project	CI-GEF Agency and this will be undertaken by the consultant hired by the CI-GEF Agency to conduct the MTR and Terminal Evaluation
Number of alliances and partnership formally established during implementation phase				Annual	
Number of alliances, partnerships or initiatives that continue with components or activities of the project beyond the 5 year of the project	Meeting minutes or notes, list of attendees. Planning projects. Projects funded	0	5	Once At the end	Director

## Detailed GEF Project budget

CI-GEF Project Agency – Project Document (ProDoc)







Office/ storage rent	Shared Office Costs CI/Mexico		60,854.99	179,479.13	95,844.66	25,912.26	361,091	48,270	70,861	75,260	79,044	69,636	361,091
Total Other Direct Costs			281,137	312,461	296,826	25,912	916,336	142,075	185,721	180,140	193,304	204,496	916,336
Total GEF funded project costs			2,052,959	3,332,263	1,491,045	343,783	7,219,450	1,340,137	1,348,457	1,439,671	1,484,527	1,606,858	7,219,450
CO-FINANCING		174. LP CO-FINANCIER	Co-financing by component (in USD)										
SOURCES OF CO-FINANCING	NAME OF CO-FINANCIER		Component 1	Component 2	Component 3	Project Management Costs	Total	Co-financing per year (in USD)					
Government	CONAMP	Ar-kind	3,233,333	3,233,333	3,233,333		9,700,000	1,940,000	1,940,000	1,940,000	1,940,000	1,940,000	9,700,000
Other	CI- Sabalito Foundation	Cash											
Private sector	FUNDACION ADO	Ar-kind	436,782	563,218	-		1,000,000	200,000	200,000	200,000	200,000	200,000	1,000,000
Other	COOPERATIVA AMBIO S.C. de R.L.	Ar-kind	-	419,945	695,000		1,114,845	222,969	222,969	222,969	222,969	222,969	1,114,845
Government	CDIR OAXACA INSTITUTO POLITECNICO NACIONAL	Ar-kind	165,248	206,560	41,312		413,119	82,624	82,624	82,624	82,624	82,624	413,119
Other	COSTA SALVADE	Ar-kind	482,721	231,368	-		714,089	142,818	142,818	142,818	142,818	142,818	714,089
Other	FONDO DE CONSERVACION EL TRIUNFO	Ar-kind	389,436	-	329,969		719,405	145,881	145,881	145,881	145,881	145,881	719,405
Other	PRONATURPA	Ar-kind	561,798	1,123,596	561,798		2,247,191	449,438	449,438	449,438	449,438	449,438	2,247,191
Other	UNION COMUNIDADES INDIGENAS- ISTMO	Ar-kind	125,000	425,000	50,000		600,000	120,000	120,000	120,000	120,000	120,000	600,000
Government	SEMADESO OAXACA, SECRETARIA DEL MEDIO AMBIENTE, ENERGIAS Y DESARROLLO	Ar-kind	22,967	22,967	22,967		68,900	13,780	13,780	13,780	13,780	13,780	68,900
Private sector	ALSEA	Ar-kind	414,365	10,283	10,283		434,331	86,396	86,396	86,396	86,396	86,396	434,331
Private sector	DANONE	Ar-kind	-	-	500,000		500,000	100,000	100,000	100,000	100,000	100,000	500,000
Government	SAGARPA	Ar-kind	703,575	-	-		703,575	140,703	140,703	140,703	140,703	140,703	703,575
Government	SEMAHN CHAPAS, SECRETARIA DEL MEDIO AMBIENTE E HISTORIA NATURAL	Ar-kind	8,933,333	8,933,333	8,933,333		26,800,000	5,360,000.00	5,360,000.00	5,360,000.00	5,360,000.00	5,360,000.00	26,800,000
Sub Total Co-financing IN-KIND			16,369,205	15,697,468	14,390,294		46,456,967	486,194	486,194	486,194	486,194	486,194	46,456,966
Sub Total Co-financing IN CASH			436,782	563,218	-		1,000,000	-	-	-	-	-	1,000,000
Total Co-financing			16,805,987	16,260,686	14,390,294	-	47,456,967	-	-	-	-	-	47,456,966
TOTAL PROJECT BUDGET			18,859,346	18,592,349	15,881,339	343,783	54,676,417	-	-	-	-	-	54,676,417





**APPENDIX VIII:** Co-financing Commitment Letters (see attachment)

**APPENDIX IX:** Vehicle Purchase Justification

**PROCUREMENT JUSTIFICATION - FIELD VEHICLES**

Project Title:	<b>Conservation and Sustainable Use of Biological Diversity in Priority Landscapes of Oaxaca and Chiapas</b>		
GEF Agency:		GEF Agency Project ID:	<b>9445</b>
GEF Focal Area (s):	<b>Biodiversity</b>	Geographic Scope:	<b>Southern &amp; Southeastern Mexico</b>
2 states: Chiapas & Oaxaca (16.7 million ha), 3 Landscapes: The Sierra Madre of Chiapas, the Sierra Sur and Isthmus of Oaxaca and the Pacific South Coast of Oaxaca and Chiapas.			
Priority Landscapes Total Project Area:	<b>Landscapes 2,618,250 ha</b>	Primary intervention sites	<b>16 sites 208,160 ha</b>
of Beneficiaries		Project Personnel Plan (to be hired)	<b>13 new positions</b> (at least 9 at Primary Intervention sites)

**PROCUREMENT REQUEST:**            **3 new field vehicles (4 wheel drive)**

**PURPOSE:**            **Ensure access to the project's intervention sites**  
**Permanent interaction with local stakeholders.**  
**Support project's M&E field activities.**

**BUDGET ALLOCATION:**                            **\$30,000 per vehicle TOTAL \$90,000**

**CUSTODIAN:**                                    **CI MEXICO**  
**USERS**    **CI's authorized project personnel only.**

**RELATION TO PROJECT OUTPUTS**            **HIGH**

**JUSTIFICATION**

**Purchase of three vehicles**

(one per priority landscape)

The vehicles will be assigned as follows: one vehicle per landscape and are an important part of the project to assure access to the 16 first intervention sites of the project. Project staff will need access to reliable transportation to engage a multitude of local and regional actors

**PROJECT STRUCTURE**

This project is developing a pilot model with integrated landscape management approach within the National System of ANPs. The PMU - Program Management Unit structure as well as the equipment identified are critical. To meet the minimum basic conditions for work, local project staff must meet with producers, decision makers and other key actors identified in the value chains or governance mechanisms of each landscape.

**LANDSCAPE ACCESS**

The geographical and topographical conditions in mountain systems ranging from 200 to 3,500 meters above sea level in the Sierra Madre Chiapas and Sierra Sur and Istmo landscapes of Oaxaca are quite inaccessible areas by public transportation. Our previous experience in the region (especially in the Sierra Madre of Chiapas) shows that it is virtually impossible to access some rural communities without a four-wheel drive vehicle. Scarce and unreliable public transportation represents an additional hardship on staff, since it may take twice as long opposed to using private direct transportation on trips that may range between 3-5 hours to arrive to the most isolated communities.

**SECURITY**

When available, local transportation in the regions are not regulated and do not provide any insurance for users despite the dangerous routes usually used by three- ton trucks transiting the mountainous systems.

#### **EFFICIENCY**

We believe that without the purchasing of these vehicles field staff availability to effectively assist the communities will be impacted. In addition, the time invested in public transportation may increase the commute by threefold for the project staff.

#### **FINANCIAL ANALYSIS**

Purchasing the vehicles has been identified as the most cost-efficient use of resources both in staff time and cost. For the analysis, it was considered the cost of rental of vehicles as needed and also the leasing cost with a sales agency, both options were discarded due to the high cost.

Other support has been explored without success: CONANP cannot ensure resources for the project staff transportation. NPAs' Directors do not have spare vehicles available and also report transportation challenges for their own activities

**Tax Exemption:** Mexican fiscal law does not allow for tax exemption in the purchase of vehicles in this type of projects.