



**INITIATION PLAN
FOR A GEF PROJECT PREPARATION GRANT (PPG)**

Country Guatemala

UNDAF Outcome 1	By 2014, environmental management and reduction of risk has been strengthened, with civil society participation, there is a better use of renewable energy and better access to water and sanitation, with special emphasis on populations with vulnerability to climate and geological risks.
Expected Outcome 1.2. (UNDAF)	Government institutions (SEGEPLAN, MARN, MAGA, CONAP, MINECO), community organizations and private sector improve means that improve sustainable use and management of natural resources
Indicator	% of surface covered by forests.
Expected Output 1.2.2 (UNDAF)	Community-based groups, and small enterprises participate in institutional programs that promote marketing of natural goods and services/
Indicator	# of community association ecotourism projects benefited
Expected Outcome 6 CPD	By 2014, the Guatemalan population especially those vulnerable to climate risks, have improved environmental management and more access of renewable energy services.
Expected Output 6.2 CPD	Governmental institutions have the capacity to develop and implement instruments and means to best manage and use environmental goods and services.
Indicator	Number of policy instruments (laws, financial instruments, strategies, agendas, plans or programs) for the management and sustainable use of environmental goods and services.

Programme Period: 2010 - 2014
 Programme Component: Environment and Sustainable Development
 PPG Title: Promoting ecotourism to strengthen the sustainability of the Guatemalan Protected Areas System (SIGAP)
 ATLAS Project ID: 00074941
 PIMS Project ID: 3374
 Duration: 10 months (April through January 2011)
 Management Arrangement: NEX
 Executing Agency: Guatemalan Council of Protected Areas (CONAP)

Total budget: USD 68,182
 Allocated resources:
 • Government _____
 • Regular _____
 • Other:
 o GEF USD68,182
 • In kind contributions _____

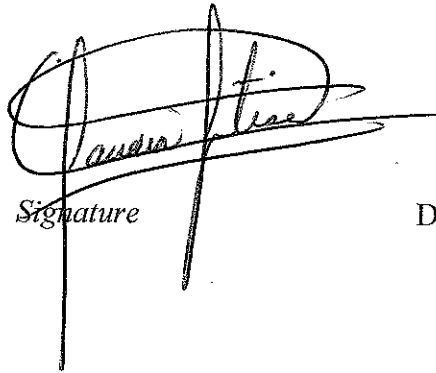
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I. Signature Page

AGREED BY GOVERNMENT:

*Claudia Santizo/ Executive
Secretary CONAP*



Signature

Date: 3/6/2010

AGREED BY UNDP DIRECTOR:

*Rene Matricio Valdes/Resident
Representative*



Signature

Date: 18 JUN. 2010

II. Brief Description of Initiation Plan

The purpose of the Project Preparation Grant –PPG- is to develop a GEF Full Sized Project –FSP- (above US\$ 1 million) proposal of a Project Identification Form –PIF- that has been submitted and approved by the GEF. The PIF stated that the project to be developed will aim to “**Promote ecotourism to strengthen the sustainability of Guatemala’s National System of Protected Areas (SIGAP)**” by increasing revenues, reducing costs, and improving financial planning and management at the level of the entire system and some of its constituent Protected Area units.

This preparatory phase aims at finalizing the studies and arrangements for the submission of this FSP project to the GEF. The PPG will also enable the stakeholders’ consultations and data collection for the establishment of baseline and complementary activities that will be validated by involved stakeholders. The following text from the approved PPG outline the activities, costs and expertise that will be provided through this IP.

The final product of this Initiation Plan or IP and PPG is thus, a final FSP Project Document, according to GEF’s requirements and with active participation of all relevant stakeholders. This Project Document will include a contextual analysis of the legal and policy framework, biodiversity baseline, financial gaps, and capacity needs, that will enable the promotion of ecotourism as a strategy to strengthen the sustainability of the Guatemalan Protected Areas System (SIGAP).

III. Project Preparation Grant approved by GEF



REQUEST FOR PROJECT PREPARATION GRANT (PPG) **PROJECT TYPE: Full-sized Project** **THE GEF TRUST FUND**

Submission date: February 4, 2010

GEF PROJECT ID¹: 4191

GEF AGENCY PROJECT ID: 3374

COUNTRY(IES): Guatemala

PROJECT TITLE: Promoting ecotourism to strengthen the sustainability of the Guatemalan Protected Areas System (SIGAP).

GEF AGENCY(IES): UNDP

OTHER EXECUTING PARTNER(S): National Protected Areas Council - CONAP

GEF FOCAL AREA(s): Biodiversity

GEF-4 STRATEGIC PROGRAM(s): BD-SP1 Financing; BD-SP3 PA Networks

NAME OF PARENT/PROGRAM/UMBRELLA PROJECT (if applicable): N/A

A. PROJECT PREPARATION TIMEFRAME

Start date of PPG	April 2010
Completion date of PPG	January 2011

¹ Project ID number will be assigned by GEFSEC. If PIF has already been submitted, please use the same ID number as PIF.

B. PAST PROJECT PREPARATION ACTIVITIES (\$): N/A

List of Past Project Preparation Activities	Output of the Activities	Project Preparation Amount (a)	Co-financing (b)	Total c = a + b
Total Project Preparation Financing		0	0	0

C. PROPOSED PROJECT PREPARATION ACTIVITIES (\$)

Describe the PPG activities and justifications:

All the information gathered through these activities will be instrumental for the development of the legal/policy and institutional context of the Project Document (ProDoc).

1. Assessment of laws and policies for implementing ecotourism within the SIGAP. PPG funds will be used to review selected legislation and policies in order to make an initial assessment of the changes needed to promote biodiversity conservation through the implementation of ecotourism in protected areas (PAs). Specifically, the following activities will be funded: i) identification of existing laws and policies related to tourism in PAs; ii) review of existing laws and policies for the collection and reinvestment of gate /concession fees in PAs; iii) review of existing taxation laws and preliminary identification of fiscal barriers that limit private sector investment in PA infrastructure and operations; and iv) institutional analysis to identify critical steps for incorporation of needed changes and updates into laws and policies.

2. Final PA selection for the implementation of ecotourism activities. PPG funds will also be used to select the PAs that will be piloted within new tourism routes in three Western Highlands landscapes: RUMCLA (Lake Atitlán, 122,900 hectares [ha]), Todos Santos Cuchumatán (7,255 ha), and Tacaná (2,964 ha) and Tajumulco Volcanoes (13,032 ha). Pilot PAs will be selected from among national parks and smaller PAs such as the Chicabal Volcano, Los Altos de San Miguel Totonicapán Municipal Regional Park, San Pedro Sacatepequez Municipal Regional Parks/Forests 1 and 2, San Marcos Municipal Regional Park, Canjulá-Tocapote-Los Maijones Municipal Regional Park, El Caracol-Los Espinos-Mirasol-Tizate Municipal Regional Park, and the Corazón del Bosque Community Natural Reserve. In addition, target PAs may include several reserves within RUMCLA, such as San Pedro La Laguna and Santa Clara La Laguna, which are in the process of being incorporated into the SIGAP.

Once the final selection of PAs is completed, the management effectiveness baseline will be established using UNDP/GEF's Management Effectiveness Tracking Tool (METT). An initial assessment of the socioeconomic aspects of the target PAs will also be carried out and will allow the following to be achieved: i) identification of local- and regional-level stakeholders related to ecotourism implementation in PAs; and ii) the early involvement of stakeholders in ecotourism implementation decision making processes.

3. Biological and ecosystem baseline for ecologically sensitive areas. PPG funds will be used to identify ecologically sensitive areas within the target PAs to ensure that ecotourism activities are implemented within the acceptable limits of change in the pilot landscapes. Baseline studies will result in the definition of biodiversity impact indicators and their baseline values and conservation targets for sensitive species and ecosystems. Specifically, the following activities will be funded: i) detailed review of secondary information on sensitive species and ecosystems in the target PAs; ii) quantification of the status (baseline) of sensitive species and ecosystems; and iii) definition of indicators and conservation targets.

4. Income and financial gap assessment for pilot PAs. During the PPG a baseline study will be performed to assess the financial status of the target PAs. Specific issues to be addressed include current and projected management costs and financial sources, including revenue generated from ecotourism, financial gaps, existing revenue allocation mechanisms and their limitations, and an assessment of the management and business plans' status for the target PAs.

5. Capacity needs assessment to strengthen CONAP and PA managers for ecotourism implementation in PAs. PPG funds will also be used to assess the training needs of CONAP's officials and other PA managers to: a) manage visitors (including the development of skills for determining the visitor-carrying capacity of PAs and the collection and disposal of wastes that result from the increased numbers of visitors and activities, among other needs) and b) monitor the impacts of ecotourism. Training targets will also be defined.

6. Monitoring and evaluation (M&E) strategy. PPG funds will be used to develop the M&E strategy to track the project's impacts and measure biodiversity conservation and financial performance trends over the long term. Activities will include the following: (i) evaluation of participating institutions' current M&E systems - to measure conservation impacts and the financial sustainability of PAs; (ii) development of key biodiversity and financial indicators at the PA level; (iii) evaluation of how partner institutions account for financial sustainability and biodiversity impacts and benefits in decision making and project implementation; (iv) formulation of project M&E strategies including baseline levels, indicators, methodologies, and targets to track project progress and effectiveness; and (v) development of a cost-effectiveness analysis protocol to identify optimal interventions, assess lessons learned, and outline replication strategies.

List of Proposed Project Preparation Activities	Output of the PPG Activities	Project Preparation Amount (a)	Co-financing (b)	Total c = a + b
1. Assessment of legislation and policies for implementing ecotourism within the SIGAP.	<ul style="list-style-type: none"> - Review of laws and policies related to ecotourism in PAs finalized. - Institutional/stake-holder analysis and legal/policy reform implementation scenarios (including institutional bottlenecks). 	\$6,711	\$11,163	\$17,874
2. Final PA selection for the implementation of ecotourism activities.	<ul style="list-style-type: none"> - Project's target PAs within pilot landscapes selected. - METTs baseline scores for target PAs. - Stakeholder analyses for target PAs. 	\$7,211	\$16,428	\$23,639
3. Biological and ecosystem baseline for ecologically sensitive areas.	<ul style="list-style-type: none"> - Baseline values and conservation targets for sensitive species and ecosystems defined. - Project indicators defined. 	\$7,880	\$11,164	\$19,044
4. Income and financial gap assessment for pilot PAs.	<ul style="list-style-type: none"> - Income and financial gap assessment, including revenues from ecotourism in place. - Assessment of the management and business plans' status for the target PAs. 	\$4,370	\$11,164	\$15,534
5. Capacity needs assessment to strengthen CONAP and PA managers for ecotourism implementation in PAs.	<ul style="list-style-type: none"> - Capacity needs assessment to implement environmental and social safeguards for ecotourism in place. - Training targets for CONAP officials to manage visitors and monitor the impacts of ecotourism are determined. 	\$3,785	\$7,069	\$10,854
6. Monitoring and evaluation (M&E) strategy.	<ul style="list-style-type: none"> - M&E strategy is developed. - ProDoc and CEO Endorsement Request are submitted. 	\$38,225	\$11,194	\$49,419
Total Project Preparation Financing		\$68,182	\$68,182	\$136,364

D. FINANCING PLAN SUMMARY FOR PROJECT PREPARATION GRANT: (\$)

	Project Preparation	Agency Fee
GEF financing	68,182	6,818
Co-financing	68,182	
Total	136,364	6,818

E. PPG REQUESTED BY AGENCY(IES), FOCAL AREA(S) AND COUNTRY(IES): N/A

GEF Agency	Focal Area	Country Name/ Global	(in \$)		
			PPG (a)	Agency Fee (b)	Total c = a + b
(select)	(select)				
(select)	(select)				
(select)	(select)				
Total PPG Requested			0	0	0

F. PPG BUDGET REQUEST

Cost Items	Total Estimated Person Weeks for GEF Grant (PW)	GEF (\$)	Co-financing (\$)	Total (\$)
Local consultants	48	29,080	62,670	91,750
International consultants	12	30,000	0	30,000
Travel & Miscellaneous		9,102	5,512	14,614
Total PPG Budget		68,182	68,182	136,364

G. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF policies and procedures and meets the GEF criteria for project identification and preparation.

Agency Coordinator, Agency name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
John Hough UNDP/GEF Deputy Executive Coordinator		February 4, 2010	Santiago Carrizosa, Regional Technical Advisor	+507 302- 4510	Santiago.carrizosa@undp.org

Annex A

Consultants Financed by the Project Preparation Grant (PPG)

Position / Titles	\$/ Person Week	Estimated PWs	Tasks to be performed
Local Operational specialist	685	10 (GEF) 30 (Cof)	<ul style="list-style-type: none"> i) Define operational strategies and resource needs for effective project implementation. ii) Organize stakeholder consultations (threats analysis, logical framework, financial baseline information, institutional and participation arrangements). iii) Define needs for implementation and participation mechanisms. iv) Negotiate implementation and participation mechanisms with institutions and local stakeholders. v) Support drafting of PRODOC and CEO Endorsement Request.
Environmental/tourism law and policy expert	585	10 (GEF) 14 (Cof)	<ul style="list-style-type: none"> i) Review and analyze the existing legal and policy framework related to ecotourism within the SIGAP. ii) Perform stakeholder analysis for the implementation of legal and policy reforms. iii) Develop guidelines for the procedures required for effective institutional coordination for legal/policy reform at the local, regional, and national levels.
PA specialist	585	16 (Cof)	<ul style="list-style-type: none"> i) Hold consultations and meetings with PA authorities and managers (e.g., CONAP, INGUAT, municipalities) for the final selection of the target PAs. ii) In coordination with the operational specialist and the environmental M&E specialist apply the METT for the target PAs.
Biodiversity expert/ecologist	585	12 (GEF) 14 (Cof)	<ul style="list-style-type: none"> i) Hold consultations and meetings with managers and selected staff from target PAs to identify sensitive species and ecosystems. ii) Define biodiversity impact indicators for sensitive species and ecosystems to be monitored during project implementation. iii) Define baseline values and targets for sensitive species and ecosystems.
Socioeconomic expert	585	10 (GEF) 14 (Cof)	<ul style="list-style-type: none"> i) Develop preliminary socioeconomic analyses of target PAs. ii) Perform stakeholder analyses for target PAs. iii) Assess training needs and targets for CONAP and PA managers to implement environmental and social safeguards for ecotourism. iv) Assess training needs and targets for

			PA administrators managing visitors and providing them with the appropriate services.
PA finance specialist	585	6 (GEF) 14 (Cof)	<ul style="list-style-type: none"> i) Assess target PAs' financial status, including management costs and financial needs and gaps. ii) Assess income generation and allocation mechanisms, particularly those related to revenue from ecotourism (i.e., gate and concession fees collection and allocation). iii) Evaluate the status of the management and business plans for each of the existing PAs, identifying the needs and limitations based on their ecotourism potential and conservation goals.
International Environmental M&E specialist	2,500	12 (GEF)	<ul style="list-style-type: none"> i) Review and structure existing data and methodologies for development of key outputs. ii) Develop an M&E plan, including baseline analysis, project indicators, methodologies, and protocols for the collection and systematization of information. iii) Develop a monitoring strategy for financial sustainability of the PAs. iv) Determine whether databases and technical analyses can be appropriately adapted to the scope, scale, and needs of project stakeholders and the implementer. v) Provide overall orientation to PPG team in relation to GEF logic and information requirements. vi) Develop incremental cost matrices. vii) Perform final review and definition of strategic work plan and cost-efficiency analysis.

IV. Total Budget and Work Plan

Award ID:	00059791
Award Title:	Promoting ecotourism to strengthen the sustainability of the Guatemalan Protected Areas System (SIGAP)
Business Unit:	GTM10
Project Title:	Promoting ecotourism to strengthen the sustainability of the Guatemalan Protected Areas System (SIGAP)
Project ID: PIMS no.	PIMS 3374; Project ID: 00074941
Implementing Partner (Executing Agency)	National Council for Protected Areas (CONAP)

<i>Output</i>	Year Goal	Activities	Responsible Parties	Insumos
<p>Output 1</p> <p>CONAP has the contextual analysis of the legal and policy framework, biodiversity baseline, financial gaps, and capacity needs, that will enable the promotion of ecotourism as a strategy to strengthen the sustainability of the Guatemalan Protected Areas System (SIGAP).</p> <p>Base line The Project identification form PIF was approved by GEF and PPG was granted for Project preparation.</p> <p>Indicator FSP Project Document</p>	<p>By November 2010 there will be a final draft of the Project document.</p>	Assessment of laws and policies for implementing ecotourism within the SIGAP	CONAP	Local Consultants Workshops Travel
		Final PA selection for the implementation of ecotourism activities	CONAP	Local Consultants Workshops Travel
		Biological and ecosystem baseline for ecologically sensitive areas.	CONAP	Local Consultants Workshops Travel
		Income and financial gap assessment for pilot PA's	CONAP	Local Consultants Workshops
		Capacity needs assessment to strengthen CONAP and PA managers for ecotourism implementation in PA's	CONAP	Printing and Publishing Travel Workshops
		Monitoring and evaluation (M&E) strategy	CONAP	International Consultants Local Consultants Workshops Travel
			TOTAL	68182

Annual Work Plan 2010

Outputs	GEF PPG Activities/Atlas Activity	2010				Responsible Party/Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount in US\$
		1Q	2Q	3Q	4Q						Year 2010
Output 1 CONAP has the contextual analysis of the legal and policy framework, biodiversity baseline, financial gaps, and capacity needs, that will enable the promotion of ecotourism as a strategy to strengthen the sustainability of the Guatemalan Protected Areas System (SIGAP).	Activity 1: Assessment of laws and policies for implementing ecotourism within the SIGAP		x	x		National Council for Protected Areas (CONAP)	62000	GEF TRUSTEE	71300	Local Consultants	5850
									75700	Workshops	861
	Activity 2: Final PA selection for the implementation of ecotourism activities		x	x		National Council for Protected Areas (CONAP)	62000	GEF TRUSTEE	71300	Local Consultants	5850
									71600	Travel	800
									75700	Workshops	561
	Activity 3: Biological and ecosystem baseline for ecologically sensitive areas.		x	x		National Council for Protected Areas (CONAP)	62000	GEF TRUSTEE	71300	Local Consultants	7020
									71600	Travel	410
									75700	Workshops	450
	Activity 4: Income and financial gap assessment for pilot PA's		x	x		National Council for Protected Areas (CONAP)	62000	GEF TRUSTEE	71300	Local Consultants	3510
									75700	Workshops	860
	Activity 5: Capacity needs assessment to strengthen CONAP and PA managers for ecotourism implementation in PA's		x	x	x	National Council for Protected Areas (CONAP)	62000	GEF TRUSTEE	74200	Printing & Publication	785
									71600	Travel	1000
									75700	Workshops	2000
	Activity 6: Monitoring and evaluation (M&E) strategy		x	x	x	National Council for Protected Areas (CONAP)	62000	GEF TRUSTEE	71200	International Consultants	30000
									71300	Local Consultants	6850
								71600	Travel	1375	
PROJECT TOTAL										68182	

Budget for each required specialist

Specialists	Gef financing	# Activity budgeted
Local Operational Specialist	6850	Act 6
Environmental/tourism law and policy expert	5850	Act 1
Biodiversity expert/ecologist	7020	Act 3
Socioeconomic expert	5850	Act 2
PA finance specialist	3510	Act 4
International Environmental M&E specialist	30000	Act 6
Total	59080	

** Co-financing for each specialist is specified in the PPG format

V. Implementation Arrangements

This IP will be executed under National Execution –NEX- implementation², which is defined as: activities in a specific programme country carried out by an eligible national entity of that country. The Council for Protected Areas of Guatemala will act as the Executing Agent/Implementing Partner and thus is responsible for the achievement of results, financial and administrative operation.

VI. Legal Context

The responsibility for the execution of the NEX projects is with the Government, as reflected in the Standard Basic Assistance Agreement -SBAA- signed by UNDP with the Government (or other document of agreement with the host Government), and with the Executing Agent designated in the Project Document (in non-harmonized programmes) or with the Implementing Partner, according to what has been agreed in the Country Programme Action Plan (CPAP) and in the respective Annual Work Plan (AWP) (in harmonized programmes). Note that under the new harmonized procedures, both CPAP and AWP constitute the Project Document.

VII. Monitoring

Monitoring for the development of the different activities to achieve the product will be realized through quarterly advance reports (QPRs), following the GEF formats.

² For further consultation regarding Guatemala's NEX implementation please consult the Manual for Management of National Execution Projects (Manual de Gestión de Proyectos de Ejecución Nacional) at : <http://www.undp.org.gt/firmNEX.aspx>

