

AD-ABQ-484

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UNITED STATES INTERNATIONAL DEVELOPMENT COOPERATION AGENCY  
AGENCY FOR INTERNATIONAL DEVELOPMENT  
Washington, D.C. 20523

GUATEMALA

**PROJECT PAPER**

MAYA BIOSPHERE

AID/LAC/P-935

PROJECT NUMBER: 520-0395

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PD-ABQ 484

AGENCY FOR INTERNATIONAL DEVELOPMENT <b>PROJECT DATA SHEET</b>		1. TRANSACTION CODE <input checked="" type="checkbox"/> A = Add <input type="checkbox"/> C = Change <input type="checkbox"/> D = Delete		Amendment Number <u>2</u>	DOCUMENT CODE <u>3</u>
2. COUNTRY/ENTITY Guatemala		3. PROJECT NUMBER <input type="checkbox"/> 520-0395 <input type="checkbox"/>			
4. BUREAU/OFFICE LAC <input type="checkbox"/> 05 <input type="checkbox"/>		5. PROJECT TITLE (maximum 40 characters) <input type="checkbox"/> Maya Biosphere <input type="checkbox"/>			
6. PROJECT ASSISTANCE COMPLETION DATE (PACD) MM DD YY <input type="checkbox"/> 0 <input type="checkbox"/> 3 <input type="checkbox"/> 3 <input type="checkbox"/> 1 <input type="checkbox"/> 0 <input type="checkbox"/> 0		7. ESTIMATED DATE OF OBLIGATION (Under 'B.' below, enter 1, 2, 3, or 4) A. Initial FY <input type="checkbox"/> 9 <input type="checkbox"/> 0 <input type="checkbox"/> B. Quarter <input checked="" type="checkbox"/> C. Final FY <input type="checkbox"/> 0 <input type="checkbox"/> 0			

8. COSTS (\$000 OR EQUIVALENT \$1 = )						
A. FUNDING SOURCE	FIRST FY <u>90</u>			LIFE OF PROJECT		
	B. FX	C. L/C	D. Total	E. FX	F. L/C	G. Total
AID Appropriated Total				20,213	6,787	27,000
(Grant)	( 824 )	( 486 )	( 1,310 )	( 20,213 )	( 6,787 )	( 27,000 )
(Loan)	( )	( )	( )	( )	( )	( )
Other U.S.				5,000	2,495	7,495
1. NGOs						
2.						
Host Country		2,200	2,200		10,490	10,490
Other Donor(s)						
<b>TOTALS</b>	<b>824</b>	<b>2,686</b>	<b>3,516</b>	<b>25,213</b>	<b>19,772</b>	<b>44,985</b>

9. SCHEDULE OF AID FUNDING (\$000)									
A. APPROPRIATION	B. PRIMARY PURPOSE CODE	C. PRIMARY TECH. CODE		D. OBLIGATIONS TO DATE		E. AMOUNT APPROVED THIS ACTION		F. LIFE OF PROJECT	
		1. Grant	2. Loan	1. Grant	2. Loan	1. Grant	2. Loan	1. Grant	2. Loan
(1) DA				10,350		12,500		27,000	
(2)									
(3)									
(4)									
<b>TOTALS</b>				<b>10,350</b>		<b>12,500</b>		<b>27,000</b>	

10. SECONDARY TECHNICAL CODES (maximum 6 codes of 3 positions each)							11. SECONDARY PURPOSE CODE		
12. SPECIAL CONCERNS CODES (maximum 7 codes of 4 positions each)									
A. Code									
B. Amount									

13. PROJECT PURPOSE (maximum 480 characters)

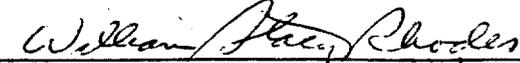
To strengthen Guatemala's capability to effect environmental improvements that have a nationwide impact, and to improve the management of renewable natural resources and protection of biological diversity and tropical forests in the Maya Biosphere Reserve.

14. SCHEDULED EVALUATIONS				15. SOURCE/ORIGIN OF GOODS AND SERVICES			
Interim	MM	YY	Final	MM	YY		
	0	6		0	6		
	9	7		9	9		
				<input checked="" type="checkbox"/> 000 <input type="checkbox"/> 941 <input checked="" type="checkbox"/> Local <input type="checkbox"/> Other (Specify)			

16. AMENDMENTS/NATURE OF CHANGE PROPOSED (This is page 1 of a \_\_\_\_\_ page PP Amendment.)  
 This Amendment will add \$12.5 million to extend biodiversity protection and alternate income generation activities in the Petén, specifically focusing resources in and around core protected areas, and extend the PACD to 03/31/00.

I certify that the methods of payment and audit plans are in compliance with the payment verification policy.

  
 Gary Byllesby  
 Controller

17. APPROVED BY	Signature 			18. DATE DOCUMENT RECEIVED IN AID/W, OR FOR AID/W DOCUMENTS, DATE OF DISTRIBUTION: MM DD YY		
	Title William Stacy Rhodes Mission Director					

**PROJECT AUTHORIZATION AMENDMENT NO. 2**

Name of Country: Guatemala  
Name of Project: Maya Biosphere  
Number of Project: 520-0395

1. **Background:** Pursuant to Section 103 and Section 106 of the Foreign Assistance Act (FAA) of 1961, as amended, the Maya Biosphere Project was authorized on 27 August 1990, and subsequently amended on 1 July 1994. Pursuant to Sections 117 to 120 of the FAA, the Project is hereby amended as outlined below.
2. **Additional Funding:** Section 1 of the Authorization is hereby amended to increase the authorized level of funding by \$12.5 million. The new authorized level of funding will not exceed TWENTY SEVEN MILLION DOLLARS (\$27,000,000) in grant funds over the life of project, subject to the availability of funds in accordance with USAID OYB/allotment processes, to help in financing the foreign exchange and local currency costs of the Project. The planned life of project is until 31 March 2000.
3. **Local Cost Financing:** Paragraph 3.e is hereby replaced with the following, to increase the authorized level of local cost financing by \$200,000.

"3.e. **Local Cost Financing.** Local cost financing, totaling \$7.2 million, is authorized only to the extent permitted by the Agency's Buy America Policy as outlined in 90 State 410442 and in HB 1B, Chapter 18. If necessary, individual waivers may be processed for procurement of goods or services which are outside the exemptions to the Buy America Policy but necessary to the Project Implementation, under the criteria stated in HB 1B, Chapter 5. It has been determined that the cost of commodities of U.S. origin planned to be procured locally are reasonable, taking into account comparable delivery terms and prices from the U.S., and the implementation schedule of the Project."

  
William Stacy Rhodes  
Director, USAID/G-CAP

June 29, 1995  
Date

Maya Biosphere Project Authorization Amendment No.2

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TRD 6/9  
~~TRD 6/14~~ *correction*  
~~TRD 6/14~~  
~~CB 6/13~~  
~~CB 6/13~~  
~~EBW~~  
~~EBW for~~  
~~PSM 6/13/95~~

TED

P.Miller, P.C.C

**PROJECT PAPER SUPPLEMENT:  
MAYA BIOSPHERE PROJECT  
PETEN ACTIVITIES**

Project 520-0395

USAID/G-CAP May 1995

MAYA BIOSPHERE PROJECT AMENDMENT: PETEN ACTIVITIES

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USAID/G-CAP

Amendment: Maya Biosphere Reserve Project (MBP), Peten Activities

**Summary of Project Amendment**

When the Guatemalan government decreed the Maya Biosphere Reserve (MBR) in 1990, it was clear that significant external assistance was required or the area was doomed to be converted to marginal agriculture and pasture--the fate of over 60% of the Peten's magnificent primary forests during the two preceding decades. USAID responded to the challenge and opportunity to help make the paper park a reality.

Over the past four years, the Maya Biosphere Reserve Project has become the Mission's flagship initiative under the bilateral environmental management SO. Through creative and flexible interventions executed with NGO support, the project promoted the rational use of MBR resources through biosphere administration, environmental education, and sustainable management for income generation (forest products, land-use systems, tourism and other small-scale enterprises). As reported in Mission Action Plans, as of 1994, these interventions contributed to the conservation of an estimated 840,000 acres of forest which would otherwise have been converted to unsustainable uses.

However, a recent external evaluation indicated that significant increases in resource levels and adjustments in project execution are required if the project is to fully meet its objectives. The activities proposed under this Amendment respond directly to the evaluation (see Annex 5), subsequent assessments of performance, and negotiations with counterparts. As a result, the Amendment supports the continuation of the most successful interventions with an intensified geographic focus on priority "core" parks, which represent approximately one-half of the total MBR: 1) Sierra Lacandon, 2) Laguna del Tigre, 3) Mirador-Rio Azul complex, and 4) Zotz-Yaxha complex. This Amendment will also promote delegation of on-the-ground activities from GOG to private, local organizations (NGOs) and municipalities. These changes are expected to increase the project's effectiveness in achieving the Mission strategic objective and counter specific tendencies which are now undermining the ecological integrity of core zones, the linchpins for the overall Reserve.

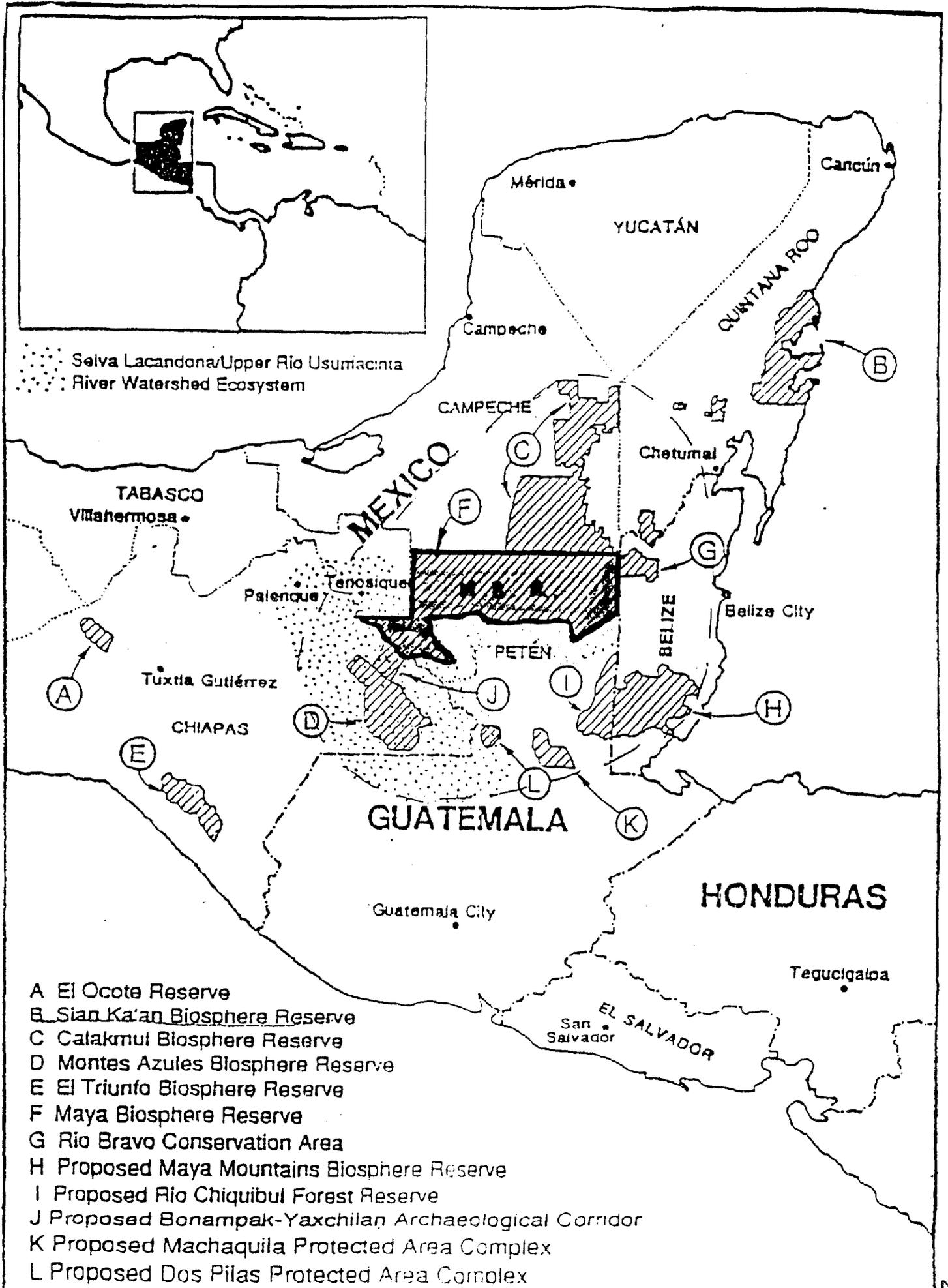
This Amendment will: a) increase the planned life-of-project funding level by \$12,500,000 and authorize an extension of existing agreements up to March 31, 2000; b) modify GOG counterpart relationships by including the Ministry of Agriculture; and c) revise the Project log-frame and monitoring and evaluation (M&E) indicators.

The **client** group is the population which has a direct impact on core zones, especially those communities which form the agricultural frontier with priority parks. Key **results** which (by 2000) will reflect success include:

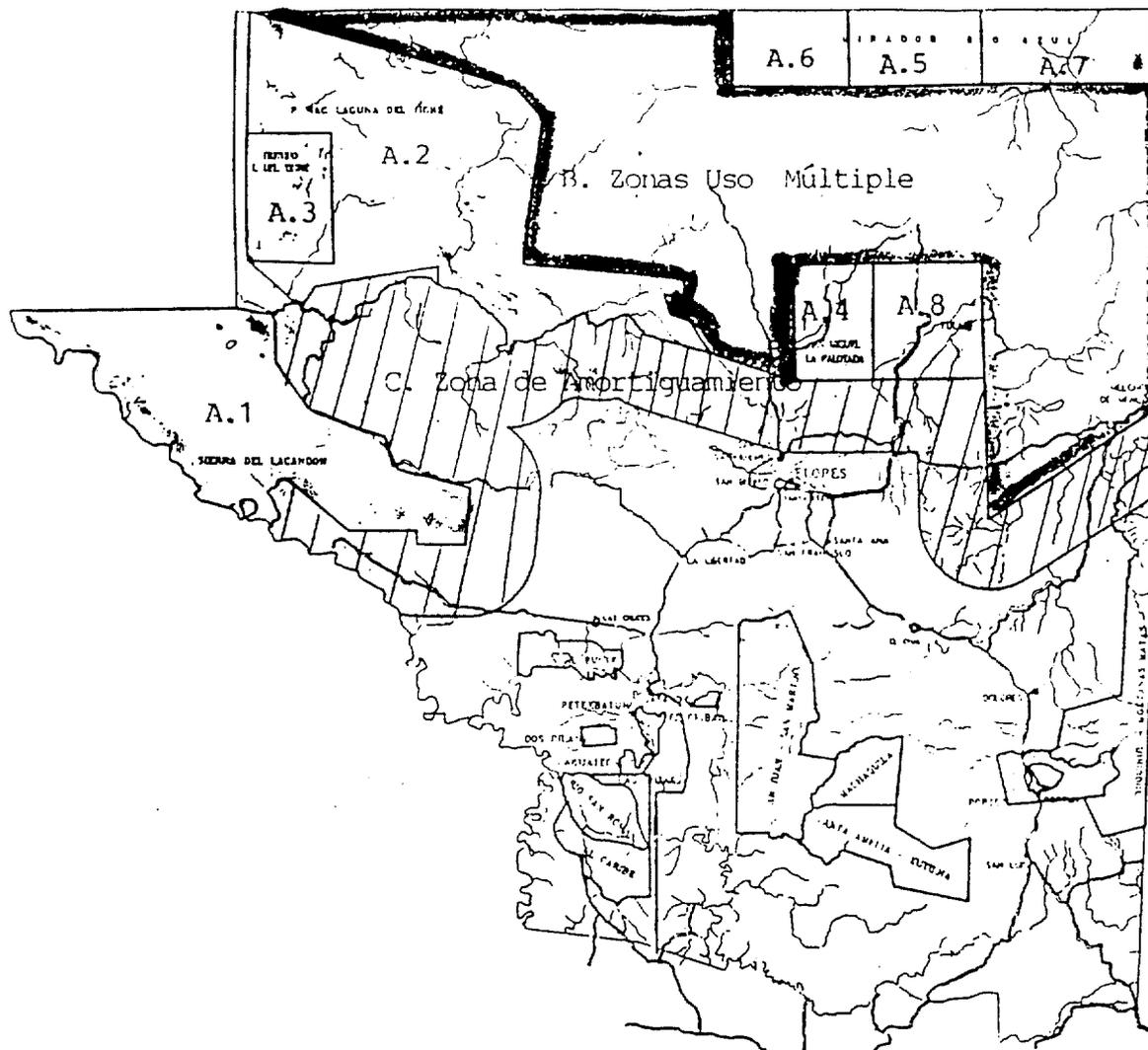
- **Area under improved management:** measurable improvements in the management and protection of 855,000 hectares (2.1 million acres) of priority zones in the MBR.
- **Reduction in historic deforestation trend:** contribute to the conservation of 650,000 ha (1.5 million acres) of natural forest and wetland habitat which otherwise (based on trend data) would have been converted to incompatible uses (primarily pastures, subsistence agriculture and rice).
- **People adopting more sustainable practices:** 15,000 people (50% of the population in the MBR area) make a measurable shift toward more sustainable sources of income and employ practices promoted by the project.
- **Strengthened public and private institutions:** CONAP and at least two, local private entities play more effective roles in MBR management and have viable strategies for sustained financing.

Nearly all funds will be obligated through an umbrella HB 3 Agreement with CONAP, Ministry of Agriculture, Ministry of Finance and the National Planning Commission. This agreement will describe roles and results to be achieved through three different mechanisms: a) an institutional contractor to support GOG activities; b) a small amount for USAID management, audits and evaluation; and c) a series of HB 13 Agreements to continue the most successful activities with NGOs. The competitively selected institutional contractor will also have responsibilities for the national level policy component. Under this Amendment, the contractor will provide technical assistance, logistic support, training and commodity acquisition to GOG counterparts, under a performance-based contract. Activities in Peten will be integrated with the policy component through formal coordination mechanisms and USAID supervision of the contractor. In general, the Peten activities will focus on site-specific coordination and policy/regulatory issues within the MBR, while the policy component will complement these actions through donor coordination, stakeholder participation and conflict resolution at the national level.

RELATION OF MBR TO OTHER PROTECTED AREAS



Proyecto de la Reserva de la Biosfera Maya  
(520-0395)



A. Zonas Núcleo

	<u>Km<sup>2</sup></u>
1. Sierra Lacandona	2,036
2. Parque Nacional Laguna del Tigre	2,890
3. Biotopo Laguna del Tigre	478
4. Biotopo San Miguel	389
5. Biotopo Dos Lagunas	478
6. Parque Nacional Mirador	610
7. Parque Nacional Rio Azul	417
8. Parque Nacional Tikal	<u>550</u>
Sub-total	7,848

B. Areas de Uso Múltiple 8,643

C. Zona de Amortiguamiento 5,017

GRAN TOTAL 21,508

**I. Problem/Opportunity: Setting and Rationale for MBP Amendment**

A. Background (See original PP for details)

The Peten is Guatemala's least developed and most isolated department, encompassing the northern third of the country. In 1990, the Government of Guatemala passed legislation creating the 2.1 million hectare Maya Biosphere Reserve in the northern half of Peten (Of the 2.1 million ha, approximately 780,000 is in core parks, 860,000 in multiple use zones--mostly public lands, and 500,000 in the buffer zone--mostly private lands). In October, 1990, the United Nations formally recognized this vast forest and wetland complex as one of the world's "Biospheres"--an area of unique importance to mankind whose conservation would involve the local population.

The Maya Biosphere Reserve (MBR) is one of the most important protected areas in the Americas due to: 1) its size (four times the size of Delaware) which offers high probability of maintaining ecological functions and biodiversity over the long-term; 2) strategic location, creating the central link between four other major protected areas in Belize and Mexico; 3) its biological diversity including jaguars, tapirs and over half of Guatemala's 664 bird species; 4) its numerous, spectacular archaeological sites including the International Heritage Site of Tikal; 5) its long established tradition of forest conserving extractive enterprises (chicle, ornamental palms, allspice); 6) its RAMSAR convention wetland, in Laguna del Tigre, the largest freshwater wetland in Central America; and 7) the fact that all these are present in one, recently declared Reserve, a new model for parks in Guatemala and the region.

Unfortunately, by the time this frontier region was declared a Reserve, it had become a veritable "no-man's land" under siege. During the late '80s, for example: over 150 square miles of forest burned each year laying waste to the land; Mayan ruins were systematically pillaged by thieves; the population grew an amazing 13% per year (mostly due to migration); hundreds of miles of porous frontier with Mexico and Belize along with systematic corruption and the lack of civil presence and authority made supervision and control impossible; and marijuana production, drug trans-shipments and other illicit activities were on the rise. The combined result of this chaotic situation, is reflected in deforestation trend data indicating that the primary forests will be gone by 2010, taking with them the potential for sustainable income generation based on natural forest management, tourism and other more compatible enterprises.

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Parallel to developing legislation to establish the Reserve, the GOG requested USAID support for management of the area. It was recognized that MBR management would be difficult for many reasons:

- 1) CONAP--with functions similar to the US Park Service and Fish and Wildlife Service combined--was recently established (in 1989) and had no budget, staff nor institutional recognition;
- 2) the socio-economic inertia driving colonization and conversion of forest land to other uses was strong and rapidly increasing as a result of population pressure from throughout Central America and other explicit and implicit GOG policies;
- 3) the local population--disperse, poorly educated and formed primarily of recent migrants (whose ranks increased daily)--were not consulted about Reserve establishment (design, boundaries, planning and management); baseline surveys in late 1990 and mid-1991 indicated that no one in Peten (outside a handful of direct project participants) even knew of MBR existence;
- 4) the Peten lacked GOG civil authority and was still considered a conflictive zone by the military (portions of the Reserve were under the control of opposition forces);
- 5) land tenure and registry--often considered prerequisite to adequate management of natural resources--were practically non-existent; this promoted increasing internal migration due to degradation of fragile lands and repeated displacement of landless poor (the challenges posed by this enormous problem were considered by designers to be far beyond the scope of the project);
- 6) many competing interests vied for access and control of Reserve resources: logging, oil, tourism development, cattle ranching, colonization programs, etc.

While recognizing the tremendous challenges and obstacles, USAID responded favorably to the GOG request. The PP stated: "Despite the numerous risks and uncertainties, it is clear that if measures such as those proposed in the Project are not undertaken, destruction of the unique and invaluable resources of the Maya Biosphere is a short-term certainty."

GOG institutions and national experts participated actively in the final design of the Maya Biosphere Project--MBP (originally called Maya Reserve Management, or MAYAREMA). Given the many uncertainties and complexities, the project design was explicitly flexible in the initial phase. In fact, the original project design did not attempt to correlate the budget with the magnitude of the tasks proposed. Rather, it intended to provide experience

and data to help identify the most effective tasks and approaches for achieving Project objectives. This has been accomplished and is reflected in the present Amendment.

#### B. Initial Project Design and Implementation

The project began as an experimental initiative with ambitious goals, six primary counterpart organizations and many other participants and actors affecting its implementation. **Project actors** include: US non-governmental organizations (NGOs) such as CARE, The Nature Conservancy (TNC), Conservation International (CI), Peregrine Fund, Rodale Institute and Wildlife Conservation International (WCI); smaller, Guatemalan NGOs such as ARCAS, Centro Maya, BioItza; national and regional universities and research centers such as CATIE, CUDEP, USAC, CECON, del Valle University; and Government of Guatemala (GOG) organizations, including CONAP, SEGEPLAN, CONAMA, INGUAT, IDAEH, INTA, DIGEBOS; and local governments (see list of acronyms, pg ii).

The **Project purpose** was to improve the management of renewable natural resources and the protection of biological diversity and tropical forests in the Maya Biosphere Reserve (MBR). The project's initial phase identified approaches for promoting rational use of natural resources in the MBR through three primary components: Biosphere Administration (\$3.4m with CONAP, TNC, Peregrine Fund), Environmental Education and Awareness (\$1.2m with CARE/WCS), and Sustainable Resource Management for Income Generation (forest products, land-use systems, tourism and other small-scale enterprises; \$3.9m with CI, CARE, Rodale). Training, technical assistance and commodities promote the development of new products, markets and value-added enterprises, which are more compatible with the natural resource base and Biosphere status, as well as build supportive local constituencies and institutional capacity to monitor and administer the MBR.

**Project funding** included \$10.5 million in grants from USAID, a \$7.5 million counterpart commitment from the Government of Guatemala, and \$4 million as counterpart from private, international NGOs. CONAP, under Legislative Decrees 4-89 and 5-90, is legally responsible for supervising all activities in the Reserve. There was great optimism about CONAP and the MBR as the project was designed in 1990, due to strong, vocal support from Guatemala's President and visionary professionals leading CONAMA (similar to EPA) and CONAP. The design assumed that the GOG through CONAP would coordinate and supervise the many project participants and serve as the prime counterpart organization for USAID.

While conditions precedent to disbursement were met by the GOG in March, 1991, a change in GOG administration (1/91), complete staff turnover at CONAP (6/91 and again in early '92), and the

planning/contracting procedures required for competitive selection of NGOs, led to a formal start-up of field activities in March 1992, when NGOs and CONAP had most key staff in place. The project successfully completed the start-up phase (work plans, agreements among institutions, logistic support in Peten, staffing, etc) in 1993--a major accomplishment given the difficulties presented by the remote northern Peten (lack of office and communication infrastructure, human resources)--and now (1995) has two full years of implementation under its belt. In general, participating NGOs succeeded in generating community and "stakeholder" participation in relevant activities and discussions: tourism, timber management, extractive enterprises (*chicle*, *xate*, *pimienta*), concessions and agriculture. More rational land-use management for tourism, timber and non-timber products has been successfully promoted by participating organizations (primarily NGOs) and support to the GOG has been essential for increased control over colonization and other illicit activities. These interventions have contributed directly to the conservation of MBR resources.

By 1993, the hypothesis that government presence at key points of entry to the Reserve would deter colonization and forest conversion, had been confirmed. The project assisted CONAP to quickly establish a presence in the area through training, technical assistance, commodities (including 14 new pickups and 18 motorcycles) and support for basic operations. However, a lack of consistent leadership in Peten, communication problems, and lack of effective political and financial support, resulted in a decreasing CONAP presence in these key points from 1993 to present. After the change in GOG Administration in 1991, political support for CONAP diminished.

Many concerns regarding CONAP stem from the fact that, despite being a direct dependency of the Presidency, CONAP has lacked leadership and support from that office. These limitations include: a) constant staff turnover and lack of institutional memory; b) inability to effectively address long-term institutional development and financial viability issues; c) repeated legislative initiatives which threaten to further weaken CONAP and its authority (petroleum contracts, new *chicle* and forestry laws); d) lack of GOG support vis-a-vis other government agencies (refugee and petrol issues); and e) lack of adequately trained professionals in leadership and technical positions, especially in the field (Peten).

Despite these systematic limitations, CONAP made significant progress in Peten, especially in terms of initiating control (for the first time in several years) of illicit logging and wildlife trafficking. Additionally, CONAP's relatively young and enthusiastic staff have earned a reputation for being honest, unlike most other GOG agencies with regulatory and enforcement

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responsibilities (*Guardia de Hacienda*--Treasury Police, DIGEBOS, and National Police in Peten have, with few, short-lived exceptions, maintained reputations for systematic corruption). As a result, CONAP personnel have been the object of constant intimidation and sporadic violence. The military played a critical role throughout the initial phase of the project: CONAP's most successful enforcement and protection actions were conducted with military support; and news reports on many of the most violent attacks on CONAP outposts and staff (e.g. incidents in El Naranjo, San Diego, El Cruce) implicated elements within the military and *comisionados militares* (military commissioned civilians).

USAID suspended assistance to the GOG (including CONAP) in May 1993 due to President Serrano's rupture of constitutional rule. A series of subsequent events (government instability; prolonged vacancies in CONAP leadership positions in Guatemala and Peten; USAID conditionality related to audits and an institutional strategy for sustainability and corresponding work plan), resulted in only \$ 63,250 of USAID disbursements to CONAP in 1993 and none in 1994. Lack of USAID support coupled with a GOG preoccupied with other priorities (signing peace accords and avoiding bankruptcy), left CONAP and GOG support for the MBR extremely weak. Meanwhile, despite positive achievements in specific communities participating in the project, the problematic conditions in the rest of Peten--anarchy, conversion of forest to other unsustainable use, colonization, security problems, etc.--continued to grow more difficult and intense along with the rapidly increasing population. Recently, the situation has become more complicated by the Peace Accords and refugees returning from Mexico (as further discussed in Section F. GOG Issues).

### C. Relationship of Amendment to the Strategic Objective

This project is the principal contributor to the Mission's bilateral Strategic Objective (SO), "Environmentally Sound Natural Resource Management" and SO indicator, "Reduction of deforestation trends in Peten/MBR." Through promotion of measurable improvements in the management of 2.1 million acres of priority zones within the MBR, and other complementary impacts in the rest of the 5 million acre reserve, this project attempts to reduce the historic deforestation trends in the area and effectively conserve 650,000 ha (1.5 million acres) of natural cover (primarily forest and wetlands) from conversion to other, incompatible uses (primarily subsistence agriculture, pastures and rice) by the year 2000. Conservation of this large forest-wetland complex protects habitat for many known, endangered and threatened species (scarlet macaw, jaguar, howler monkey, tapir, etc.) as well as innumerable species yet to be discovered and studied, both in the MBR and the other important reserves in Mexico and Belize which it interconnects.

In addition to forest cover data, the project measures performance towards this SO through indicators such as: increased land area under improved management; people employing more sustainable land use practices; public and private institutions playing more effective and sustainable roles in support of natural resource management; and improved policy regime promoting sound ENR management (see Bilateral Action Plan--all numeric data in the ENR SO tables derive from this project--the Log Frame in Annex 1 and Monitoring System data in Annex 13 for more detailed discussion of the SO and Project indicators).

The Maya Biosphere Project and Amendment also contribute significantly to the Mission's **regional SO** and indicators. For example, performance data on conserving forest cover in the MBR have been reported as the regional indicator for the past two years. This relationship will continue and be expanded beyond deforestation trends to periodically contribute performance data to the regional SO on financial self-sufficiency of parks, enforcement actions, demarcation, policy regime improvement, and other indicators as requested by the regional SO team.

#### D. Project Evaluation, Follow-Up

To guide project planning, numerous internal assessments (11/92, 3/93, 11/93, 6/94) and an independent external evaluation (8/94) were conducted. The external evaluation verified that, "the project has been and will continue to be a learning process. During its first three years, the MBP has achieved many of its objectives and has made progress towards other objectives. There can be no doubt as to the effort, dedication, and enthusiasm for the MBP demonstrated by the national and international participants in the project." The evaluation also indicated that, "The MBP has a solid design, whose objectives and activities show a high degree of internal logic and coherence" and that initial project implementation served to better define appropriate tasks and most effective approaches. However, the evaluation also recommended several important modifications which are incorporated into the design of this Amendment:

- Significant increases in resources within appropriate time frames must be provided to achieve established objectives.
- Successful and promising activities should be continued and refocused or expanded to target priority core zones: environmental education, agroforestry extension, natural forest management and community-based concessions, and creative income alternatives (similar to the *Eco-Escuela* and *potpourri*).

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- The project should be restructured and decentralized to the Peten, with a focus on management and protection of priority core zones (parks) and the most important threats to their integrity. Physical presence in core zones is an effective and necessary component which must be strengthened, institutionalized and broadened to involve local communities.
- Many of the major threats to the MBR are external in origin and are policy related: 1) weak political support; 2) lack of clear policies and enforcement on colonization, settlement and land tenure; 3) lack of formal mechanisms to get stakeholders (including municipalities, army, church) involved in major decisions affecting environmental quality; 4) conflicting policies and legislation regarding authorities and responsibilities in the ENR sector (eg. refugees, timber management, oil exploration, enforcement roles, settlement in fragile lands, road construction and improvements); 5) lack of clear fines, penalties, and/or precedents for prosecution related to environmental offenses; 6) implicit and explicit policies which motivate behaviors opposed to stated policy objectives regarding the environment, and 7) systematic corruption. These are to be addressed with support from a new policy component, authorized Aug/94.
- Each international organization should have a phase-out strategy for continuing necessary programs after USAID resources expire in 2000. The strategies should strengthen and identify viable long-term funding for local NGOs, municipalities, community groups and other local collaborators.
- Other interventions which should be amplified and/or intensified to more directly address the threats to priority core zones include: compatible economic alternatives based on forest products and value-added processes; park zoning, demarcation and protection; land-use planning and application; agro-forestry and sustainable agriculture extension; training of municipal and community leaders; technical assistance and strengthening for CONAP and other GOG entities with key roles; community forest management concessions and other interventions which improve land tenure/security; development of eco-tourism and related services; and credit for compatible activities.
- Support to CONAP should strengthen its normative, planning and coordinating roles rather than implementation, through improvements in personnel, administration and finance.
- Other key GOG entities should be more actively involved in the project and strengthened similar to CONAP: CECON, IDAEH,

INGUAT, MAGA-INTA/DIGEBOS. Also, influential power brokers in the area (military, church, private sector) should have more participation in MBR decisions.

- Core areas need to be managed in the field by organizations characterized by local support, budgetary flexibility and responsiveness. Relationships among institutions, roles, and rules of the game must be clearly defined through contracts and written agreements.
- Activities which should be phased out include: specialized research in soils, pasture, livestock; university curriculum development; and all activities dispersed outside of the priority target: those living in or having a direct impact upon the core park zones in the MBR.

Annex 5 presents evaluation recommendations, status, actions to be taken, and responsible parties.

CONAP, USAID and project implementors met after the evaluation to reorient project-funded activities. Two geographic areas which previously received minimal project assistance (Sierra Lacandon and Laguna del Tigre) were prioritized by CONAP; 1995 work plans were adjusted to incorporate them to the degree possible under present agreements. It should be noted that areas prioritized are, by definition, very challenging areas in which to work, because they are the areas under the greatest present threat. Also, these two areas were targeted by Guatemalan refugee committees as potential resettlement zones. Therefore, the project has begun to address refugee and resettlement issues in the MBR area (something not contemplated in original design).

To assist in the development of this Amendment, USAID invited implementors to present proposals for continuation based upon detailed, results-oriented program descriptions customized for each collaborator.

#### E. Rationale

USAID/G-CAP activities in agriculture and natural resources are guided by: ongoing monitoring and evaluation of field experiences; a Natural Resource Management Strategy developed in 1992; and host country priorities set forth in legislation creating the Guatemalan System of Protected Areas and CONAP (Guatemala's version of a National Parks, Fish and Wildlife Service). The Strategy directed new funding toward integrated activities in: 1) policy, 2) parks/protected areas and 3) sustainable agriculture. The analytic process which led USAID to support the MBR in 1990 included:

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- a) Determine areas of greatest ecological importance (biodiversity, size permitting sustainability, ecological services, socio-economic impact, etc.)--MBR was first priority;
- b) Conduct a threat and opportunity analysis for each priority area, including an assessment of resources, intentions and priorities of the GOG and other donors (the second priority, Sierra de las Minas, had support from Parks in Peril and RENARM);
- c) Estimate marginal impact USAID support could have in the highest priority areas, looking to maximize the impact of our resources--again, MBR was first priority (no other donor was interested in 1990); and
- d) Within selected geographic focus, identify strategic TYPES of intervention (policy, field activities, etc.), to achieve the basic objective--conservation of biodiversity and habitat. It is understood that this objective can be achieved only through participation of the people living in, and/or having an influence on, the selected areas, and by demonstrating viable economic alternatives to current unsustainable practices.

This process targeted the MBR as the top priority in 1990 and the factors of analysis have not changed significantly, except that now, we have valuable experience and information which helps direct resources toward the most effective activities.

During project implementation, the same types of criteria were applied within the MBR area. Additional information generated by field work helped identify priority zones within the MBR based upon biological/ecological importance, threats and opportunities. This resulted in the following priorities: 1) Sierra Lacandon, 2) Laguna del Tigre, 3) Mirador-Rio Azul, 4) Yaxha-Nakum triangle and 5) Zotz-Tikal. Thematic priorities are: park administration and sustainable resource management (including multiple use and buffer zones affecting the parks) stressing local and private sector participation; an improved policy setting (in coordination with democracy/administration of justice activities); and environmentally and economically sound income alternatives with high potential for replication. While USAID and its collaborators have made impressive progress in the face of formidable challenges in the Peten, this Amendment is crucial to focus, consolidate and institutionalize programs with increased financial self-sufficiency.

### F. Relation to GOG Strategy/Issues

In its strategy for public sector investment 1994-1996, the Government of Guatemala defined three priority areas: a) combat poverty; b) support the development of productive activities; and

c) protect the environment. With regard to the latter, the GOG strategy again places emphasis on environmental management which is conducive to alleviating poverty: soil and water conservation; forest management; control of environmental pollution; developing stronger environmental awareness and education; and the incorporation of environmental considerations into the development of policy and decision-making on public investments. Additionally, the present GOG administration has placed strong emphasis on decentralization and delegation of authorities to municipalities and to private, local organizations through concessions, contracts and *patronatos*. The MBP supports this strategy more directly through the present Amendment. However, public sector workers have been resistant to these changes, especially in public agencies with formal unions.

A series of recent international agreements signed and ratified by Guatemala--CONCAUSA, Central American Convention on Biodiversity, the Rio Conventions, RAMSAR, CITES, etc--commit the GOG to protect biological diversity and improve protected areas management. But Guatemala has few resources to support implementation and compliance. The MBP assists the GOG to meet these commitments in its highest priority region.

**CONAP** is still a young, weak organization. It has suffered due to the conflicting interests represented on its 13 member board (the national council). But its executive arm has developed an innovative institutional strategy (Annex 6) which includes delegation of authorities for field management to private and local entities. The strategy also lays out plans for improving CONAP's financial viability through concession and contract arrangements. This is fully consistent with evaluation recommendations and one objective of this Amendment is to support implementation of these aspects of CONAP's strategy.

Consistent with GOG policies for decentralization, the Ministry of Agriculture (**MAGA**) recently established a new Vice Minister specifically for the Peten. This unprecedented situation was not foreseen in the original design. The Vice Minister is the highest GOG authority with physical presence in the region and has direct control over key agencies linked to MAGA: **INTA** (land titling), **DIGEBOS** (forest management), and several agricultural extension agencies and programs (including **ProFruta**).

INTA's role is especially important since it has tremendous influence over colonization incentives, patterns and eventual recognition of land rights, through the **Peten Land Commission** (presently conformed by INTA's President, the Vice Minister of Agriculture for Peten, SEGEPLAN and the president of the Mayor's of Peten). The MAGA Agenda for the Peten includes several areas which will be supportive of project objectives if managed in a

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transparent and consistent manner. Given the importance of MAGA and INTA activities to project success, this Amendment includes MAGA/INTA more directly as a beneficiary and participant.

**CECON** (the National University's Center for Conservation Studies): While CONAP has oversight and coordination responsibilities for the overall MBR, CECON is legally charged with administration of three "biotopos" forming part of the core zones: Laguna del Tigre, Dos Lagunas and Zotz (see map in introduction). CECON is also a legal Council (board) member of CONAP, and is one of five formal members of the MBR committee established by decree 5-90. CECON, despite perennial difficulties in obtaining minimal operational budgets from USAC for Peten, has managed to maintain a limited physical presence (2-6 guards) in or near the *biotopos* over the past five years. Multiple efforts by donors to support CECON in developing an institutional strategy which defines viable funding mechanisms for management of *biotopos*, have not been successful to date. USAC has insisted that no fee be charged for visitors/users of *biotopos* and CECON has not been able to establish an independent budget for *biotopo* management.

**IDAEH** the Institute of Anthropology and History, has a similar relationship to CONAP and the MBR as CECON. IDAEH is charged with protection of all archeological and cultural sites in the nation and administers Tikal National Park, the oldest and best protected park in the country. While Tikal generates more income at the gate than any park in Central America (approx. \$500,000 in 1995), and has received significant support from many governments and UNESCO as an International Heritage Site, its administration has been problematic due to IDAEH's fractured organization (three independent units work in an uncoordinated and often combative manner in the MBR: Park Administration, Tikal Project, Cultural Monuments), multiple unions, and consistent complaints of corruption.

**INGUAT** promotes tourism and related services nation-wide and recently established an office and program specifically for Peten. INGUAT is interested in promoting more private sector involvement in the MBR through formal concessions to support tourism.

**CONAMA** has a primary role in environmental policy issues and will participate through the policy component of the project to support sustainable development nation-wide as well as the MBR policy agenda. CONAMA is also responsible for assuring that Environmental Impact Assessments are properly conducted and receive appropriate approvals, including CONAP's for activities affecting parks.

**Municipalities** are the strongest, democratic institutions in the region and project implementors have been encouraged to work with them, with mixed results to date. One of their critical functions

vis-a-vis the MBR is that of approving or denying new settlement and communities within their jurisdiction.

**SEGEPLAN** officially coordinates donor investment at national and regional levels through formal reviews and approvals on international assistance agreements and its planning and coordination functions. SEGEPLAN participated in the original project design and approval and the project has maintained close contacts with the SEGEPLAN/Peten office, which serves as a forum for donor coordination and conflict resolution in the region.

SEGEPLAN-Peten also serves as the secretariat for the Regional (Peten) Development Council (*Consejo de Desarrollo*) the highest level governing body at the regional level. The *Consejo*, presided by the Peten Governor, includes representation from each GOG line ministry, the mayors, and local NGOs. It has a mandate to prioritize, coordinate and monitor public sector investment in the region.

A number of special agencies and funds designed to support the return of refugees from Mexico (**CEAR, FONAPAZ, FORELAP** etc.) have a direct impact on management of MBR resources. These agencies, the **Peace Accords** and their implementation, are especially important because returnee organizations have targeted areas within the MBR as resettlement sites, including land in Sierra Lacandon National Park, Laguna del Tigre National Park and the MBR multiple use zone. One large group of returning refugees recently purchased and moved into the El Quetzal cooperative (now called Union Maya Itza), in Sierra Lacandon. Also, about 100 families in a self-denominated "Community in Resistance" recently made its presence in the Sierra Lacandon National Park public and vowed to "continue to protect the park from illicit loggers, looters and others who would destroy the forests."

The Ministry of **Defense** is a critical actor in Peten; the military is the most powerful institution in the region and from the 1950s to 1989, was directly involved in (if not in charge of) all aspects of development through FYDEP: colonization, land titling, commerce, public works, etc. The military also maintains a strong presence due to the ongoing armed conflict in Peten. Much of the illicit activity in the MBR area appears to involve individuals who enjoy some degree of military protection. However, the military has increasingly tried to demonstrate its support for the MBR through joint control operations with CONAP and other actions. If, as expected, a Peace Accord is signed soon, the military will be under intensified pressure to justify its size and presence in the Peten; it is likely to present "forest protection" as one such justification.

Armed opposition forces are greatly responsible for Sierra Lacandon being one of the most pristine areas in the MBR today. URNG forces have maintained sporadic activities throughout the Peten, but primarily in the areas south of the MBR (Santa Ana, San Luis, and main roads used by oil trucks and commerce). Road blocks and intimidation are often used to collect "war taxes" although it is often unclear whether the perpetrators are related to the URNG, military or are merely common thieves. To date, these rare occurrences have not created unmanageable obstacles to project implementation.

Other ministries such as Energy and Mines (MEM), Public Works (MOP), and Foreign Relations (MRE) have direct influence on the reserve related to oil, road infrastructure, and proposed new border developments within the MBR, respectively. In order to improve enforcement, CONAP has worked increasingly with the **Public Ministry** in activities to deter illicit logging and wildlife trafficking. The USAID Administration of Justice Project is expected to complement MBP activities by strengthening the Public Ministry unit in Peten as one of its pilot activities.

The overlapping, sometimes conflicting, and certainly complex, roles and relationships of the various GOG institutions will be addressed in collaboration with the policy component at the national level. As described in the Policy PPS, this will involve formal coordination through CONAMA and SEGEPLAN and issue-oriented fora and conflict resolution processes through NGOs and other private groups.

**Fora for Coordination and Policy Dialogue:** In the Peten, the project will continue to develop formal mechanisms for participation at two levels: the overall MBR/Peten and at the level of each major park unit (Regional Support Committees, or CORAREMAs). The latter is a recent development recommended because of the large size of each unit, the tremendous differences in the socio-political setting and issues facing each unit, difficult or nonexistent communication infrastructure and distances between units (from the Bethel outpost in Sierra Lacandon Park to the outpost at Rio Azul, is a 2-3 day, 350 km journey).

At the MBR/Peten level, the project supports the following formal coordination mechanisms:

- The **Consultive Committee for the MBR** is the group most active and directly interested in MBR issues. It has formal statutes defining membership, roles and internal functions. It is comprised of 13 organizations which have active projects and funding within the MBR, and regularly invites other parties with influence or interest in a specific issue to be discussed. This group provides recommendations to CONAP and

other GOG authorities (military, consejo del desarrollo, etc.) to address pressing issues and problems affecting the MBR.

- The **MBR Coordination Committee**, established by decree 5-90 and presided by CONAP, by law includes the army base commander, the air force base commander, IDAEH and CECON. CONAP is authorized to include other members. This committee is supposed to support resolution of legal, boundary and other enforcement issues, but has not functioned successfully. Its reactivation is supported by the Amendment.
- The **NGO Coordination Forum**, hosted by SEGEPLAN each month, is intended to foment coordination and information sharing among all NGOs and projects in Peten. This group elects the NGO representative to the *Peten Consejo de Desarrollo*.

Internal project coordination is discussed in section III, Implementation Arrangements.

#### G. Relation to Other Donors and Projects

USAID is the single largest donor and catalyst to date for the Maya Biosphere Reserve Project, with the GOG and the US NGOs also contributing significant resources. Other donors are supporting improved MBR management indirectly through activities with a broader focus (such as German-KfW support for an Integrated Regional Development Plan through SEGEPLAN, and IUCN support for community development and clean water with ARMSA) or those with narrower focus (such as MacArthur Foundation and WWF support for CECON, Austria with the BioItza and Nordic support for OLAFO/CATIE in one part of the multiple use zone).

MBP implementers are working closely with SEGEPLAN and IDB on two new initiatives (1995): the \$5 million multilateral investment fund (MIF), to support private sector initiatives compatible with the environment such as ecotourism and artisanry; and a sector loan (\$16.5 million from BID and \$2 million counterpart, in the first phase) to support selected components of the Integrated Peten Development Plan. The latter will focus on: a) cadaster and land tenure clarification in and around protected areas, including the MBR; b) protection of three mayan sites (Petexbatun, Yaxha-Nakum triangle and Motul-Chachaclun--latter two in the MBR area); c) pilot agro-forestry and forestry projects (building on MBP initiatives and transferring them to other parts of Peten); and institutional strengthening of selected municipalities and regional organizations in Peten (See Perfil II of March/95, Annex 7).

MBP implementors such as CARE, Centro Maya, Peregrine Fund and ARCAS have also been working with SEGEPLAN on the German-KfW funded

"ProSelva" project to protect and manage the three remaining patches of public forest lands in the southern half of the Peten.

Other areas of ongoing coordination include: the EU with its program to stabilize the agricultural frontier (Melchor-Maya Mountains region along Belize border); the U.K. (proposed road construction in Peten); the Scandinavian countries (forest management in numerous projects throughout the country including implementation of portions of the USAID-funded Tropical Forest Action Plan--TFAP); Japan (machinery for construction and waste disposal, environmental studies); the World Bank (land registry reforms--now shelved, agricultural technology and a proposed sector program); the UNDP/UNHCR (refugee/resettlement); and the IDB (as mentioned above, and institutional strengthening of CONAMA). Many donors (especially European) have programs in place or on line to support the peace process, including the repatriation of refugees and reintegration into society of other internally displaced groups. There is growing potential for conflict between the demand for land for permanent settlement of these groups and the environmental legislation of Guatemala, especially that which created a national system of protected areas. This, therefore, represents a key area for donor coordination. The policy component will support institutionalized mechanisms for such coordination oriented towards conflict resolution and consensus building. The Policy Component activities will complement the MBR-focused donor coordination (discussed earlier) through its work with CONAMA and SEGEPLAN at the national level.

## II. Description of Activities

### A. Project Goal, Purpose and Modifications

The **project goal**, "to support sustainable economic development through the rational management of renewable natural resources" and the **project purpose**, "to i) strengthen Guatemala's capability to effect environmental policy improvements that will have a nationwide impact and ii) improve the management of natural resources and protection of biological diversity in the Maya Biosphere Reserve," remain as established in the previous Amendment for the Policy Component. This Amendment focuses on the second part of the purpose statement, in the MBR. Activities are organized into three principle components consistent with the original design: Biosphere Administration, Environmental Education and Sustainable Income Generation. Under this Amendment, however, these interventions are organized by priority geographic area and customized for each. The major changes reflect the knowledge gained in the first three years of field work, permitting USAID to be more specific and focussed in defining interventions and targeted results. These activities (summarized in Annex 12), are

described below along with principal modifications since the original PP.

Note that objectively verifiable **results** have been quantified in association with each activity. These result targets are based upon field experience and USAID design expectations. The final quantification of results will be adjusted to reflect the cumulative products of the contract and NGO agreements, to be negotiated by USAID after this Amendment is authorized.

#### B. Strengthen MBR Protection and Administration

The institutional contractor (for Sierra Lacandon) and NGOs (for most other priority areas), will support core zone administration, planning and coordination. Collaborators will develop, implement and provide periodic progress reports on a strategy for financial self-sufficiency of core zones. Implementors will also promote increased on-the-ground management presence so that park boundaries are respected and help provide the minimum infrastructure, staff and other resources required for the management and protection of 650,000 hectares of natural habitat, primarily forests and wetlands. Primary actions and results include:

1. The development of agreements among stakeholders (CONAP, CECON, IDAEH, municipality, NGOs, etc--depending on key actors in each zone) will clarify via formal concessions, contracts and compatible agreements, the effective delegation (from central GOG to private and or local organizations) of management responsibilities and authorities (including generation and reinvestment of income) for the administration of core park zones. CONAP will receive support to strengthen its planning, coordination and normative roles (especially concerning EIS processes for roads and other infrastructure, tourism developments, petroleum issues, law enforcement, private concession oversight, fire control campaigns). Training, commodities and technical assistance will improve personnel, administration and financial management systems. Other key GOG entities--CECON, IDAEH, INGUAT, MAGA (INTA/DIGEBOS)--will also receive support to fulfill their roles in MBR management. In many cases, this may require the preparation and approval of public bid documents (RFPs) including management plans or guidelines, for concession-based administration of areas; and support for the subsequent contracting, approval and monitoring process. **Result:** Administrative authority and responsibilities clearly defined and legally delegated to most appropriate organizations.

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2. The delegate organizations mentioned above will be assisted to refine zoning and detailed operational and management plans for each unit of the core zones. Assistance to the GOG will improve its planning and coordination actions (update and implement programs of the MBR Master Plan) and capacity to review, modify and approve plans and environmental impact assessments submitted by third parties. **Result:** Management plans for each core zone and overall MBR Master Plan are completed/updated and approved by appropriate GOG authorities (CONAP, CECON, IDAEH).
3. A team approach will be developed to improve and apply incentives and disincentives (policy, economic, enforcement) in support of core zone protection and compatible use of bordering areas (CONAP, MAGA, IDAEH, *Muni.*, *Min. Publico*, *Guardia de Hacienda...*). The effective operation of the "Comite de Apoyo" (made up of key stakeholders--community, religious and business leaders, NGOs and CONAP--in each core zone) will be supported to address threats, management issues, donor coordination and assure that its recommendations are channeled to appropriate entities (CONAP, enforcement authorities, *Consejo de Desarrollo*, etc.). Local leaders will stay in touch with each other and the issues of the area and their recommendations will be considered by other decision makers. **Result:** Local leaders actively participate in park oversight, management decisions and resolution of conflicts.
4. The demarcation of park sub-units/zones will be completed with community support, beginning with priority southern boundaries under colonization pressures. **Result:** 1,000 Km demarcated with signs; boundaries recognized and respected by communities (Note: CONAP/TNC have already demarcated 180 km of the southern exterior MBR limits).
5. Delegate organizations will receive support to establish a physical presence in the parks which deters incompatible uses. **Result:** colonization and conversion of natural cover to agriculture decreases: area of incompatible use decreases over time contributing to conservation of 650,000 ha of forest.
6. Delegate organizations will receive assistance to install appropriate minimum infrastructure and staff for priority management/protection activities. **Result:** 4 visitor/admin centers, 8 control posts, 100 staff equipped and on-site in core zones; adequate control/communication system functioning.

7. **COMMUNITY INVOLVEMENT IN PARK CONSERVATION:** Each community on the park frontier (see Annex 10) will have an acceptable agreement signed with CONAP describing their privileges and responsibilities (as a condition for continued project support). **Result:** approximately 30 border communities actively support park conservation; incursions for agriculture and other incompatible activities diminish (as compared to baseline for each park, in terms of area, frequency, and specific cases).
8. **DEVELOPING SUSTAINABLE FINANCIAL RESOURCES.** Financial management strategies designed to cover operational costs as USAID resources are phased out, will be developed for each core zone. Endowments, debt swaps, gate fees, concession contracts, excise taxes focussing on less desirable land uses, "joint implementation" proposals for carbon sequestration and airport fees, are a few of the potential sources of financing to be considered. **Result:** Endowments and other sustainable sources of income cover essential operational costs of each park; at least \$2 million will be invested in an endowment to support core zone management.
9. **ACQUISITION OF INHOLDINGS:** **Result:** Negotiations will support the transfer to local conservation organizations, of at least three priority private inholdings in the parks.
10. **ECOLOGICAL MONITORING:** A Biological Monitoring and Evaluation System (designed in 1995 for the MBR) will be implemented with the participation of local counterparts. It includes two levels of sophistication at which monitoring can be conducted (by resource guards and by skilled field biologists). On-going monitoring will identify critical areas for strict protection of endangered species, providing maps, recommendations, justifications, and guidelines for management. This information will assist CONAP and GOG to refine the internal zoning. **Result:** Annual reports on the "State of Biodiversity in the MBR" will increase public support for MBR and inform decision makers.

C. Environmentally Sound Economic Alternatives

Implementors will work with the 30,000 people living in approximately 50 communities bordering priority parks with the following goal: at least 40% of the households will make a significant shift in primary sources of income, toward more sustainable, environmentally sound alternatives promoted by the project. All USAID-funded activities will comply with the recommendations of the approved Environmental Assessment; forest management activities will implement the EA Mitigation Plan (Annex 8). CONAP, other GOG entities and municipalities will receive

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technical assistance, training and commodities to support them in their supervisory and regulatory roles. Specific project activities and results include:

1. **NATURAL FOREST MANAGEMENT CONCESSIONS:** Support planning, organization and coordination as necessary to design, obtain CONAP/GOG approvals, and initiate execution (mitigation and monitoring), of forest management plans for at least 5 community/groups (e.g. Cruce, Carmelita, Uaxactun, Bethel, Santa Rosa, Tecnica, Lucha, Union Maya-Itza). Forest management plans will emphasize non-timber products and provide clear delegations of authority for local management. **Result:** approximately 100,000 has. of forest is under approved management by priority communities, employing over 100 people.
2. **COMMUNITY BASED ECO-TOURISM:** At least five appropriate tourism routes/destinations, owned and managed by local people, will be developed in an environmentally sound manner. **Result:** at least 100 families from priority communities receive income from eco-tourism activities which support conservation and protection of priority MBR zones.
3. **OTHER COMPATIBLE INCOME-GENERATING ACTIVITIES:** Consolidate business management, ownership, marketing, resource protection and management plans, and other aspects as necessary to leave the enchanted gold, potpourri, natural dyes, *EcoEscuela*, *Posada Bethel*, and other businesses already initiated, in local hands and with high prospects for sustainability.

Support the establishment of 5 new, local enterprises related to xate, chicle, allspice and/or other non-timber forest products. These businesses will be owned and managed by members of priority communities, providing income to at least another 100 families. This will focus on value-added processes and include TA and training in business organization, production, management, marketing and resource protection. **Result:** 150 families receive income from forest conserving, environmentally sound, small businesses.

4. **SUSTAINABLE AGRO-FORESTRY SYSTEMS:** Using a participatory approach, assist four cooperatives and 2500 farm households in communities bordering the core zones of the MBR, to prepare land use management plans or identify appropriate agroforestry systems, for 4,000 has. These will incorporate green manures and other types of soil regeneration, agroforestry, tree nurseries and sustainable land use practices developed and validated by the project. Promote and monitor implementation of the plans. Also, private

sector mechanisms for providing sustainable TA shall be investigated (FEAT). **Result:** integrated land use plans completed and being implemented on 20,000 has., including 1,000 has. of agroforestry, reforestation and forest recuperation.

5. CREDIT: A credit strategy will be developed and adopted to provide incentives for sustainable land use practices and other, environmentally compatible sources of income, in priority communities.
6. LAND TENURE ASSISTANCE: Land tenure and colonization policies will be improved and at least 200 families in communities directly bordering core zones will receive legal assistance for titling their parcelas. (Legal assistance will be conditioned on preparation and implementation of land use plans/agroforestry practices and agreements with CONAP as noted above). **Result:** Improved policies guide future settlement and at least 200 normalized parcelas titled and demarcated with the collaboration of the families involved.

D. Environmental Education and Awareness

All environmental education activities will be integrated with the objectives/activities supporting appropriate land use, conservation of habitat and protection of core zones in the MBR. Environmental education will not be an independent activity.

1. All schools bordering priority park areas (Annex 10) will have an environmental curriculum supplement and teachers trained in its use, including special information on the MBR: what, where and why it is important. School programs will also include practical demonstrations of improved land management (e.g. organic gardens). **Result:** 50% of school children will show knowledge of what and where the MBR is and why it benefits them.
2. A series of awareness and policy campaigns to promote broad public support for key corrective measures related to MBR management will be developed and coordinated, including: a) policies which effectively prevent fires and colonization in the "intrinsic core zones" (as zoned by consultative committee for MBR); b) policies which create strong disincentives for non-compatible (unsustainable) land use within the MBR, while facilitating sustainable alternatives; and c) other key issues. Issues will receive broad press coverage to generate public support for corrective measures. Issue-specific campaigns will be designed and conducted for each case. Policies will be assessed and improvements

identified with participation and support from all key stakeholders, be ratified by CONAP and the *Consejo de Desarrollo*, and enforced with energetic support from the local population. **Result:** at least 50% of the 30,000 people living in areas bordering priority parks, will be knowledgeable and supportive of the MBR, and 40% will have demonstrated that support through at least one change in behavior promoted by the project.

E. Cross-Cutting Activities

In addition to the activities noted above which have been designed according to specific needs in each priority core zone, a number of other activities will be supported which have a cross-cutting impact on the entire MBR and future sustainability.

1. LOCAL INSTITUTIONAL STRENGTHENING: Local organizations will be strengthened in their capacity to continue project activities after the USAID program is complete in 2000 (municipalities, local NGOs and others with defined roles in the administration/oversight of priority parks). Specific target organizations include cooperative and community groups developing concessions, ARCAS, ProPeten, Centro Maya and BioItza (support for a traditional medicine nature reserve). **Result:** Selected organizations will demonstrate sufficient technical, administrative and financial capacity to be recognized as influential actors in MBR management, attract support from diversified sources and make measurable progress toward financial self-sufficiency.

Municipalities are included in the above and, given their important role, will be eligible to receive funding for small projects which directly promote management and protection of core zones, including the following: incentives to relocate people out of parks; municipal park guard training, equipment and infrastructure; municipal zoning and land use plans which respect and support park boundaries; improved regulations and application of incentives for sustainable land use (excise taxes on incompatible production); cadasters along park boundaries; supervision of forest concessions in compliance with the EA mitigation plan; and rehabilitation of degraded park zones. More information and criteria are presented in Annex 11. **Result:** Municipalities actively support MBR protection and management.

Note: institutional strengthening at the national level which complements activities in Peten will be supported by the Policy Component (see previous PPS).

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2. **MBR ADMINISTRATION AND OTHER POLICIES:** Policies, procedures, technical guidelines and protocols will be developed based upon active participation of stakeholders, enjoy local support, and be approved by CONAP for contracting and supervising private concessions and other resource use in the MBR (tourism, agriculture, petroleum, non-timber products, etc.). As these policies and regulations are ratified, they will be integrated into the MBR Master Plan. **Result:** improvements are made on these and other targeted issues (see Table 1), in collaboration with the Policy Component.
3. **POLICY-ENFORCEMENT:** In collaboration with the policy component and appropriate institutions (Public Ministry, *Consejo de Desarrollo*, CONAP) a private, legal defense fund for the environment will be established to provide training to local authorities, follow-up and assistance on enforcement issues involving the MBR. MAGA will support coordination for enforcement of laws and regulations related to logging, unauthorized colonization and land tenure issues. Also, CONAP will develop and approve strengthened strategies for control and enforcement related to priority threats to the MBR (logging, settlement, oil/roads, inappropriate cattle expansion, etc.). **Result:** improved enforcement and follow-up increases the application of appropriate penalties (increased % of infractors receive sanctions).
4. **CREDIT POLICY:** In collaboration with the policy component and other donors, the terms and availability of credit will be modified to increase incentives for forest management and other more sustainable land use in the MBR, and decrease subsidies for production which is incompatible with land use classification and capacity. **Result:** The new policies will be adopted and promoted by at least one GOG and one private lending program; at least \$1 million (leveraged from other sources) will be made available under the improved terms.
5. **COORDINATION MECHANISMS** will continue to be supported and institutionalized at the MBR level through the Coordination Committee, NGO forum and the Consultative Committee, and at the park unit level through the Support Committees, as described in Section I.F. The policy component will complement MBR activities through institutionalized coordination at the national level, including formal donor coordination mechanisms. **Result:** A focussed strategy for protected areas management will be supported by GOG and donors.

MAYA BIOSPHERE PROJECT PETEN POLICY CHANGE AGENDA

(March 1995)

MANAGEMENT OF PROTECTED AREAS	Institutional strengthening of GOG and collaborating organizations. Progress in delegation of field level activities. Systematic Interinstitutional coordination. Increased sources of funding for CONAP and MBR management. Integrated planning for MBR.
DEMOCRACY AND DECENTRALIZATION	Improved law enforcement/ codification/ application. Support from local authorities (mayors involved with the MBR). EIAs rationally developed/applied. Community participation in Regional Dev. Councils
SUSTAINABLE ECONOMIC ALTERNATIVES	Incentives for ecotourism increase. Incentives for handicrafts increase. Incentives for other value-added processes. Adequate control/management petrol/mining industries.
LAND TENURE	Cadastral improvement. Community concessions granted. Small holders titled.
SUSTAINABLE AGRICULTURE	Incentives for compatible land use. Incentives for soil improvement (green manure).
FOREST MANAGEMENT	Concessions systems improved. Management of non-timber products improved. Reforestation increases. Legislation clarifies public sector authorities/protects SIGAP.
INDIGENOUS COMMUNITIES	Support for community land titling. Incentives to rescue traditions.
WILDLIFE PROTECTION	Cinegetic Plan for hunting. Improved law enforcement and control.
POPULATION/GENDER ISSUES	Decrease immigration to the MBR and protect parks from unplanned settlement. Reduction of gender disparities. Maternal Health/Family Planning services offered.

NOTE: progress is evaluated each year through the independent monitoring and evaluation contract.

F. Conditions Precedent to Disbursement

As a Condition Precedent to support from USAID or the institutional contractor to any beneficiary organization (CONAP, CECON, IDAEH, MAGA, etc.) under this Amendment, such organization shall demonstrate that a Peten-based representative with clear, legally established delegation of authority to make decisions for the project, is named and accepted by CONAP and USAID. Other standard CPs relating to the GOG opinion of the legality of the Agreement and signature samples, will also be included in the HB3 Agreement. These CPs shall not apply to the emergency HB13 bridge funding authorized under the Amendment.

G. Criteria for USAID Support

Additionally, prior to receiving direct material and technical support under the Amendment for anything other than achievement of the criteria listed below, organizations with park management responsibilities (CONAP, CECON and IDAEH) and others as noted below, shall demonstrate:

1. For any specific core zone under an organization's jurisdiction, a qualified individual is named and has formally defined responsibilities and authorities related to park administration and supervision.
2. Agreement to participate on the MBR coordination committee, through the Peten representative.
3. A strategy for the effective delegation to private, local organizations, of management responsibilities and authorities for the administration of core park zones is adopted (including generation and reinvestment of income and privately managed endowments).
4. A life-of-project implementation profile with a counterpart budget which reflects established geographic and thematic priorities, and results identified in the Project Agreement, is accepted by CONAP and USAID.
5. All technical advisors provided by the project will have a formal counterpart named and accepted by USAID or its delegate in Peten.
6. CONAP will:
  - Present its modernization plan (fewer, higher qualified staff and a focus on delegation to local level) to the presidency and Consejo for approval.

- Provide authority to demarcate intrinsic core zones in the areas which do not conflict with settlement within the parks in order to fulfill the objectives of Decree 5-90.
  - Fulfill past counterpart obligations through the establishment of privately managed endowment funds for priority core parks, or other means approved by USAID.
  - Ratify its support for implementation of the Environmental Assessment Mitigation Plan for forest management concessions.
  - Develop agreements on privileges and responsibilities with priority communities bordering MBR core zones.
  - Develop and approve an improved plan for enforcement and control of priority zones, and assign specific staff to implement it, including compliance with article 8 of Decree 68-86 (environmental impact assessments).
  - Demonstrate its ability to maintain present equipment prior to acquisition of similar, additional equipment.
  - Formalize the functions and establish a standard schedule for convening the MBR coordination committee, inviting municipal, NGO and MAGA participation.
7. The Ministry of Agriculture will comply with points 2 and 4 above, and sign agreements to support:
- Collaboration on control of illicit logging, road construction and improvements in the MBR, and colonization in unauthorized areas.
  - (with INTA and the Land Commission) The transfer of MBR lands from INTA to appropriate GOG entities (CONAP, CECON, IDAEH); improved policies for guiding colonization and land tenure decisions; inclusion in titles of terms to reflect status/location of private holdings according to MBR zoning; a strategy to stimulate application of the land law's conservation aspects and to prevent colonization in MBR core zones; ratification of measurements and inscription of *ejidos* in municipal name; and NGO and municipal activities to title private property to small holders in the areas bordering priority parks.
8. Municipalities will sign agreements with CONAP for collaboration on: control of illicit logging; fiscal incentives for compatible land use in the MBR; road construction and improvements; and colonization in unauthorized areas.

### III. Plan of Action -- Implementation Arrangements

#### A. Overview of Obligations and Relationships

Nearly all funds will be obligated through an umbrella HB3 Agreement (the exception being \$600,000 reserved for emergency bridge funding for NGOs through extension of existing agreements.. Amendments to current HB 13 Agreements will be negotiated based upon proposals for continuation of the most successful activities which USAID requested from NGO collaborators in April. Key changes under this Amendment include:

- All HB 13 negotiations will produce results-oriented, phased, cooperative agreements in which incremental funding will be dependent upon satisfactory achievement of predetermined milestones (examples of the expected results are included in Section II).
- Assistance to the GOG under the HB3 Agreement will be administered by an institutional contractor and will strengthen the GOG in regulatory, planning and coordination aspects, facilitating delegation of field work to local, private entities and municipalities.
- All funding will be linked to specific results and responsibility for achieving the results will be clearly assigned through either the HB13 Agreements with NGOs or the institutional contractor. Funds will no longer be reimbursed directly to GOG organizations.

A HB3 umbrella agreement will update the description of: overall project assistance and activities in the MBR; GOG (CONAP, MAGA, CECON, IDAEH) responsibilities for oversight and coordination; and the support for the GOG to be provided by USAID in meeting those responsibilities. The agreement will specify the relationships and coordination mechanisms for GOG and NGO participants. The \$324,000 of authorized, unobligated funds under the existing HB3 Agreement with CONAP will be reprogrammed under the new Agreement. Most funds obligated under the HB 3 Agreement will be committed through the NGO Agreements and a contract (with a private entity herein referred to as the "Institutional Contractor" or IC) for administration in support of planned activities with the GOG: technical assistance, logistic and commodity procurement, training, monitoring and technical/financial backstopping for GOG participants. A portion of the funds (\$1,000,000) will be reserved for commitment by USAID for internal management, audits, evaluation, initial assistance to GOG entities (e.g. in meeting conditions precedent, etc. prior to contracting of the IC), and unforeseen needs.

USAID will supervise the work of the institutional contractor. The contractor will develop appropriate relationships with Guatemalan institutions involved in MBR management, including support for efficient and effective functioning of the MBR Coordination Committee. Project guidance decisions shall be made in close consultation with the MBR Coordination Committee, headed by CONAP. Additionally, the designated CONAP representative in Peten, the IC's chief of party in Peten and policy advisor (with CONAMA), and the USAID project manager will meet monthly to review status, issues, and reach agreement on corrective actions.

USAID will retain substantial involvement in the Cooperative Agreements with NGOs. USAID will manage the cooperative agreements for results by providing incremental increases in funding based upon achievement of predetermined milestones and approval of plans for each consecutive stage of execution. USAID will also approve key staff and require NGO participation in coordination, monitoring and subsequent redirection activities in order to improve complementarity and effectiveness of the overall program, which involves many different but inter-related actors.

B. Role of Principal Collaborators

1. **CONAP** will be responsible for fulfillment of the Condition Precedent and criteria for assistance for which it is identified above. CONAP will continue to serve its legally established role as coordinator of activities in the MBR, but with increased technical backstopping through the IC: CONAP will negotiate and sign updated memorandum of understanding with NGOs and other organizations working in the MBR; it will continue to review and approve work plans from NGOs; and will actively participate in monitoring, evaluation, and related decisions on modifications to improve effectiveness. CONAP will review and approve the terms of reference for the institutional contractor and, once CP's and criteria for USAID assistance are fulfilled, CONAP may request assistance from the IC consistent with the objectives and activities described in the HB 3 Agreement and corresponding Implementation Letters. CONAP will collaborate with USAID and the IC to provide effective support and guidance aimed at achieving project objectives. It will provide information as necessary to facilitate the work of the IC in carrying out its responsibilities, including data on counterpart contributions.

CONAP will continue to receive technical assistance (as under the existing authorization) to establish private endowment funds or similar mechanisms which permit more sustainable, locally managed sources of funding for the administration of each priority core zone. The GOG will be

encouraged by USAID to fulfill existing counterpart commitments through contributions to these endowments (NGOs are also being encouraged to generate counterpart contributions for the endowments).

2. **Institutional Contractor.** As soon as possible after project authorization, the terms of reference to be used in the competitive selection of an IC shall be developed and reviewed by GOG collaborators on the MBR coordination committee. These will be combined with the terms developed for the Policy Component (CONAMA), so that a single RFP process and contractor may be selected to support both major components of the project. This will facilitate coordination and synergism between the field activities in the MBR and the Policy Component (the latter, working at the national level, is also responsive to ENR issues raised in other projects).

Under the MBR portion of the project, the Institutional Contractor shall assist CONAP to fulfill its planning, regulatory, coordination, and supervisory roles and for directing assistance to the GOG for effective and efficient achievement of targeted results. The IC will serve as USAID's technical intermediary in Peten by assuring that activities are serving overall project objectives, are consistent with the individual agreements signed between USAID and collaborators (GOG and NGO), and responsive to monitoring and evaluation feedback. Specific responsibilities of the IC will include assistance (TA, equipment, training, etc.) to GOG counterparts (CONAP, INTA, CECON, IDAEH, MAGA, municipalities) to: facilitate delegation of on-the-ground management of core zones to appropriate local organizations; facilitate regular meetings and informed decision-making by the MBR coordination committee; administer the small projects in support of municipal participation in MBR management; implement the environmental assessment mitigation plan for forest concessions; report on results of ongoing monitoring and evaluation, including periodic bulletins and an annual State of the MBR report; prepare consolidated planning documents and reports required by USAID; and other support as necessary to facilitate GOG achievement of the objectives.

The IC will be ultimately responsible to the Project Manager for timely provision of contracted services. The USAID project manager will oversee this component of the contract in close consultation with CONAP and the MBR Coordination Committee. The contractor is expected to place a high level team leader in Peten on long term assignment and provide specialized short-term TA. Other support (monitoring,

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reporting, procurement, etc.) will be subcontracted locally (Guatemala or region).

3. **NGOs** shall continue to work at the field level with communities and other local counterparts to achieve project objectives. Detailed descriptions of the results to be negotiated with each NGO have been developed based upon field experience to date and the evaluation. NGO activities are summarized below.
  - Conservation International with its local NGO counterpart ProPetén and the municipality of San Andrés, will continue to promote environmentally sound economic alternatives, with pilot projects focussing around Laguna del Tigre and Mirador National Parks.
  - CARE will continue to work with communities and schools in environmental education, awareness and agro-forestry extension, as well as community banks and land tenure. CARE's field work will focus on the borders of Sierra Lacandon and Laguna del Tigre National Parks.
  - Rodale, with Centro Maya, is expected to focus on land use classification and management plans, including forest management concessions, in five cooperatives on the southern border of Sierra Lacandon National Park.
  - The Nature Conservancy will work with local counterparts (ARCAS) to support management of the Yaxja-Nakum triangle and the wildlife corridor connecting Tikal to Dos Lagunas/Rio Azul National Park.
  - The Peregrine Fund with numerous private and GOG local counterparts, will support biological monitoring and scientifically based management decisions.

USAID has developed budgets and defined results assuming that NGOs will continue to provide a minimum 50% match (50 cents for each USAID dollar; or 33% of the program's total cost) as under present agreements. If NGOs are unwilling to accept the results-based, phased cooperative agreements and the continuation of the 50% match, some NGO activities may be reprogrammed under the institutional contractor or a new, competitive "Request for Assistance" process may be conducted.

4. **Other GOG collaborators (MAGA, CECON, IDAEH, municipalities)** will be responsible for fulfillment of the CP and Criteria for USAID Assistance described earlier. They will be invited to participate on the MBR Coordination Committee and to review and comment upon the terms of reference for the institutional

contractor. Once they have demonstrated fulfillment of the criteria for assistance and the IC is in place, they may request assistance from the IC consistent with the objectives and activities described in the HB 3 Agreement and corresponding Implementation Letters. They will collaborate with CONAP, USAID and the IC to provide effective support and guidance aimed at achieving project objectives. And they will provide information as necessary to facilitate the work of the IC in carrying out its responsibilities, including data on counterpart contributions.

#### IV. Definition of Success -- End of Project Status

##### A. Intended Results

The updated Log Frame (Annex 1) provides a summary of the expected results, indicators, and assumptions. Key elements are presented here.

- **Area under improved management:** measurable improvements in the management and protection of the 855,000 hectares (2.1 million acres) MBR.
- **Reduction in historic deforestation trend:** conservation of 650,000 ha (1.5 million acres) of natural forest and wetland habitat which otherwise (based on trend data) would have been converted to incompatible uses (primarily pastures, subsistence agriculture and rice).
- **People adopting more sustainable practices:** 15,000 people (50% of the population in the MBR area) make a measurable shift toward more sustainable sources of income and employ practices promoted by the project.
- **Strengthened public and private institutions:** CONAP and at least two, local private entities play more effective roles in MBR management and have viable strategies for sustained financing.
- **Improved environmental policy regime:** policy incentives will promote sound ENR management through measurable progress towards the 27 changes targeted in the MBR Policy Agenda (Table 1).
- **Institutionalized coordination mechanisms:** at the local level, key stakeholders will have access to participate in MBR management decisions; at the national level, a donor strategy for protected area management will be developed and supported (Policy Component).

## B. Monitoring and Evaluation Plan

Several baseline surveys and other data collection were conducted by implementors and reinforced by the external evaluation and an independent M&E contractor (MSI buy-in to RENARM) during the initial phase of the project. But the challenges presented when trying to measure changes in long-term indicators such as those related to environmental equilibrium and sustainable resource management, require continuous attention and support. Present status of the M&E system for the project is summarized in Annex 13. Project M&E activities and workshops have contributed directly to rolling design improvements and are ongoing. The terms of reference for the institutional contractor will include responsibility for continuing these M&E activities in an integrated manner for MBR/Peten and the policy component, including any modifications necessary to reflect the results oriented agreements developed under this PPS and Mission reporting needs for the SO.

The IC terms of reference will also support integration of the ENR portfolio under a single SO Strategy and M&E system, consistent with the USAID **reengineering** process. To this end, they will include compilation and integration of data from the modified CNRM Project (focused on Sierra de las Minas-Rio Dulce corridor), in the Mission SO format. This will help the Mission to report on its ENR portfolio in a more consistent and consolidated manner, and facilitate more standardized and comprehensive assessments of progress in each program area.

Specific indicators to be monitored and reported on periodically by the IC include:

- Forest area (has) conserved compared to historic trends.
- People employing sustainable practices promoted by project (# of households and % of target population).
- Progress toward financial self sufficiency of selected counterpart organizations and park units (amount of funding generated through endowments and other self-sustaining sources, per Park, organization, and total; and % of operational costs covered through sustainable financial mechanisms).
- CONAP annual budget: non-USAID amount; amount reinvested in parks and % executed.
- Annual amount of resources generated by GOs and municipalities from MBR resources.
- Number of enforcement actions and % which result in sanctions.
- Number and quality of legal agreements delegating park administration to appropriate, local organizations.
- Number of core zones with adequate management plans approved.
- Number of Support Committees functioning effectively.
- Km of boundary demarcated with community involvement.

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- Has. of rehabilitation, reforestation and agro-forestry established with project support.
- Park infrastructure established (# of units), including entry/control posts.
- Park staff on-site in core zones with adequate supervision and equipment; % managed privately.
- Number of agreements signed between bordering communities and CONAP or Park administrator.
- Has. under approved sustainable management plans; and area/% complying with EA and associated mitigations; effectiveness of EA mitigations/compliance.
- Families receiving income from ecotourism and other environmentally sound economic activities promoted by the project.
- Has. of agricultural lands with land use capacity assessments and integrated, sustainable use plans developed by owners; % being implemented; # of plans.
- Credit available under environmentally sound terms (amount and number of institutions).
- # of units of land/area/and # of beneficiaries, of legalized land titles/tenure arrangements, by type (individual, communal, concession).
- # of school children showing knowledge of what, where and why the MBR; and % of total target group.
- % of people in target population showing knowledge and support for MBR.
- # of people trained by gender and by target group (implementors vs. general population).
- # of Policy Agenda targets showing positive change in reporting period (based on behavioral changes).
- Annual "State of MBR" reports.

Independent external **evaluations** are planned for FY 97 and fy 99. The evaluations will be contracted by USAID and are budgeted under the HB3 Agreement.

### V. Analysis of Feasibility, Assumptions and Risks

The independent Project evaluation verified not only the feasibility, but the **necessity**, of continuing the most successful project interventions, and modifying others, as presented in this PPS, if USAID is to successfully achieve project objectives. The evaluation noted that, although the project is really just beginning, it has generated many exciting developments, ranging from new products and markets (potpourri, health care lines, jewelry) to creative funding mechanisms (endowments); these initiatives are incipient but very promising. The activities and results included in this Amendment are designed to be the most effective and efficient means for reaching project objectives.

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These activities are the product of ongoing monitoring and assessment of feasibility, risk and progress in the field.

Primary risks were discussed in the "Setting and Rationale" and "Evaluation" sections earlier. They include: the lack of strong GOG funding, political will and capacity; weak GOG counterpart institutions; armed conflict in the area and past role of military in protecting elements which undermine project objectives; impunity and lack of equitable administration of justice; lack of secure land tenure and land policies applied/interpreted in ways which conflict with sustainable land use; continued migration into the MBR; several powerful sectors which appear opposed to CONAP and conservation (logging, petroleum, cattle, land speculators, etc.); and lack of mechanisms to institutionalize stakeholder involvement. Most of these issues were not addressed in the original project design, but have been incorporated through the ongoing M&E feedback process, the new policy component, and this Amendment.

The project, based on experience to date, is designed to be successful in spite of these challenges. It generates broad-based political support through participation of stakeholders (policy component); initiates a mechanism to institutionalize local participation in planning, assessments and other decisions, at the level of each priority park zone (*Comites de Apoyo*); promotes delegation of field responsibilities from GOG to local, private collaborators; identifies local and sustainable sources of income to cover recurrent expenses, complemented by endowment funds; provides for training and strengthening of the justice sector, continued dialogue with the military and private sector support for improved enforcement of regulations and laws; includes new initiatives to involve MAGA/INTA in resolving land tenure issues and improving policies on colonization and settlement; and facilitates organization of strong constituencies in support of the MBR (tourism and support sectors, municipalities, non-timber forest users--chicle, xate, allspice, communities and cooperatives involved in forest management, local NGOs, other donors, etc.).

The fulfillment of "Criteria for USAID Assistance" will be slow for some GOG participants such as CECON and IDAEH, especially in terms of the development and approval of strategies for delegated management of areas. Progress is expected to occur in a phased manner which will be catalyzed after the first successful initiatives in delegation are demonstrated with CONAP.

Field experience has highlighted both the tremendous size of the MBR itself, and the management challenges it presents. The cost of tackling this challenge was not seriously estimated in the original design which instead attempted to get a process started on which more informed decisions could be made. The present budget (\$12.5 million) is considered the minimum necessary level to meet

objectives. It can not be reduced further without eliminating USAID support to part of the MBR core zones, with a concurrent reduction in expected results.

**Phased Implementation:** Table 3 presents the budget by geographic area, listed in order of priority. Given that the initiation of activities in several lower priority areas (Zotz, Rio Azul, Dos Lagunas) will be delayed until corresponding agreements and "Conditions for Assistance" are met, activities will begin in the higher priority parks (Sierra Lacandon and Laguna del Tigre). If funding levels are less than planned, USAID will focus its support on the higher priority geographic areas. A detailed budget for each unit, reflecting priorities defined with GOG and other Peten collaborators, was developed to guide the decision making process (See Annex 3). Ongoing assessment of progress toward benchmarks and results will guide management decisions for the allocation of future resources, both among activities and among implementors.

## VI. Financial/Audit Plan

### A. USAID Resources

The Mission authorizes an additional \$12.5 million of LOP funding from DA (environment and natural resource directive) under this Amendment. Table 2 presents an illustrative budget by component. As presented in the Risk Assessment section, if this level of resources is reduced, the project will reduce its geographic coverage and the level of expected result. The budget by geographic area, in order of priority, is presented in Table 3. Additional financial data are presented in Annex 3.

### B. Counterpart Funds

Counterpart funds, as presented in Tables 2, 3, and 4 are estimated at \$5 million, assuming the continuation of the 50% match of USAID resources by NGOs and a reasonable, additional contribution from the GOG under the HB3 Agreement. As noted in Table 4, total GOG counterpart commitment will be over 40% of total program resources in HB3 Agreements for the MBR. The calculations of counterpart include contributions in cash and in-kind from project collaborators (NGOs, GOG, municipalities, communities). One of the criteria for the municipal small project activity, for example, is counterpart funding (see Annex 11). USAID also expects to leverage additional resources from other donors (see section I.G on donor coordination and resource levels). At USAID's request, CONAP has presented a specific strategy and plan to cover recurrent operational costs, including maintenance of USAID funded vehicles and equipment, for the project continuation.

Table 2

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**MAYA BIOSPHERE PROJECT AMENDMENT, MBR ACTIVITIES**  
**Illustrative Budget by Components**

	A.I.D.	COUNTERPART	TOTAL
1. Biosphere Administration (Strengthen Core Zone Protection)	4,300,000	2,200,000	6,500,000
2. Studies, T.A. and Mgmt. (Inst. Strengthening for Core Zones Mgmt.)	2,500,000	700,000	3,200,000
3. Sust. Resource Mgmt. (Env. Economic Alternatives and Credit)	3,600,000	1,600,000	5,200,000
4. Env. Awareness and Extension (Environmental Education)	1,100,000	500,000	1,600,000
5. USAID Mgmt. Eval., Audits (New)	1,000,000		1,000,000
Total	12,500,000	5,000,000	17,500,000

**SOURCE SELECTION  
INFORMATION**

Table 3

**MAYA BIOSPHERE PROJECT AMENDMENT  
Illustrative Budget by Geographic Area**

	AID	COUNTERPART	TOTAL
1. Sierra Lacandon	2,850,000	1,430,000	4,280,000
2. Laguna del Tigre	2,655,000	1,350,000	4,005,000
3. Mirador - Carmelita	1,150,000	580,000	1,730,000
4. Río Azul - Dos Lagunas	865,000	430,000	1,295,000
5. Triangulo Yaxha-Nakun-Naranjo	1,030,000	515,000	1,545,000
6. Zotz - San Andrés	1,000,000	525,000	1,525,000
7. Cross Cutting	1,950,000	170,000	2,120,000
8. USAID Management, Eval., Audits	1,000,000		1,000,000
Total	12,500,000	5,000,000	17,500,000

**SOURCE SELECTION  
INFORMATION**

Table 4

**MAYA BIOSPHERE PROJECT, LOP FUNDING  
ANALYSIS OF COUNTERPART COMMITMENTS**

Agreements	Previous Counterpart Commitments	Additional Estimated Counterpart	New Total Counterpart	Total AID Contribution	Total Program	Counterpart as % of Total
HB3/Policy with GOG	1,340,000		1,340,000	4,000,000	5,340,000	25%
HB13/MBR with NGOs	4,145,000	300,000	4,445,000	6,600,000	11,045,000	40%
HB3/MBR with GOG	7,500,000	4,700,000 <sup>1</sup>	12,200,000	16,400,000 <sup>2</sup>	28,600,000	43%
Total	12,985,000.00	5,000,000	17,985,000	27,000,000	44,985,000	40%

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<sup>1</sup> Of the 4,700,000, approximately 3,050,000 is expected from NGOs.

<sup>2</sup> Of the 16,400,000 approximately 6,300,000 will be HB13 subagreements with NGOs.

Procurement plans for the period affected by this Amendment will be prepared and integrated into the program descriptions by each implementor, for USAID review and approval. The GOG program descriptions and procurement plans will be reviewed and consolidated by the IC prior to submission to USAID for approval.

C. Obligation Plan

The obligation plan including the \$12.5 million increase under this Amendment is presented in Table 5 and reflects the funding levels presented in the 1996-97 G-CAP Action Plan. Previous obligations were made under the \$10.5 million 1990 authorization which initiated the project, and the 1994 \$4 million authorization for a national level policy component.

The scheduling of obligations with NGOs will be phased based upon the date present funding is fully utilized. Conservation International has informed USAID that it has already reached this point and Rodale expects to expend full USAID funding by July 30, 1995. Therefore, emergency, bridge extensions of these agreements will be a priority as soon as the Amendment is authorized.

D. Method of Implementation and Financing

<u>METHOD OF IMPLEMENTATION/ ACTIVITY</u>	<u>METHOD OF FINANCING</u>	<u>AMOUNT (\$000)</u>
1. HB3-GOG/Management and Protection of MBR	USAID Procurement/Direct Payment to Institutional Contractor	4,600
2. HB3-GOG umbrella to HB13-NGOs/MBR Activities	Fed. Reserve Letter of Credit and Direct Reimbursements	6,300
3. HB3-USAID/Management, Evaluation Audits	USAID Procurement/Direct Payments	1,000
4. HB13-NGO/MBR Activities (NGO bridge funding)	Federal Reserve Letter of Credit	600

VII. **Management Procedures**

A. Audits

Annual audits of the GOG (CONAP/MAGA) Agreement will be contracted by the Mission. USNGOs and the Institutional Contractor will be audited in accordance with the Single Audit Act. These audits will include all sub-grants/sub-contracts within their scope. In the event that any sub-grant exceeds \$100,000 in a given year, a specific audit of the sub-grantee's use of the funds will be required. Regular financial and counterpart reports will be required within each project agreement. The project budget includes up to \$40,000 to support required audits.

TABLE 5

OBLIGATION PLAN

With this Amendment, the Project's total obligation plan is as follows (\$000):

AGREEMENT	TOTAL AUTHORIZED	OBLIGATED TO DATE	PLANNED OBLIGATIONS			MORTGAGE FY 98-99
			FY 95	FY 96	FY 97	
HB3-CONAP	4,500 <sup>1</sup>	3,776	400 <sup>2</sup>	324	--	--
HB13-NGOs	6,600	6,000	600	---	--	--
HB3-CONAMA	4,000	574	400	900	800	1,326
HB3-MAGA, CONAP, GOG <sup>3</sup>	11,900	--	2,267	2,276	2,700	4,657
<b>TOTAL</b>	<b>27,000.00</b>	<b>10,350</b>	<b>3,667</b>	<b>3,500</b>	<b>3,500</b>	<b>5,983</b>

<sup>1</sup> Includes some NGO subgrants and agreements.

<sup>2</sup> This 400,000 obligation is in process (5/18).

<sup>3</sup> This will include approximately \$6.3 million for continuation of NGO activities.

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**B. Project Management****Staff:**

Resources under this Project Amendment will be managed using the management structure presently approved by the Mission: one US (PASA or PSC) Project Officer, supervising a TCN Technical Advisor, an FSN Project Development Assistant and one secretary. The Project Officer currently reports to the ENR Office Chief. Note that this staffing level reflects the elimination of 2 FSN positions in 1995.

At present, USAID management supports nearly all procurement of goods and services for GOG partners, overall monitoring, evaluation and reporting, six major Cooperative Agreements and contracts, an average of 8-10 other contracts per year, as well as logistic support for NGOs, TDYs and other visitors. Once the institutional contractor is in place and fully operational, demands on USAID project staff (e.g. in procurements, monitoring, institutional development, technical support and coordination functions) should be reduced, and the Mission will reassess management requirements. In the meantime, given ENR staff reductions, the amplified project will create a great challenge to management staff. The Mission will monitor work loads and acquire supplementary support on a temporary basis if necessary.

As noted earlier, agreements shall be modified to indicate that resources shall be programmed and reprogrammed as necessary to most effectively and efficiently achieve "results". NGO agreements will include benchmarks and terms to permit flexibility in programming funds to those activities which are most successful. With the support of monitoring and evaluation data provided by the IC, the Mission will review progress towards results to guide decisions on future project focus, funding levels and scope of activities.

Other aspects of project management, monitoring and evaluation (coordination of collaborators, USAID's substantial involvement with NGOs, coordination with the policy component and relationships between GOG and other partners) are discussed under Implementation Arrangements, section III.

June 06, 1995

## MAYA BIOSPHERE PROJECT NEW LOGICAL FRAMEWORK (LOP)

Summary	Objectively verifiable indicators	Means of Verification	Important Assumptions
<p><b>GOAL</b></p> <p>To improve the long-term economic well-being of Guatemala's population through the rational management of renewable natural resources.</p> <p><b>PURPOSE</b></p> <p>1) Strengthen Guatemala's capability to effect environmental policy improvements that will have nationwide impact and</p> <p>2) Improve the management of renewable natural resources and the protection of biological diversity and tropical forest in the Maya Biosphere Reserve.</p>	<p><b>Measures of Goal Achievement:</b></p> <p>1) Reduction in deforestation trends. Contribute to conservation of 650,000 ha. (1.5 million acres) of natural cover.</p> <p><b>End of Project Status</b></p> <p>1) CONAP and at least two other entities (NGOs, Municipalities, etc.) have viable strategies for sustained financing and play more effective roles in MBR management.</p> <p>2) Policy regime reflects increased consideration for conservation of biodiversity, incentives for sustainable economic alternatives, and greater participation by local stakeholders.</p> <p>3) 15,000 people (approximately 50% of total target population) adopt more sustainable practices promoted by the project.</p> <p>4) Measurable improvements in the management and protection of the 855,000 has. in MBR.</p> <p>5) Stakeholders and local leaders meet regularly to guide MBR management decisions. A donor strategy for management of protected areas in developed.</p>	<p>1) Periodic (Biannual) analysis of satellite imagery.</p> <p>1) Annual assessment of capacity to execute budget and generate non-USAID funding; reports from IC; external evaluations.</p> <p>2) Annual evaluation by IC based on Mission's policy agenda.</p> <p>3) Reports by Implementing Agencies and IC.</p> <p>4) Project evaluations (1997, 1999) and reports from IC.</p> <p>5) Reports from IC.</p>	<p>Improved political and financial support for natural resource conservation and for selected institutions with environmental responsibilities.</p> <p>Support of civil and military authorities in Peten.</p> <p>GOG supports decentralized authority in management of resources.</p> <p>Legislative and judicial framework/actors responsive to grass-roots policy initiatives.</p> <p>Continued political and financial support from US and other donors.</p> <p>International NGOs provide increasing support focussed on results.</p> <p>GOG maintains or improves insitutional framework for parks and environmental protection.</p>

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PROJECT OUTPUTS	MAGNITUDE OF OUTPUTS	MEANS OF VERIFICATION	EXPECTED RESULTS & ASSUMPTIONS
<p><b>STRENGTHEN MBR PROTECTION AND ADMINISTRATION</b></p> <p>1) Legal studies and TORs prepared for management of priority core zones</p> <p>2) Management and Operational plans</p> <p>3) Local leaders are supported to participate in Comités de Apoyo for the administration of core zones.</p> <p>4) Core zone boundaries demarcated with community support</p> <p>5) Adequate Infrastructure and staff to support management/protection activities equipped</p> <p>6) Team approach to improve/apply incentives/disincentives</p> <p>7) Provide legal and adm. structure for core zone endowments</p> <p>8) Provide TA to define privileges and responsibilities for each frontier community.</p>	<p>1) 5 core zones</p> <p>2) 6</p> <p>3) Five Comités de Apoyo established</p> <p>4) 1000 km demarcated/sign</p> <p>5) 3 visitor/adm. centers, 8 control posts, 100 staff equipped and on-site.</p> <p>6) On going work towards 27 policy change objectives.</p> <p>7) 1</p> <p>8) Approx. 30 communities.</p>	<p>1) Annual review by the IC and Project staff</p> <p>2) Annual review by the IC and Project staff</p> <p>3) Field visits. External evaluation. Quarterly reports</p> <p>4) Field visits. Quarterly reports</p> <p>5) Field visits. External evaluation. Quarterly reports</p> <p>6) Field visits. External evaluation. Quarterly reports</p> <p>7) Annual review by the IC and Project staff</p> <p>8) Annual review by the IC and Project staff</p>	<p>It is expected that 650,000 has of forest will be protected and 500 has of natural cover is rehabilitated</p> <p>1) Management responsibilities clearly defined and/or legally delegated</p> <p>2) Management and operational plans approved by CONAP</p> <p>3) Local leaders support and participate in management decisions for core zones.</p> <p>4) Local communities support and respect boundaries demarcated</p> <p>5) Incursions for agriculture and other incompatible activities diminish</p> <p>7) Conservation endowments cover essential operational costs of each core zone</p> <p>8) Agreements with frontier communities defining privileges and responsibilities</p>
<p><b>ENVIRONMENTALLY SOUND ECONOMIC ALTERNATIVES</b></p> <p>1) Forest management plans and concessions documents</p>	<p>1) 7</p>	<p>1) Annual review by the IC and Project staff</p>	<p>40% of target population shift primary source of income to more compatible use promoted by MBP.</p> <p>1) Plans and documents approved by CONAP and execution initiated</p>

PROJECT OUTPUTS	MAGNITUDE OF OUTPUTS	MEANS OF VERIFICATION	EXPECTED RESULTS & ASSUMPTIONS
2) Market studies, training of local people and minimum infrastructure for eco-tourism routes	2) 5 tourism routes	2) Case studies	2) Tourism routes owned and managed by local people providing income to 100 families
3) Promotion of sustainable agroforestry practices and adoption of green manures by local farmers.	3) 2500 farmers	3) Field visits. external evaluation.	3) 2500 farmers adopting green manures and sust. agroforestry practices, implemented on 20,000 has.
4) Market studies, training, demonstration for value added forest based enterprises	4) 5 enterprises	4) Case studies. External evaluation	4) local enterprises owned and managed by priority communities providing income to 150 families
5) Studies, TA and measurement documented in form and substance for INTA approval	5) 5 core zones + MUZ	5) Annual review by the IC and Project staff	5) INTA transfer land titles to responsible entities (CONAP, IDAEH,CECON, munis)
6) Assistance to fulfill legal requirements provided to families in priority core zones	6) 200 families	6) Annual review by the IC and Project staff	6) 200 families with land titles and parcels demarcated
7) TA provided to INTA on colonization trends and corrective strategies	7) 2 studies	7) Annual review by the IC and Project staff	7) MAGA/INTA support incentives/strategy to control colonization and resolve land tenure conflicts
<b>ENVIRONMENTAL EDUCATION AND AWARENESS</b>			
1) Awareness and policy campaigns to control forest fires in core zones and other key corrective measures.	1) 24 campaigns	1) External evaluation, case studies	1) 50% of the 30,000 target population will be knowledgeable of and support the MBR
2) Teachers in schools bordering priority areas trained	2) 25 schools/50 teachers	2) Case studies. Annual review by the IC and Project staff	2) 50% of school children show knowledge of MBR.
<b>CROSS-CUTTING ACTIVITIES</b>			
1) TA and training for institutional strategies and legal registration of local NGOs.	1) At least 2 Peten NGOs.	1) Annual review by the IC and Project staff	1) Local NGOs have legal and financial structure to continue project activities after PACD
2) TORs and legal studies to establish and provide seed funding for a legal defense fund	2) One	2) Field visits. External evaluation. Quarterly reports	2) Private legal defense fund established, supports enforcement and generates self sustaining source of income

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ACTION: AID-1  
INFO: AMB-1 DCM-1 ECON-1 TOTAL-0

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RUEHSN/AMEMBASSY SAN SALVADOR 2217  
RUEHTG/AMEMBASSY TEGUCIGALPA 7692  
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UNCLAS SECTION 01 OF 05 STATE 155399

AIDAC

E.O. 12356: N/A

TAGS:

SUBJECT: FY 96-97 ACTION PLAN FOR GUATEMALA

REF: GUATEMALA 01077

1. THE FY 96-97 ACTION PLAN FOR USAID/GUATEMALA-CENTRAL AMERICA PROGRAMS (USAID/G-CAP) WAS REVIEWED ON JUNE 2, 1995. THE DAEC WAS CHAIRED BY AA/LAC MARK SCHNEIDER. IN ATTENDANCE WERE REPRESENTATIVES FROM G, GC, LPA, M, AND ALL APPROPRIATE LAC OFFICES. THE AA/LAC COMPLIMENTED THE MISSION ON THE QUALITY OF THE ACTION PLAN. USAID DIRECTOR STACY RHODES, DEPUTY DIRECTOR BAMBI ARELLANO AND PROGRAM OFFICER MARGARET KROMHOUT DESCRIBED THE CURRENT POLITICAL AND ECONOMIC CONTEXT IN GUATEMALA AND PRESENTED THE ACTION PLAN. THE ACTION PLAN WAS APPROVED BY THE BUREAU, SUBJECT TO THE GUIDANCE AND IN ACCORDANCE WITH THE CLARIFICATIONS DESCRIBED BELOW.

2. CONCERNING THE PRESENTATION OF PROGRAM PERFORMANCE AND SOCIAL SECTOR INDICATORS, AA/LAC REQUESTED THAT THE MISSION TRY TO FIND WAYS TO MEASURE PROGRESS TOWARD REDUCING SOCIAL AND ECONOMIC INEQUITY BETWEEN LADINO AND INDIGENOUS POPULATIONS IN GUATEMALA. HE ALSO ASKED THAT

DATA BE PRESENTED ON GOVERNMENT OF GUATEMALA (GOG) EXPENDITURES IN THE HEALTH AND EDUCATION SECTORS, WITH DISAGGREGATION BY GEOGRAPHIC AREA (AS A PROXY FOR LOW

SECTORS OF CENTRAL AMERICA, PANAMA AND OTHER LAC COUNTRIES. THE MISSION REPRESENTATIVES EXPECT THAT CATIE WILL RECEIVE FUTURE FUNDING FROM USAID IN GUATEMALA AND FROM OTHER MISSIONS IN THE REGION, BUT AS A PROVIDER OF SERVICES ON A COMPETITIVE BASIS. AS FOR CORE INSTITUTIONAL COSTS, AFTER DECADES OF USAID ASSISTANCE THE MISSION FEELS IT IS TIME FOR CATIE TO FINANCE CORE FUNCTIONS ON ITS OWN FROM SOURCES OTHER THAN USAID. THEY ARE HELPING CATIE MAKE CONTACT WITH OTHER DONORS TO OBTAIN SUCH FUNDING. IN FACT, 75 PERCENT OF CATIE'S CORE OPERATING EXPENSES WERE FINANCED FROM NON-USAID SOURCES LAST YEAR.

F. MAYA BIOSPHERE NAD: INCREASE IN LOP. IN A SIDE MEETING USAID/W AND MISSION PERSONNEL DISCUSSED THE INCREASED LOP FUNDING TO DOLS 27 MILLION. THIS INCREASE FROM THE NAD LOP LEVEL OF DOLS 18 MILLION APPROVED IN LAST YEAR'S ACTION PLAN WAS PROPOSED IN GUATEMALA 1077 AND WOULD ENABLE THE MISSION TO FOCUS AND AMPLIFY NGO ACTIVITIES IN THE PETEN FOR ENVIRONMENTAL ACTIVITIES. THIS CHANGE IN LOP AMOUNT WAS FURTHER DISCUSSED AT THE DAEC. THE ISSUE RAISED AT THE DAEC WAS WHETHER THE ADDITIONAL ENVIRONMENTAL FUNDING MIGHT BE MORE EFFECTIVELY UTILIZED IN SUPPORTING SUSTAINABLE AGRICULTURE ACTIVITIES CONSISTENT WITH THE ENVIRONMENTAL NATURE OF THE FUNDING. THE MISSION REPLIED THAT IT HAD CONSIDERED SEVERAL OPTIONS CONSISTENT WITH THE ENVIRONMENTAL DIRECTIVE AS UNDERSTOOD BY THE MISSION. THE

CONCLUSION OF THE BAEC WAS THAT THE MISSION CAN PROCEED TO DEVELOP AND AUTHORIZE THE PROJECT AS PROPOSED AT THE INCREASED LOP. THE MISSION WILL EXPLORE OPTIONS FOR AGRICULTURE RELATED USES OF ENVIRONMENTAL FUNDS.

G. STRATEGIC OBJECTIVE CONGRESSIONAL NOTIFICATION. AS A COUNTRY EXPERIMENTAL LAB (CEL), USAID G-CAP HAS UNDERTAKEN TO DEVELOP, OBLIGATE AND IMPLEMENT ITS ENTIRE HEALTH AND POPULATION PROGRAM (SO 2) USING THE REENGINEERED OPERATING SYSTEM. ONE ELEMENT OF THE REENGINEERED SYSTEM IS TO OBLIGATE THE FUNDS BY STRATEGIC OBJECTIVE. SINCE THERE IS NO AGREED FORMAT FOR NOTIFYING CONGRESS THAT SUCH AN OBLIGATION IS PLANNED, AND THE PLANNED OBLIGATION OF THIS ASSISTANCE IS FY 95' THE MISSION SHOULD PROCEED TO NOTIFY CONGRESS USING ESTABLISHED PROCEDURES FOR UMBRELLA PROJECTS, THE CLOSEST PROXY TO AN SO PROGRAM. THE MISSION SHOULD ALSO INFORM THOSE RESPONSIBLE FOR REENGINEERING IN

THE M BUREAU THAT THEY WERE BEING FORCED BY CIRCUMSTANCES TO PROCEED IN THIS LESS-THAN-FULLY REENGINEERED FASHION.

H. GENDER CONCERNS. USAID/G-CAP WAS LAUDED ON ITS PERFORMANCE IN ADVANCING THE STATUS OF WOMEN AND GIRLS IN THEIR EDUCATION, PARTICIPANT TRAINING, HEALTH AND

# SOURCE SELECTION

## INFORMATION

### MAYA BIOSPHERE RESERVE Illustrative Budget by Project Element

	A.I.D.	COUNTERPART	TOTAL
<b>1. STRENGTHEN MBR PROTECTION AND ADMINISTRATION</b> A.- Administration, Planning, Coordination B.- On-the-Ground Presence and Management C.- Developing Sustainable Financial Resources D.- Community Involvement in Park Conservation E.- Ecological Monitoring	1,800,000	950,000	2,750,000
<b>2. ENVIRONMENTALLY SOUND ECONOMIC ALTERNATIVES</b> A.- Natural Forest Management Concessions B.- Community Based Eco-Tourism C.- Sustainable Agro-Forestry Systems D.- Other Compatible Income-Generating Activities E.- Credit F.- Land Tenure Assistance	3,500,000	1,700,000	5,200,000
<b>3. ENVIRONMENTAL EDUCATION AND AWARENESS</b>	1,100,000	500,000	1,600,000
<b>4. CROSS-CUTTING ACTIVITIES</b> A.- Strengthen local, private organizations B.- Policy Enforcement C.- Credit Policy D.- Acquisition of Inholdings E.- MBR-Administration Policies	500,000	200,000	700,000
<b>5. INSTITUTIONAL STRENGTHENING (CONAP, NGOs, OGS)</b> Institutional Contract (Contributes to 1 and 4 above). Technical assistance Training Overall coordination Administration and oversight of subcontracts and grants Commodity procurement Equipment GOG Counterpart Operational costs	4,600,000	1,650,000	6,250,000
<b>6. AID MANAGEMENT, EVAL., AND AUDIT</b> MBP Staff Evaluations Audits Miscellaneous	1,000,000		1,000,000
<b>Total</b>	12,500,000	5,000,000	17,500,000

**INSTITUTIONAL CONTRACT**  
**Illustrative budget**

	<b>FY96</b>	<b>FY97</b>	<b>FY98</b>	<b>FY99</b>	<b>TOTAL</b>	
Salary Chief of Party (US)	43,618	174,471	174,471	139,577	532,137	(1)
Salary Senior Advisor P.A. (Local)	12,500	50,000	50,000	40,000	152,500	
Salary Forestry advisor (Local)	12,500	50,000	50,000	40,000	152,500	
Salary Legal advisor (Local)	10,000	40,000	40,000	32,000	122,000	
Short Term consultants (40 p.m)	12,500	50,000	50,000	40,000	152,500	
Salary M.E. (local)	10,000	40,000	40,000	32,000	122,000	
Salary Small projects manag.	10,000	40,000	40,000	32,000	122,000	
Administrative assit.	8,750	35,000	35,000	28,000	106,750	
Accountant (local)	7,500	30,000	30,000	24,000	91,500	
Two Secretaries	7,000	28,000	28,000	22,400	85,400	
Overhead (100%)	134,368	537,471	537,471	429,977	1,639,287	
Equipment		50,000			50,000	(2)
Office Equipment	25,000				25,000	
Office rental	6,000	12,000	12,000	12,000	42,000	
Office supplies	2,000	4,000	4,000	4,000	14,000	
Local travel and perdiem	6,000	12,000	12,000	12,000	42,000	(3)
Training and workshops	10,000	50,000	50,000	20,000	130,000	(4)
Equipment for GoG implementors		200,000	140,000		340,000	(5)
Subcontracts		200,000	200,000		400,000	(6)
<b>SUBTOTAL</b>	<b>317,736</b>	<b>1,602,942</b>	<b>1,492,942</b>	<b>907,954</b>	<b>4,321,573</b>	
Fix Fee (7%)	22,241	112,206	104,506	65,474	304,427	
<b>TOTAL</b>	<b>339,977</b>	<b>1,715,148</b>	<b>1,597,448</b>	<b>973,428</b>	<b>4,600,000</b>	

(1) TQA, FSTA, Post asigment and travel, Home leave, education allowance, R and R, post diferential, living quarters

(2) Two vehicles and spare parts

(3) Three trips to Peten/month and perdiems

(4) fifteen workshops for 20 people for five days ea.

(5) fifteen vehicles \$ 20,000 ea., spare parts and other equipment, for GoG entities

(6) Subcontracts with communities, and other GoG entities i.e INTA

**SOURCE SELECTION**  
**INFORMATION**

**SOURCE SELECTION  
INFORMATION**

ANNEX 3  
Page 3 of 7

**MAYA BIOSPHERE PROJECT  
Illustrative Budget by Project Element**

	A.I.D.	LC	OTHERS	LC	TOTAL
	FX		FX		
Strengthen MBR Protection and Administration	1,800,000		950,000		2,750,000
Environmentally Sound Economic Alternatives	3,500,000		1,700,000		5,200,000
Environmental Education and Awareness	1,100,000		500,000		1,600,000
Institutional Strengthening (CONAP, NGOs, OGS)	4,600,000			1,650,000	6,250,000
Cross Cutting	500,000		200,000		700,000
AID Management, Eval. and Audits	800,000	200,000			1,000,000
<b>Total</b>	<b>12,300,000</b>	<b>200,000</b>	<b>3,350,000</b>	<b>1,650,000</b>	<b>17,500,000</b>

DETAILED BUDGET BY RESULT AND GEOGRAPHIC AREA

SOURCE SELECTION

TOTAL LACANDON I. TIGRE MIRADOR (1) TRIANGULO 2 LAG. RAZU (2) ZOTS-TIKAL (3)

	TOTAL	LACANDON	I. TIGRE	MIRADOR (1)	TRIANGULO	2 LAG. RAZU (2)	ZOTS-TIKAL (3)
<b>STRENGTHEN MBR PROTECTION AND ADMINISTRATION (650,000 Ha protected)</b>	<b>9,465,000</b>						
<b>A.-Administration, Planning, Coordination Management responsibilities clearly defined and/or legally delegated</b>							
1) 5 concessions, contracts or convenios prepared and signed	230,000	50,000	100,000	40,000	40,000		
2) 6 management and operational plans prepared and approved by CONAP, including internal zoning	450,000	120,000	120,000	60,000	60,000	60,000	30,000
3) Local leaders in five core areas participating actively in the administration and supporting Comités de Apoyo.	110,000	30,000	30,000	20,000	10,000	10,000	10,000
4) Training	420,000	120,000	120,000	60,000	30,000	30,000	60,000
5) Park administration: initial support for delegate organizations	1,300,000	400,000	400,000	150,000	100,000	150,000	100,000
<b>B. -On-the-Ground Presence and Management</b>							
1) 1000 km demarcated with signs and community involvement	610,000	150,000	200,000	60,000	50,000	100,000	50,000
2) 4 visitor/adm. centers, 8 control posts, 100 staff equipped and on-site in priority parks.	790,000	250,000	250,000	80,000	80,000	80,000	50,000
3) 30 communities actively involved in patrols.	105,000	30,000	25,000	10,000	15,000	10,000	15,000
4) Equipment	650,000	150,000	150,000	100,000	100,000	100,000	50,000
<b>C. -Developing Sustainable Financial Resources</b>							
1) 4 endowments with at least \$ 2 million: Design, implement and adm.	270,000	60,000	100,000		50,000	60,000	
2) Core funds	3,000,000	800,000	800,000	400,000	400,000	200,000	400,000
<b>D. -Community Involvement in Park Conservation</b>							
1) 30 com. support park conservation.	530,000	200,000	150,000	60,000	40,000	20,000	60,000
2) 30 communities involved in fire control	300,000	100,000	100,000	30,000	25,000	15,000	30,000
<b>E.- Ecological Monitoring and reporting</b>							
Annual "State of the MBR" reports	700,000	180,000	180,000	150,000	60,000	60,000	70,000

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**DETAILED BUDGET BY RESULT AND GEOGRAPHIC AREA**

	TOTAL	LACANDON	L TIGRE	MIRADOR (1)	TRIANGULO	2 LAG R AZU (2)	ZOTS TIKAL (3)
<b>ENVIRONMENTALLY SOUND ECONOMIC ALTERNATIVES (40% of population shifts to more sustainable income sources)</b>	<b>5,230,000</b>						
<b>A. -Natural Forest Management Concessions</b>							
1) 7 forest management plans w/mitigations prepared and approved by CONAP.	370,000	150,000	60,000	60,000		50,000	50,000
2) Concessions signed and execution of EA mitigations initiated in 5 communities, covering 100,000 has. (including oversight)	770,000	350,000	100,000	120,000		100,000	100,000
<b>B. -Community Based Eco-Tourism</b>							
1) Develop 5 tourism routes and 100 families receiving income	400,000	50,000	100,000	100,000	50,000	50,000	50,000
<b>C. Sustainable Agro-Forestry Systems</b>							
1) 2500 farm households adopting green manures and sust. agroforestry practices	670,000	250,000	200,000	30,000	80,000	30,000	80,000
2) Sust. land use plans implemented on 20,000 has.	160,000	75,000	55,000	5,000	10,000	5,000	10,000
<b>D. -Other Compatible Income-Generating Activities</b>							
Establish and/or consolidate business manag. ownership, marketing to leave the oprations in local hands and with prospect for sustainability							
1) 2 local business consolidated	120,000			60,000			60,000
2) 5 local enterprises established, providing income for 150 families.	610,000	160,000	200,000	100,000	50,000	50,000	50,000
<b>E. - Credit</b>							
1) Credit available through 24 community banks for forest management and sust. land use bordering priority parks	680,000	200,000	250,000	40,000	50,000	40,000	100,000

**SOURCE SELECTION INFORMATION**

**DETAILED BUDGET BY RESULT AND GEOGRAPHIC AREA**

	TOTAL	LACANDON	L TIGRE	MIRADOR (1)	TRIANGULO	2 LAG-RAZU (2)	ZOYS-TIKAL (3)
<b>F.- Land Tenure Assistance</b>							
1) Conflict resolution/transfer land titles to appropriate GoG entities	760,000	200,000	180,000	50,000	160,000	50,000	120,000
2) 200 families with legal land title and demarcated.	240,000	120,000	120,000				
3) Incentives/strategy to control colonization and illicit logging - MAGA	150,000						
4) At least 3 inholdings acquired and transferred to local organizations	300,000	100,000	100,000		50,000		50,000
<b>ENVIRONMENTAL EDUCATION AND AWARENESS</b>	<b>1,630,000</b>						
1) 50% of the 30,000 people will be knowledgeable and support the MBR	780,000	250,000	250,000	50,000	100,000	30,000	100,000
2) 50% of school children show knowledge of MBR	850,000	160,000	160,000	150,000	130,000	120,000	130,000
<b>CROSS-CUTTING ACTIVITIES</b>	<b>3,175,000</b>						
<b>A. -Strengthen local, private organizations</b>							
1) At least 3 local organizations able to sustain activities after PACD	300,000	100,000	100,000	50,000	50,000		
2) Local counterpart legally established as independent NGO.	100,000	50,000	50,000				
3) 5 local NGOs strengthened for and recognized as influential actors	615,000	150,000	150,000	100,000	115,000	50,000	50,000
4) Small Grants/Muni's support MBR protection	300,000						
<b>B. -Policy enforcement</b>							
1) One private legal defense fund established and operating to support enforcement	500,000						
2) MAGA and other institutions support enforcement of regulations for logging, settlement, roads, etc	100,000						
<b>C.- Credit Policy</b>							
1) Incentives/discincentives for appropriate land use are applied by Municipalities, lending institutions and other GOG entities.	190,000	50,000	50,000		30,000	30,000	30,000

**SOURCE SELECTION INFORMATION**

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DETAILED BUDGET BY RESULT AND GEOGRAPHIC AREA							
	TOTAL	LACANDON	L. TIGRE	MIRADOR (1)	TRIANGULO	2 LAG-RAZU (2)	ZOTS-TIKAL (3)
D.- Strengthen GoG in regulatory, planning and oversight roles (IC)	800,000						
E.- MBR-Administration Policies							
1) Tourism policy developed w/stakeholders and approved	125,000						
2) Non-timber management policies and guidelines developed w/stakeholders and approved .	145,000						
(1) Incluye corredor biológico y Carmelitas	(2) Incluye corredor biológico			(3) Incluye San Andrés			
SUB TOTAL	16,500,000	4,255,000	4,050,000	1,735,000	1,535,000	1,300,000	1,505,000
USAID mgmt, eval, etc	1,000,000						
<b>TOTAL</b>	<b>17,500,000</b>	<b>4,255,000</b>	<b>4,050,000</b>	<b>1,735,000</b>	<b>1,535,000</b>	<b>1,300,000</b>	<b>1,505,000</b>
<b>Note: Total does not include \$ 3,000,000 for endowments which the project hopes to obtain from outside sources</b>							

**SOURCE SELECTION  
INFORMATION**



# CONSEJO NACIONAL DE AREAS PROTEGIDAS

PRESIDENCIA DE LA REPUBLICA

GUATEMALA

REFERENCIA 216/95

DIRECCION LOCAL  
2a. AVENIDA 0-69, ZONA 3. - COL. BRAN  
TELEFONO Y FAX: 51-89-51  
TELEFONO 500454

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ACTION	
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DUE DATE	
6/15/95	
ACTION TAKEN	

USAID  
6-15-95

Guatemala, junio 2 de 1995

Señor  
Stancy Rhodes  
Director de la Misión  
Agencia para el Desarrollo  
Internacional -USAID-  
Ciudad

Distinguido señor Rhodes:

Después de presentarle un respetuoso saludo, me dirijo a usted en relación al Proyecto de la Biósfera Maya dentro del proceso de administración de la biodiversidad, así como de los recursos naturales que en ella se encuentran bajo la perspectiva de desarrollo sustentable y como modelo de categoría de manejo a nivel regional que incluye una mezcla de patrimonio natural y cultural, patrimonio de la humanidad.

CONAP como ente responsable de la administración de la Reserva de la Biósfera Maya, ve con mucha satisfacción y agradece el apoyo financiero que desde 1991 a la fecha ha dado el Gobierno de los Estados Unidos que a través de la Misión AID, ha proporcionado a nuestro Gobierno a través del Consejo Nacional de Areas Protegidas, con el objeto de proteger los ecosistemas de los bosques tropicales, la biodiversidad y los monumentos históricos culturales que allí se encuentran, la cual siendo de una extensión tan amplia y con una gama de intereses, ha presentado una serie de remitentes para alcanzar en el corto plazo los objetivos previstos.

Sin embargo, con la buena coordinación y discusión de un interés en común entre AID y CONAP y con el apoyo de las ONG's con quienes se comparten actividades en zonas biográficas definidas, estaremos trabajando juntos para lograr las metas trazadas a corto, mediano y largo plazo, para beneficio colectivo en pro de los recursos naturales y culturales del país.

El proyecto en su desarrollo ha presentado también cambios que requieren que dentro del proceso de continuidad se enmarquen dentro de la estrategia institucional de CONAP, con las recomendaciones de la evaluación externa del proyecto, la cual se proyecta hacia planificación de áreas núcleo prioritarias dentro de la cual se establecen esfuerzos técnicos y financieros, dando esta preponderancia sobre el Parque Nacional Sierra del Lacandón y Laguna del Tigre, no sólo por ser una Zona Núcleo de gran importancia, sino por los aspectos sociales y políticos que dentro de la misma se desarrollan.

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## CONSEJO NACIONAL DE AREAS PROTEGIDAS

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TELEFONO Y FAX: 51-89-51

TELEFONO 500454

Así mismo la Zonificación de la Zona de Usos Múltiples puede ofrecer opciones económico-financieras para detener la presión sobre la reserva en su totalidad. La zonificación de las Zonas Núcleo, así como el proceso de administración y presencia institucional en las mismas, paralelamente fortalecerá a la administración de toda la Reserva de la Biósfera Maya y entre otros el fortalecimiento de CONAP Región VIII en el proceso institucional.

De tal manera bajo esta óptica el CONAP así como las otras instituciones de Gobierno con presencia en la Región VIII, con Organizaciones No Gubernamentales Nacionales e Internacionales que mantienen su sociedad dentro del proyecto en una forma coordinada, clara y definida, consideran necesario y oportuno ampliar el proyecto y funcionamiento del proyecto de la Biósfera Maya, para lograr darle seguimiento al proceso de planificación que se está teniendo actualmente; considerar los cambios estratégicos en pro de la conservación y protección de los recursos naturales en la Reserva de la Biósfera Maya.

No está demás manifestarle la complacencia y reconocimiento por parte del Gobierno de Guatemala e interés de continuar una sociedad con el Gobierno que dignamente representa y que en una próxima oportunidad presentará a su Misión y al Gobierno de los Estados Unidos, su intención política para la continuidad del proyecto.

Sin otro particular, me suscribo con las muestras de mi más alta consideración y estima.

  
D<sup>ña</sup>. Emma Díaz de Gordillo  
SECRETARIO EJECUTIVO



PRESIDENCIA DE LA  
REPUBLICA

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Ministerio de Agricultura, Ganadería y Alimentación 001100

PALACIO NACIONAL

GUATEMALA, C. A.

12 de junio de 1995

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ACTION
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Señor  
Stacey Rhodes  
Director  
U S A I D  
Ciudad

Señor Rhodes:

Por este medio me permito saludarlo cordialmente, con la finalidad de solicitarle el apoyo de la Agencia Internacional para el Desarrollo -AID- a los programas forestales que el Ministerio de Agricultura realiza dentro de las comunidades del Departamento de Petén asentadas en la Reserva de la Biósfera Maya, como lo son San Miguel la Palotada, La Pasadita y otras que en el futuro se establezcan como consecuencia de las concesiones que CONAP autorice en el área. También consideramos de mucha importancia la delimitación de la Reserva de la Biósfera Maya, así como todas aquellas acciones que en el futuro nos permitan dar una asistencia técnica y educativa a estas comunidades, lo cual les permitirá llevar a feliz término los proyectos que apoyen la sostenibilidad de los recursos naturales de Petén.

Esperando que podamos contar con su apoyo a estos proyectos y los que estarían por venir dentro de la Reserva de la Biósfera Maya, me es grato suscribirme de usted, con muestras de mi consideración y estima.

LUIS ARTURO DEL VALLE G.  
MINISTRO DE AGRICULTURA  
GANADERIA Y LIMENTACION



RECORDED  
JUN 15 1995

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**MAYA BIOSPHERE PROJECT EVALUATION  
RECOMMENDATIONS/FOLLOW UP ACTIONS**

PRIORITY RECOMMENDATIONS	STATUS/FOLLOW-UP ACTIONS	RESPONSIBLE
<p>Redesign the MBR's protection and management strategies to focus more on management of core zones and gradually expand to multiple-use and buffer zones.</p>	<p>CONAP has defined priority zones: Sierra Lacandon and Laguna del Tigre. The 1995 work plans of MBP implementors reflect this priority. Management plans by priority zone, including appropriate infrastructure, are being prepared. Realistic plans on control, with a better definition of roles and responsibilities of each institution are required.</p>	<p>CONAP Enforcement agencies NGOs</p>
<p>Develop a policy component with national approach and focusing in Peten, which can address important and difficult issues, such as: land tenure, population/settlement, refugees/displaced, etc.</p>	<p>The policy component was incorporated into the MBP 8/94. The conditions precedent required for implementation are in process. The Advisory Committee must be formed, operate and support contractor processes.</p>	<p>AID CONAMA</p>
<p>Change CONAP's role from implementor to regulating, coordinating and planning entity.</p>	<p>CONAP's Institutional Strategy reflects this strategic change. CONAP's work plan (1995) presents steps in this correction. Technical Assistance will be provided to CONAP to reinforce this change as a priority.</p>	<p>CONAP TNC AID/IC</p>
<p>Institutional Strengthening to CONAP should be focused on management structures, staff, planning and financing.</p>	<p>The support being provided to CONAP through TNC is oriented to strengthen CONAP's internal structures. Furthermore, CONAP will be supported with the contracting of non-personal services (AID).</p>	<p>TNC AID/IC</p>
<p>CONAP should take necessary actions to transfer counterpart funds to CECON, IDAEH and INTA, in order to strengthen core zone management and solve land tenure conflicts. It is recommended that funds be channeled through NGOs.</p>	<p>CONAP has signed agreements with CECON, INTA and IDAEH and it is expected that these institutions will submit work plans to receive financial support. At CONAP's request, more technical assistance may be provided to speed up these activities.</p>	<p>CONAP CECON IDAEH AID/IC</p>
<p>Decentralize the Project to Peten through the establishment of a coordinating unit with personnel from CONAP and AID. Provide CONAP with technical and administrative assistance in order to decentralize and strengthen the institution.</p>	<p>AID, through MSI contract, has a coordinator based in Peten. The technical assistance provided to CONAP by TNC, as well as the non-personal services contracted by AID, will be oriented to promote the decentralization to Peten. An MBR consultative committee was formed and has met monthly since _____. The Project Administration (CONAP/AID) agreed to prioritize actions and make decisions to respond to the needs/requests from Peten.</p>	<p>CONAP AID MSI TNC Consultative Committee</p>

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<p>Develop the MBR Consultative Committees and strengthen the Coordinating Committee defined by Law 5-90.</p>	<p>The MBR Consulting Committee has been created; it is necessary to analyze the effectiveness of the results. The Coordinating Committee of the MBR still needs to be reactivated</p>	<p>CONAP MSI</p>
<p>The activities implemented by local and/or foreign NGOs should have an institutional close-out strategy, including self-sufficiency, technical, administrative and financing objectives.</p>	<p>AID is requesting the NGOs to include this strategy in the 1995 work plans. Furthermore, in the new Program Description, an updated phase-out strategy is required and proposals should describe progress to date.</p>	<p>AID NGOs CONAP</p>
<p>Implement a realistic and effective strategy to incorporate other sectors in the administration of the Reserve (GOs, local organizations - church, army, communities, municipalities, other NGOs).</p>	<p>Consultative committees are being formed for each core zone and numerous forums have invited these sectors (e.g. recent workshop on zoning for the Multiple Use Zone).</p> <p>The PPS should define who, how, where, funds, etc. to support continued stakeholder participation.</p>	<p>CONAP NGOs AID/IC</p>
<p>Strengthen natural forestry management actions as much for non-timber and for timber products.</p>	<p>Although significant progress has been made, more effort will continue under the PPS. The Consulting Committee should collaborate on this. Agreements with CATIE to support CONAP, are being negotiated.</p>	<p>AID/IC CONAP CM, CI CATIE</p>
<p>Implement the Monitoring and Evaluation Component in order to promote and make possible a redesign process, and fluid, effective and efficient adjustments during Project implementation.</p>	<p>The Monitoring and Evaluation Component was implemented through the MSI contract. Adjustment and acceptance of indicators by collaborations has been continuous. Quantitative baseline and minimum information required on impacts still needs improvement for some indicators.</p>	<p>AID/IC MSI Collaborators</p>
<p>Define an organizational structure and a functional process on coordination and communication among components which promotes integration and synergy.</p>	<p>Coordination and communication among components exist through periodic meetings of the Consulting Committee and through the coordination done by the MSI liaison officer. More joint collaboration is planned by geographic areas and for priority campaigns. There is a need to consistently refine Project priorities with collaborators concerning subcomponents and implementors' activities and target areas.</p>	<p>AID CONAP MSI NGOs</p>

CONSEJO NACIONAL DE AREAS PROTEGIDAS  
ESTRATEGIA INSTITUCIONAL  
Noviembre, 1994

## PRESENTACION

El Consejo Nacional de Areas Protegidas, CONAP, surgió como una necesidad de ordenar y coordinar los esfuerzos de distintos sectores de la sociedad Guatemalteca en el campo de la conservación, manejo y administración de las áreas protegidas y los recursos de flora y fauna silvestres.

Desde su creación, la institución ha contado con una serie de iniciativas para elaborar un documento de política que defina el quehacer de CONAP. Sin embargo, por múltiples motivos, estas iniciativas no pudieron concretarse hasta esta oportunidad.

El presente documento es el resultado de una serie de reuniones de consulta con profesionales de diferentes sectores, el cual será enriquecido permanentemente. En primer lugar, se definió la razón de ser institucional (**Misión**) y una **visión** objetivo a 10 años. Posteriormente se efectuó un análisis de la **situación actual**, la cual incluyó un análisis de las limitaciones y potencialidades institucionales. Habiéndose determinado en que situación se encuentra la institución, se definió como poder llegar a la imagen objetivo a 10 años (**estrategia**). En ese sentido, fue necesario determinar que **programas** se deben establecer y dentro de ellos que **acciones** se deben ejecutar.

Esta presentación es un resumen del documento principal, y se editó con fines de apoyo al taller de Planificación Estratégica de la Reserva de la Biosfera Maya, organizado por MSI, con el apoyo del Proyecto de la Biosfera Maya. Es un documento de trabajo sujeto a la aprobación del CONSEJO NACIONAL DE AREAS PROTEGIDAS y como tal debe de considerarse.

### I.- MISION INSTITUCIONAL

La Misión Institucional del CONAP es: **"Conservar la diversidad biológica y muestras representativas de los ecosistemas Guatemaltecos, y mantener los procesos ecológicos esenciales para contribuir al desarrollo de la nación."**

### II.- VISION A 10 AÑOS

#### 2.1 A nivel operativo

CONAP será de preferencia una institución rectora (Promotora, Normadora e Intermediadora), generadora de planes y políticas, que coordinará con otras instituciones de gobierno y no gubernamentales, la implementación y administración de las áreas protegidas y del manejo de la vida silvestre a nivel nacional. Contribuirá a través de sus acciones de conservación a combatir la pobreza, dar trabajo a las poblaciones aledañas a las áreas protegidas y promoverá el desarrollo sustentable.

A corto plazo la institución contará con el apoyo y mantendrá una comunicación efectiva con la Presidencia, a través de un funcionario de la misma oficialmente designado.

### 2.1.1 Nivel geográfico

Las actividades de CONAP serán a nivel nacional, priorizando acciones a nivel regional, enmarcadas dentro de una planificación estratégica. Contará con por lo menos un subsistema de áreas protegidas bien establecido por región con amplia participación social. Propiciará una mayor coordinación con países vecinos.

### 2.1.2 Nivel temático

Se contará con los mecanismos y sistemas necesarios para el aprovechamiento sustentable de la fauna y la flora silvestres.

Se contará con un sistema de caza establecido y respetado, que garantice la permanencia de las especies silvestres tanto por regiones como en todo el país.

La administración de los recursos naturales en las áreas protegidas prioritarias será eficiente, permitiendo asegurar la conservación de la diversidad biológica del país.

CONAP contará una oficina CITES sólidamente organizada y un subsistema de humedales reconocidos por la Convención Relativa a los Humedales de Importancia Internacional, Especialmente como Hábitat de Aves Acuáticas (RAMSAR).

Se habrá instalado la infraestructura básica necesaria para garantizar, promover, coordinar y regular la investigación en biodiversidad.

Se estará contribuyendo al desarrollo comunitario, (a través de beneficios directos como fuente de empleo o aprovechamiento de recursos naturales o beneficios indirectos como protección de cuencas y fuentes de agua o actividades económicas compatibles con el manejo de las áreas protegidas), como una forma de garantizar el alcanzar la misión de CONAP.

Existirán sistemas de reproducción ex-situ de fauna y flora silvestres bajo un sistema de registro y control eficiente

Se contará con un registro de colecciones biológicas actualizado

Promoverá a nivel nacional, en diferentes niveles y en todos los sectores la educación ambiental.

Promoverá la puesta en valor del patrimonio natural y cultural de la nación. En este contexto, el turismo tendrá un papel muy importante para alcanzar la valorización de los recursos.

## **2.2 En el marco político**

CONAP estará ejerciendo su papel de rector y coordinador a nivel nacional, contando con la credibilidad y respeto de la comunidad nacional e internacional. Así mismo, se habrá logrado un mayor apoyo comunitario y político para la realización de su gestión.

La gestión de CONAP así como los beneficios de su accionar serán reconocidas por el Gobierno, cooperación externa, sector privado y comunidades, logrando así su consolidación institucional.

## **2.3 A nivel financiero:**

Se contará con mecanismos que garanticen su sustentabilidad financiera, tales como capacidad de generación de ingresos propios (fondos privativos), mayores asignaciones presupuestales de Gobierno, un fondo patrimonial y capacidad de captar fondos provenientes de organismos internacionales.

## **2.4 En el aspecto administrativo**

CONAP será una organización con estructura clara, racional, dinámica y funcional. Contará con la capacidad de gestión, supervisión, implementación, evaluación y seguimiento de proyectos, así como con la capacidad de negociar y elaborar contratos.

## **2.5 En cuanto al recurso humano**

Contará con personal calificado (eficiente y eficaz), identificado con la institución, con estabilidad laboral y contará con los recursos para cumplir con sus funciones. Así mismo, estará dirigida por profesionales de reconocido prestigio, con fuerte liderazgo y habilidades gerenciales. Los departamentos y secciones que conforman la Secretaría Ejecutiva del CONAP estarán integrados y operando eficientemente.

# **III.- PRINCIPALES LINEAS ESTRATEGICAS**

## **3.1 Administración del Sistema Guatemalteco de Areas Protegidas, SIGAP.**

CONAP definirá el concepto del SIGAP, los fines y objetivos, criterios para la selección de los miembros integrantes y cobertura. Se propiciará reuniones intersectoriales las cuales permitan aclarar conceptos y definir mejor los propósitos del Sistema.

### **3.1.1 Establecimiento de políticas y normas para la administración del SIGAP**

CONAP será el administrador del SIGAP. Sin embargo, la administración individual de cada una de las áreas protegidas que se encuentren bajo responsabilidad del CONAP, podrá ser delegada a otras organizaciones estatales, gobiernos locales, organizaciones no gubernamentales (ONGs) y entidades privadas. Para tal efecto, se establecerán las normativas del caso para delegar estas responsabilidades y establecer los mecanismos de

supervisión y control (basado en incentivos, mas que políticas represivas).

### **3.1.2 Desarrollo e implementación del SIGAP**

Se efectuará un análisis de la situación actual de las áreas protegidas, determinándose la situación legal, condiciones y grado de representatividad ecológica, así como su contribución a la conservación de la biodiversidad y procesos ecológicos. En función a este análisis se determinará el grado de representatividad de las muestras de ecosistemas Guatemaltecos. Posteriormente se dará prioridad a las áreas protegidas de mayor fragilidad (amenazadas), concentrándose en los aspectos legales (tenencia de la tierra), de protección, y de uso de los recursos. Estas acciones permitirán optimizar recursos y concentrar esfuerzos.

## **3.2 Conservación y manejo de la Biodiversidad**

### **3.2.1 Elaboración de la estrategia nacional de conservación y aprovechamiento de la biodiversidad.**

CONAP convocará, coordinará y conducirá esfuerzos a nivel nacional para elaborar la estrategia nacional que por mandato legal le corresponde. Esta estrategia dará las pautas que permitan determinar la situación actual, condiciones del recurso y delinear las modalidades de aprovechamiento.

### **3.2.2 Formulación de políticas y normas para la conservación, aprovechamiento e investigación de la biodiversidad.**

En base a la estrategia nacional, se definirán las necesidades y prioridades de investigación, protección y administración del recurso. Previo a la elaboración de la Estrategia, CONAP será el encargado de formular las políticas y normas de aprovechamiento, las cuales buscaran la valorización de la biodiversidad por medio de incentivos que promuevan su aprovechamiento racional. La administración y la investigación del recurso podrán ser delegadas a otras entidades de gobierno, ONGs y entidades privadas.

### **3.2.3 Aprovechamiento de la Biodiversidad.**

Se establecerán las condiciones y mecanismos (concesiones, contratos, licencias, calendario cinegético etc), que faciliten el uso racional de los recursos a través de, comunidades, ONGs, gobiernos locales y entidades privadas, de tal manera que la intervención estatal se reduzca al mínimo. Por otra parte, se buscará que la administración de los sistemas de aprovechamiento y uso de los recursos cubran sus propios costos y generen ingresos al fisco.

## **3.3 Modernización institucional**

### **3.3.1 Estructura Organizativa**

Se establecerán mecanismos de delegación de autoridad y responsabilidad para facilitar las gestiones administrativas, elaborando un manual de funciones y

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atribuciones así como un manual de procedimientos. Se hará un estudio de la estructura organizativa y se preparará una propuesta de reestructuración que permita la modernización y funcionalidad institucional. El estudio y la propuesta serán elaborados a través de asistencia técnica.

### **3.3.2 Operatividad**

CONAP consolidará su presencia en las áreas donde actualmente tiene sedes administrativas y ampliará su cobertura de conformidad a su capacidad instalada y prioridades establecidas en la estrategia de implementación del SIGAP y la estrategia nacional de conservación y aprovechamiento de la biodiversidad.

### **3.3.3 Implementación**

CONAP promoverá la administración de las áreas protegidas, investigación y aprovechamiento de la biodiversidad a través de otras organizaciones estatales, ONGs, y sector privado, buscando la participación de los gobiernos locales y comunidades. En casos necesarios CONAP implementará directamente lo anterior. La administración del SIGAP así como la formulación de políticas y normas para la conservación y aprovechamiento de la biodiversidad será responsabilidad directa de CONAP.

### **3.3.4 Planificación**

CONAP establecerá un sistema de planificación y presupuesto, con una visión de largo plazo, enmarcada dentro de la estrategia institucional aprobada, el cual se evaluará constantemente. Se contratará asistencia técnica para la elaboración del sistema.

### **3.3.5 Sustentabilidad financiera**

Se implementará un programa de desarrollo de recursos financieros alternativos al financiamiento tradicional (Fondos de Gobierno y de proyectos). Se pondrá énfasis a la generación de recursos propios, provenientes de la administración y uso de los recursos de las áreas protegidas y de la biodiversidad.

CONAP buscará que su presupuesto de funcionamiento sea fortalecido, para lo cual se buscará el apoyo presidencial ante el Ministerio de Finanzas Públicas y el apoyo del Congreso de la República, a través de las Comisiones de Finanzas y del Medio Ambiente.

Se sugiere que el 30% de los ingresos por concepto de pagos por las autorizaciones de aprovechamiento de los recursos naturales en áreas protegidas, sea dejado en los sitios de origen para fortalecer la administración regional, y hasta un 20% sea destinado para las municipalidades o las comunidades de donde se obtienen los recursos naturales, siempre y cuando las municipalidades y/o las comunidades participen en la protección, conservación y manejo de esos recursos naturales y los ecosistemas. Por otra parte un 23% debería estar destinado por CONAP para fortalecer las acciones

de administración y manejo de las áreas protegidas del SIGAP y un 23% podría estar destinado para que lo administre el gobierno central.

Otra fuente que debe considerarse para la sustentabilidad financiera, es la Cooperación internacional, que puede iniciar el proceso de desarrollo de los mecanismos financieros alternativos, y fortalecerlos en el futuro.

### **3.3.6 Recurso Humano**

Se formará un equipo de personal altamente calificado, con capacidad gerencial y con un nivel salarial competitivo. Se garantizará que personal idóneo ocupe las posiciones claves. Se implementará un plan de capacitación e incentivos que cubra las necesidades de la institución y el desarrollo profesional de los empleados.

Para fortalecer a la institución es imprescindible contratar personal para sus diferentes secciones y actividades. Este personal deberá ser contratado en plazas fijas para garantizar no sólo al trabajador sino fundamentalmente el trabajo continuo en la institución.

CONAP promoverá la política de que a igual trabajo y responsabilidad se considera igual salario.

### **3.3.7 Imagen Institucional**

CONAP buscará los mecanismos propios y a través de otras instituciones que le permitan realizar las funciones de control y vigilancia y promoverá del uso racional y conservación de los recursos naturales y de la biodiversidad, en beneficio de las poblaciones.

El reconocimiento del rol de CONAP será posible en la medida que el conjunto de estrategias descritas anteriormente se implementen y tengan como impacto la calidad en la prestación de servicios para los usuarios. Se diseñará una estrategia de comunicación, dando énfasis a los aspectos positivos del manejo y uso de los recursos naturales y de la biodiversidad, conocimiento de la legislación y aclaración del papel de CONAP.

### **3.3.8 Evaluación Institucional**

CONAP realizará, a través de un proceso externo a la institución, auditorías administrativas, financieras y técnicas en forma anual. Mediante este proceso CONAP podrá y deberá tomar decisiones tendientes a garantizar los esfuerzos institucionales para alcanzar su misión y los planes de trabajo que se hayan propuesto periódicamente.

## **3.4 Comunicación**

La Secretaría Ejecutiva del CONAP propiciará la elaboración y desarrollo de una Estrategia de apoyo político (en particular con la Presidencia) y búsqueda de aliados institucionales gubernamentales (energía, agricultura, prevención de desastres, etc.) y la iniciativa privada. Por otra parte impulsará un programa permanente de difusión para mantener actualizada a la población

guatemalteca y en particular a las poblaciones relacionadas más estrechamente con las áreas protegidas, sobre los proyectos y acciones que se desarrollen en el Sistema Guatemalteco de Areas Protegidas.

### 3.5 Educación Ambiental

La Secretaría Ejecutiva del CONAP buscará y propiciará la implementación de mecanismos que permitan el Desarrollo de estrategias de educación ambiental a nivel nacional, promoviendo que dicha estrategia alcance las zonas de amortiguamiento, áreas de uso múltiple, así como las zonas de influencia y los tomadores de decisiones tanto a nivel gubernamental como de la iniciativa privada

### 3.6 Participación Local

La Secretaría Ejecutiva del CONAP propiciará los mecanismos necesarios para que los gobiernos municipales, las comunidades y los grupos de interés local participen en la administración y conservación de las áreas protegidas, los recursos naturales, ecosistemas y la diversidad biológica, así como del aprovechamiento sustentable de los mismos, de acuerdo a normas previamente establecidas.

Por otra parte CONAP promoverá que los beneficios directos, tanto como los indirectos provenientes de las áreas protegidas y sus recursos naturales sean compartidos con las comunidades y los gobiernos municipales.

PERFIL II

GUATEMALA

GU-0081

7 de marzo de 1995

**TITULO DEL PROYECTO:** Programa de Desarrollo Sustentable del Petén-Etapa I.

**GRUPO DE TRABAJO:** Kari Keipi (SDS/ENV): Coordinador, Marko Ehrlich (SDS/ENV), Yliana Hermoza (RE2/EN2), Ricardo Quiroga (RE2/EN2), Hugo Villarroel (RE2/EN2); y Hugo Zacarías (CGU).

**FECHA PERFIL I:** 20 de junio de 1994

**PRESTATARIO:** República de Guatemala

**ORGANISMO EJECUTOR:** Unidad Ejecutora del Petén (UNEPET) y Consejo Departamental de Desarrollo.

**PLAN DE FINANCIAMIENTO:**

BID:	US\$16.5
Prestatario:	US\$ 2.0
Cofinanciamiento:	Por determinar
Total:	US\$18.5

**FECHAS TENTATIVAS:**

Próxima misión:	2do. Trim.95
Misión de análisis:	4to. Trim.95
Directorio:	1er. Trim.96

**CLASIFICACIÓN AMBIENTAL:** Categoría ambiental III

I. ANTECEDENTES

- 1.1 La Región del Petén está situada al norte de Guatemala y cubre un tercio de la superficie del país (36.000 Km<sup>2</sup>). Se caracteriza por su topografía heterogénea, suelos pobres e importantes bosques húmedos subtropicales. En la Región se encuentran también unas 1,000 ruinas Mayas, que junto al rico entorno ecológico hacen que se reconozca a esta zona como una de las más importantes en el continente por su valor histórico, biológico y cultural.
- 1.2 Hasta mediados de siglo, el Petén estuvo prácticamente aislado del resto del país y habitado por pequeñas poblaciones dedicadas a la explotación de madera y caucho. No obstante, a partir de los años setenta, con la apertura de caminos de penetración, se produce una explosión demográfica por la emigración de campesinos pobres del sur del país, quienes llegan al Petén en busca de nuevas tierras. Entre 1959 y 1993 la población creció de 15 mil habitantes a más de 360 mil. Los inmigrantes mantuvieron sus patrones de producción y consumo de granos básicos, contribuyendo a agotar los suelos frágiles y de vocación forestal y expandiendo la frontera agrícola en base a

prácticas de tumba y quema y ganadería extensiva. Esta presión migratoria constituye uno de los problemas principales causantes del rápido deterioro y pérdida de los recursos naturales del Petén, y se agudiza por la falta de ordenamiento territorial y mecanismos de titulación y tenencia.

- 1.3 Otros factores que afectan el desarrollo del Petén son los siguientes: (i) extrema debilidad institucional y financiera de los gobiernos locales y regionales; (ii) falta de alternativas económicas a la explotación forestal no sustentable, la agricultura migratoria y ganadería extensiva; (iii) deterioro creciente de sitios arqueológicos por falta de protección y manejo adecuado; (iv) infraestructura rural y urbana deficiente y falta de servicios básicos; y (v) falta de planes de manejo y capacidad de gestión de áreas protegidas y de áreas de amortiguamiento.
- 1.4 Dada la riqueza arqueológica y natural de la zona, una alternativa económica es el turismo de bajo impacto ecológico. Actualmente las ruinas del Tikal atraen a unos 110,000 visitantes al año. No obstante, los ingresos que se generan no se revierten a la región ni contribuyen a proteger y/o desarrollar otras áreas arqueológicas y turísticas de gran potencial. Otras ruinas importantes están en estado de abandono y no existe un plan de desarrollo turístico para la región.
- 1.5 A fin de conservar y proteger su riqueza natural y arqueológica, el Gobierno ha declarado 16.000 km<sup>2</sup>, al norte de la Región, como la Reserva de la Biósfera Maya (RBM), y una franja de 15 km de ancho, al sur de la misma, como zona de amortiguamiento. En el sur del Petén hay 11 áreas propuestas para protección. La preservación de estas áreas requiere una urgente aplicación de la legislación correspondiente. La importancia nacional e internacional que tiene el desarrollo sostenible del Petén se evidencia por la presencia de varias ONG y cooperaciones bilaterales, principalmente de los gobiernos de Alemania y Estados Unidos. El resultado de estos esfuerzos se plasman en gran manera en El Plan de Desarrollo Integral del Petén (PDI) elaborado por la oficina regional de SEGEPLAN con la colaboración del Gobierno de Alemania.
- 1.6 Por otro lado, existe en el país una voluntad política en favor de la descentralización administrativa para encarar el desarrollo del Petén. Así, se observa una participación activa de SEGEPLAN y el Consejo Departamental de Desarrollo, en coordinación con el Consejo Nacional de Areas Protegidas, el Instituto Nacional de Antropología e Historia, el Instituto Guatemalteco de Turismo, el Vice-ministerio de Agricultura para el Petén y la Dirección General de Bosques.
- 1.7 El programa responde a los objetivos de la Octava Reposición, al enfocar sus acciones hacia el desarrollo social y la protección del medio ambiente. Como parte de la estrategia del Banco en el País, este proyecto complementaría las acciones del Programa de Desarrollo Municipal II (882/SF-GU), el Fondo de Inversión Social (GU-0071) y el Mejoramiento de la Administración Vial (GU-0017), que buscan consolidar los servicios sociales y la modernización económica.

## II. OBJETIVOS DEL PROGRAMA

- 2.1 Los alcances de un programa de desarrollo en el Petén son de largo plazo, y la solución de los problemas fundamentales requieren acciones por etapas. Los objetivos de largo plazo del programa se enmarcan dentro la estrategia planteada en el PDI, que es proteger y fomentar el manejo sostenible de los recursos naturales y del patrimonio cultural del Petén, a fin de aumentar los ingresos y mejorar la calidad de vida de la población. Los objetivos específicos están dirigidos a: (a) promover el ordenamiento territorial; (b) proteger el patrimonio natural y cultural y fomentar el desarrollo de ecoturismo; (c) reducir la pobreza mediante actividades productivas basadas en agricultura sostenible, protección y manejo adecuado de los recursos forestales; y, (d) promover la participación comunitaria y la descentralización.
- 2.2 En atención a la complejidad de los problemas y la capacidad institucional de las entidades locales, el programa se ejecutará en dos fases. La primera fase incluiría actividades prioritarias como el ordenamiento territorial, proyectos piloto de restauración arqueológica y manejo de recursos naturales, y fortalecimiento institucional, mientras que la segunda fase comprendería inversiones de mayor envergadura en protección del patrimonio natural y cultural y manejo sostenible de recursos naturales.
- 2.3 Se está considerando realizar paralelamente una cooperación técnica para desarrollo comunitario, mediante proyectos piloto para microempresas ecoturísticas y artesanales en el Petén con el financiamiento del FOMIN. El proyecto se beneficiará de esta cooperación técnica por cuanto se involucrarán a ONG y comunidades en actividades productivas de la iniciativa privada las cuales serán complementadas por actividades del programa que promuevan la protección del patrimonio natural y cultural en el Petén.

## III. DESCRIPCIÓN DEL PROGRAMA

- 3.1 La primera fase consistiría de cuatro componentes:
- 3.2 **Ordenamiento territorial**, comprende la zonificación y demarcación de las áreas protegidas de la Reserva de la Biosfera Maya, y la elaboración de un catastro básico para sus zonas de uso múltiple y de amortiguamiento. Estas acciones son necesarias para regular y ordenar el proceso migratorio y facilitar el desarrollo de actividades de producción y desarrollo económico sustentable.
- 3.3 **Protección del patrimonio natural y cultural**, comprende la restauración de tres sitios arqueológicos prioritarios con potencial de ecoturismo, y educación ambiental sobre el valor del patrimonio cultural y natural mediante el apoyo a un centro de visitantes.
- 3.4 **Manejo sostenible de recursos naturales**, mediante proyectos piloto agroforestales, recuperación y manejo comunal sostenible de bosques y uso de tecnologías agrícolas apropiadas con pequeños campesinos en comunidades seleccionadas de cuatro municipios.

- 3.5 **Fortalecimiento institucional**, comprende (i) el apoyo institucional de municipios seleccionados y de entidades regionales del Petén participantes en el programa; (ii) capacitación y organización comunitaria; (iii) la elaboración de estudios especiales para el plan de desarrollo ecoturístico; y (iv) estudios de factibilidad para una segunda etapa del programa.
- 3.6 El dimensionamiento de cada una de las etapas está basado en la capacidad de ejecución de las entidades de la Región. El costo total de la primera etapa se ha estimado en 18.5 millones, que será confirmado durante la etapa de preparación. La contrapartida local es de 2.0 millones y existen posibilidades de cofinanciamiento.

#### IV. ASPECTOS ESPECIALES

- 4.1 Existen potenciales conflictos económicos y legales entre los diferentes grupos de interés a ser afectados por el Programa. Algunos de ellos podrían discrepar de la visión de desarrollo sostenible del Programa, promoviendo la construcción de carreteras antes de contar con un ordenamiento territorial adecuado. Se requerirá establecer mecanismos de consenso y un compromiso del gobierno de seguir poniendo en práctica los principios de desarrollo sostenible delineados en el Plan de Desarrollo Integral.
- 4.2 La titulación de tierras es una actividad políticamente sensible pero esencial para el desarrollo sostenible del Petén. Los estudios catastrales servirán de base para este esfuerzo que incluye el Programa de Administración de Tierras apoyado por el Banco Mundial, y el Programa Piloto de Titulación de Tierras del Petén apoyado por el Gobierno de Austria.
- 4.3 Aunque existe en el país una política de descentralización, su viabilidad para este Programa será posible solamente si se implantan acciones concretas de gestión descentralizada en el Petén. Asimismo, se deberá prestar atención a la disponibilidad y capacidad del Estado de aportar recursos de contrapartida local y a los mecanismos para la recuperación de costos para el Programa.
- 4.4 Las técnicas de producción sustentable, como las prácticas agroforestales, no han sido debidamente difundidas entre la población. Para ello se evaluarán en detalle las restricciones técnicas, institucionales, legales y económicas que impiden que estas prácticas se adopten, y se desarrollarán mecanismos para fomentar su aplicación en la segunda etapa del programa.
- 4.5 Las inversiones de infraestructura social (agua potable, caminos rurales y escuelas) son de alta prioridad para la población, y parte integral del desarrollo. Para ello el Banco tiene líneas de financiamiento para obras de este tipo, y no serán parte de este programa. No obstante, se identificarán canales institucionales para acceder a estos fondos.
- 4.6 Según recomendaciones del Comité de Medio Ambiente del Banco, será importante avanzar con la preparación del Programa para evitar daños ambientales serios que podrían ocurrir de no ejecutarse éste. Se

incorporará en el diseño y ejecución del proyecto la participación de las comunidades afectadas y se seguirán los lineamientos del PDI, para disponer con las bases necesarias para el manejo sostenible de los recursos naturales y de protección ambiental antes de realizar posibles construcciones de caminos que podrían ocasionar efectos ecológicos adversos.

#### V. ESTADO DE PREPARACIÓN

- 5.1 El estudio de factibilidad se apoyará en la estrategia del PDI y proyectos elaborados por las comunidades y diversas instituciones bajo la coordinación de SEGEPLAN. Los términos de referencia estarán listos a fines de marzo de 1995. El estudio de factibilidad, la consulta comunitaria y el estudio ambiental se financiarían por medio de CT-Fondos, actualmente en trámite.

#### VI. VIABILIDAD DEL PROGRAMA

- 6.1 La viabilidad técnica, institucional, ambiental, económica y financiera del Programa será analizada durante el estudio de factibilidad. Sin embargo, existen elementos que prevén su viabilidad.
- 6.2 Viabilidad institucional-financiera. Existen en la región numerosas instituciones dedicadas al desarrollo del Petén, entre ellas el Consejo Departamental de Desarrollo, SEGEPLAN, y ONG. El diseño del programa por etapas responde a la realidad institucional, incluyendo la disponibilidad de fondos de contrapartida y capacidad de ejecución. Se analizarán alternativas institucionales que aseguren la ejecución del programa con base en los principios de la participación y descentralización a nivel municipal y departamental.
- 6.3 Viabilidad técnica y ambiental. Existen estudios técnicos de base elaborados en el PDI y proyectos piloto en ejecución. A partir de esta base, ha sido posible la conceptualización técnica, tanto de la primera como de la segunda etapa del Programa, con actividades diseñadas para proteger el patrimonio natural y cultural, revalorizar recursos culturales, restaurar sistemas productivos y naturales degradados, e impulsar el manejo sustentable de recursos naturales.
- 6.4 Viabilidad socio-económica. El programa tiene un enfoque social, y las actividades del programa en esta etapa pueden formar una base para desarrollar el potencial económico de las actividades de ecoturismo y sistemas de producción agrícolas y forestales sostenibles. Se evaluará la viabilidad económica de los proyectos piloto con miras a su posible expansión en una segunda etapa.
- 6.5 En el diseño de la operación se desarrollarán indicadores de éxito y se diseñará la evaluación de medio término. Se reconfirmará la prioridad y compromiso de contrapartida del país para el programa.

## MITIGATION PLAN

Based on the review of the EA materials prepared by the contractor, USAID/G-CAP proposes to focus future resources for forest management on the following mitigations.

### I PLANNING

1. Support a systematic program of local consultation related to the proposed concession system in order to create widespread understanding and support and to base the system on detailed local knowledge of the forested areas and with respect for traditional management and use by communities.
2. Provide technical assistance to CONAP and municipalities for comprehensive zoning of the MBR, taking into account parks, non timber extraction zones, wildlife corridors, archeological sites and areas with high volume of commercial timber.
3. Develop logical plans for forest management unit location and size in the commercial forest, by municipality, and with full consultation of stakeholders, including:
  - Designation of commercial forest in the multiple-use zone based on site specific conditions.
  - Systematic definition of forest management units within the commercial forest, to assure that each unit has a net volume and value of resources, which permits sustainable, integrated forest management by concessionaires.
  - Participatory planning of integrated forest management units in close cooperation with the municipal governments, CONAP, communities and other stakeholders affected by the forest concession system.

### II INSTITUTIONAL STRENGTHENING

1. Assist CONAP to focus its responsibilities:
  - Support development and implementation of an institutional development plan.
  - Provide technical assistance to CONAP to facilitate delegation of on-the-ground management and supervision to more qualified parties.
  - Support the GOG to develop viable oversight and control systems considering roles for municipalities and international entities.
2. Provide support for the preparation of forest management plans which incorporate site specific EAs using a process that involves full local consultation and in accordance with the programmatic EA.

3. Provide financial support to establish more effective and efficient forest management oversight (at least through PACD).
  - Technical assistance for establishing a reliable system in CONAP for review of concession applications and forest management plans.
  - Forest management training for GOG institutions, NGOs which will work with communities and wood workers.
  - Complement CONAP oversight with an independent, international forest management entity.

### **III MITIGATE ENVIRONMENTAL IMPACTS OF FOREST MANAGEMENT ACTIVITIES**

1. Provide TA to CONAP to help assure that the "best management practices" are included in forestry management plans and applied.
2. Assist the GOG to revise the official guidelines for concessions to be more consistent, flexible and simple:
  - Contracts should be improved to clarify conditions for collection of payments, resolution of conflicts, imposition of sanctions, cancellation and supervisory roles.
  - Procedures for management unit lay out should be revised to reflect the mitigations presented in Section I "Planning," above.
  - The role of municipalities should be clarified and their share of income defined.
  - The role of an independent oversight entity should be explicit.
  - Assure critical habitats within FM units are identified and legally protected through concession contracts.
  - Continue to review and update list of protected tree species within best management practices.
3. Support demarcation and protection activities in core zones.
4. Support mapping and demarcation of all archeological sites and support the incorporation into all forest management plans of the archeological mitigations (W.Williams memo of 10/20/94).
5. Assure site-specific FMPs include mitigations to control access toward parks and sensitive areas.

### **IV MONITORING**

1. Support a system of annual certification of compliance with minimum concession requirements (e.g. forest estate is without encroachment by unauthorized land use and timber cutting is

limited to designated block) as prerequisite to continued activities.

2. Provide technical assistance to establish long-term financial and administrative mechanisms for forest management research, monitoring and certification/control.
3. Fund a quick assessment to investigate composition and distribution of wildlife in the area of Arroyo Colorado and include appropriate mitigations in final FMP.

**V OTHERS**

1. Plan for long term TA to GOG and communities (through PACD) to support this mitigation plan.
2. Continue to support value-added processes and marketing for forest products in communities.
3. Use local firms trained in EA development, and continue to train others as necessary, to conduct future site-specific EAs following guidelines presented in programmatic EA and "Best management practices;" approve at USAID/G-CAP level.
4. Clarify the role of NGOs in MBP vis a vis support to specific concessions and/or aspects of concession development.

For a more detailed discussion, see the Recommendation section of the Programmatic EA (pgs. 37-50).

APPR: JB *JB*  
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 AID/LAC/RSD/E:JBROKAW

ROUTINE GUATEMALA

AIDAC GUATEMALA FOR K.KLINE AND W.WILLIAMS

E.O. 12356: N/A

TAGS:

SUBJECT: APPROVAL OF PROGRAMMATIC ENVIRONMENTAL  
 ASSESSMENT FOR FOREST CONCESSIONS FOR THE MAYA BIOSPHERE  
 RESERVE PROJECT (520-0395)

REF: MEMO, RHODES TO BROKAW, FEBRUARY 14, 1995

1. LAC CHIEF ENVIRONMENTAL OFFICER, JEFFREY BROKAW, HAS  
 REVIEWED, AND HEREBY APPROVES SUBJECT ENVIRONMENTAL  
 ASSESSMENT (EA) WITH THE FOLLOWING COMMENTS:

--LAC/RSD/E CONGRATULATES MISSION FOR CONDUCTING A  
 TRANSPARENT EA PROCESS, FOR ENSURING THAT THE EA INFORMS  
 PROJECT DESIGN, AND FOR TRANSFORMING INTANGIBLE MITIGATION  
 MEASURES FROM THE EA INTO ACTION ITEMS IN THE MISSION'S  
 MITIGATION PLAN.

--MITIGATION MEASURES OUTLINED IN THE MISSION'S MITIGATION  
 PLAN, AS WELL AS THOSE CONTAINED IN THE EA (SECTION 6),  
 SHOULD BE INCORPORATED INTO THE PROJECT, AND IMPLEMENTED  
 IN A TIMELY MANNER. PERHAPS THE MISSION SHOULD PRIORITIZE  
 MITIGATION PLAN COMPONENTS, DEVELOP METHODS FOR  
 IMPLEMENTING THE COMPONENTS, AND FOCUS ON OVERCOMING  
 SPECIFIC CONSTRAINTS TO PROJECT SUCCESS.

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--IN SECTION 5.3, THE EA STATES THAT THE PROBABILITY AND SEVERITY OF FIRE IS GREATER IN RECENTLY LOGGED THAN UNLOGGED FORESTS, AND AS MITIGATION, RECOMMENDS CLOSE COLLABORATION WITH FARMERS. IF UNCONTROLLED FIRE PROVES TO BE A CONSTRAINT TO SUSTAINABLE RESOURCE MANAGEMENT, MISSION SHOULD CONSIDER OFFERING FIRE SUPPRESSION TRAINING FOR FARMERS AND FOR CONAP. THE GLOBAL BUREAU'S FRM II PROJECT (CONTACT MIKE BENGE, USAID/GLOBAL BUREAU OR SCOTT LAMPMAN, U.S. FOREST SERVICE) OR THE SISTER FOREST ACTIVITY IN SIERRA DE LAS MINAS SHOULD BE ABLE TO PROVIDE THIS TRAINING.

--THE ANNEX TO THE EA ENTITLED, COMPLEMENTARY INFORMATION PREPARED BY USAID/G-CAP, CONTAINS INFORMATION ON THE ARCHAEOLOGICAL RESOURCES IN THE CONCESSION AREAS AND MITIGATION MEASURES TO ENSURE FOREST MANAGEMENT ACTIVITIES DO NOT AFFECT ARCHAEOLOGICAL RESOURCES. MISSION SHOULD ENSURE THAT CONCESSIONAIRES ARE AWARE OF THIS DATA, AND RELEVANT MITIGATION MEASURES ARE INCLUDED IN FUTURE FOREST MANAGEMENT PLANS (FMP).

--SECTION 4.2.4 CONTAINS A LIST OF THREATENED, ENDANGERED AND SENSITIVE SPECIES FOUND IN THE REGION OF THE MAYA BIOSPHERE RESERVE. THIS SECTION ALSO STATES THAT THE JABIRU AND OCELLATED TURKEY REQUIRE PARTICULAR ATTENTION. HOWEVER, THE EA NEVER MENTIONS WHAT TYPE OF PARTICULAR ATTENTION SHOULD BE PAID TO THESE SPECIES. IN ADDITION, THE EA DOES NOT STATE HOW THIS LIST SHOULD BE USED OR GIVE RECOMMENDATIONS FOR PROTECTIVE ACTIONS IF A LISTED SPECIES OR CRITICAL HABITAT IS ENCOUNTERED ON A CONCESSION. THE MISSION'S MITIGATION PLAN STATES THAT CRITICAL HABITATS WILL BE IDENTIFIED AND LEGALLY PROTECTED THROUGH CONCESSION CONTRACTS. RATHER THAN REQUIRE PROTECTION PLANS AT THIS PROGRAMMATIC LEVEL, PLANS SHOULD BE DEVELOPED ON A SITE-SPECIFIC, CASE-BY-CASE BASIS WHEN A LISTED SPECIES (OR ITS CRITICAL HABITAT) IS ENCOUNTERED DURING FMP DEVELOPMENT. PROTECTION PLANS SHOULD INCLUDE PROTECTION METHOD, MAPS OF CRITICAL HABITAT, AND A SYSTEM TO ENSURE COMPLIANCE AND ENFORCEMENT WITH PLANS. OTHER ELEMENTS THAT ARE PROBABLY BEST ADDRESSED ON A SITE-SPECIFIC BASIS (WHICH WERE NOT ADDRESSED IN THE EA) INCLUDE WATER QUALITY AND QUANTITY, AND IDENTIFICATION OF INDICATOR SPECIES FOR MONITORING BIODIVERSITY.

--SECTION 6.1.2 STATES THAT PROGRESS WITH LOW-IMPACT LOGGING, MAINTAINING BIODIVERSITY, AND IMPROVING REGENERATION WILL ONLY QUOTE LATER UNQUOTE BE CONSIDERED IN REVIEWS OF CONCESSION COMPLIANCE. ALTHOUGH EVALUATING FOREST MANAGEMENT IMPACTS TO BIODIVERSITY AND REGENERATION MAY REQUIRE SEVERAL YEARS OF SAMPLING, LOW IMPACT LOGGING

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CAN BE INCORPORATED INTO FMPS IMMEDIATELY, AND ITS EFFECTIVENESS EVALUATED WITHIN THE FIRST COUPLE YEARS. MEASURES SUCH AS DIRECTIONAL FELLING, MAINTAINING RIPARIAN BUFFER ZONES, PLANNING SKID TRAILS TO MINIMIZE DISTURBANCE, MARKING TREES TO BE CUT OR TO REMAIN AS UNDAMAGED RESIDUALS, CUTTING VINES AS MUCH AS A YEAR BEFORE THE HARVEST, AND FUEL LOAD MANAGEMENT TO MITIGATE WILDFIRES SHOULD BE INCORPORATED INTO FMPS, AND SHOULD BE CONSIDERED IN INITIAL REVIEWS OF COMPLIANCE WITH CONCESSIONS.

--SOMEWHAT TROUBLING IS THAT THE EA IDENTIFIED, AS A CONSTRAINT, COMMUNITY CONCESSION COMPLIANCE WITH FOREST MANAGEMENT PLANS (PAGE 35)-----THE EA STATES THAT IT WOULD BE VERY DIFFICULT POLITICALLY TO TAKE AWAY A COMMUNITY CONCESSION. HOPEFULLY, WITH THE TECHNICAL ASSISTANCE AND TRAINING THAT WILL BE PROVIDED TO COMMUNITIES, COMPLIANCE WITH FMPS WILL NOT BE A CONSTRAINT TO SUSTAINABLE FOREST MANAGEMENT, HOWEVER, COMMUNITIES SHOULD BE HELD TO THE SAME RULES FOR NON-COMPLIANCE WITH FMPS AS INDUSTRIAL CONCESSIONS.

--THE EFFECTIVENESS OF THE EA PROCESS AND COMPLIANCE WITH MITIGATION MEASURES SHOULD BE EVALUATED IN SEMI-ANNUAL REVIEWS AND IN PROJECT EVALUATIONS.

--IF USAID FUNDS ARE SUPPORTING DEVELOPMENT OF ADDITIONAL FMPS, A SITE-SPECIFIC EA MUST BE CONDUCTED FOR EACH FMP, AND SUBMITTED TO LAC CEO FOR APPROVAL PRIOR TO IMPLEMENTATION OF FMP.

2. AS DISCUSSED IN THE EA AND OTHER PROJECT DOCUMENTS, THE SITUATION IN AND AROUND THE MAYA BIOSPHERE RESERVE MAKES CONSERVATION OF THE NATURAL RESOURCE BASE EXTREMELY DIFFICULT. LAC/RSD/E CONGRATULATES MISSION ON ITS HEROIC EFFORTS AND PERSISTENCE IN ATTEMPTING TO ENSURE THE CONSERVATION OF THIS BIOLOGICALLY RICH AREA, WHILE OFFERING ECONOMIC ALTERNATIVES TO THE LOCAL POPULATION.

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## INITIAL ENVIRONMENTAL EXAMINATION

Project Location: Guatemala

Project Title: Maya Biosphere Project (Amendment)  
520-0395

Funding: \$7,500,000 (new funds)

### I. BACKGROUND

The activities proposed under this Project Amendment do not represent a reorientation of the Maya Biosphere Project. The amendment, adding a total of \$7.5 million to the planned life-of-project funding level and extending the PACD to 31 August 1999, will comprise a new Policy Component and extension of on-going activities in the Peten, and a Monitoring and Evaluation System for the Mission's Improved Management of the Natural Resource Base Strategic Objective.

The policy and M&E initiatives were originally intended to be carried out within the Community-Based Natural Resources Management Project (520-0404/NPD approved in 92 State 230099). However, most of the Mission's bilateral policy interventions in the environmental sector have been linked (often informally) to the Maya Biosphere Project and since the primary institutions that will be supported through the proposed Policy Component work with this project. Therefore, most appropriately falls under this project.

The Policy Component will be obligated through the National Environmental Commission (CONAMA). CONAMA, with support from an institutional contractor and a joint Government-USAID-NGO committee, will provide general guidance on policy priorities and coordinate with other agencies in accordance with its legal mandate. Local organizations will receive sub-grants and sub-contracts to identify policy constraints (including those related to pollution, NAFTA, production, and biodiversity), analyze and support corrective/proactive measures, and improve the technical capacity of Guatemalans to implement policy reform.

The Monitoring and Evaluation System, in coordination with the M&E System now in place under the Regional Natural Resource Management (RENARM) Project, will allow the Mission to compile and analyze data from all bilateral natural resources activities.

### II. PROJECT DESCRIPTION

Pursuant to the USAID Strategy on "Protecting the Environment", the new Policy Component will support Guatemalan efforts to modify land-use practices that cause environmental degradation.

The Project Goal remains unchanged from the original PP: "to improve the long-term well-being of Guatemala's population through the rational management of renewable natural resources".

The Project Purpose is to improve the management of renewable natural resources and protection of biological diversity in the Maya Biosphere Reserve. This amendment will strengthen Guatemala's capability to implement nationwide policy reform in support of this purpose. The new Policy Component will finance:

- \* long- and short-term training focused on specific environmental policy issues;
- \* technical assistance (TA) to community-level user groups, NGOs and government agencies to support specific, short-term policy formulation and application activities; and
- \* TA to build CONAMA's institutional capacity in critical technical areas.

NGO activities to be financed under this Amendment are specifically designed to increase environmentally sustainable income generation opportunities in the small communities in and around the Maya Biosphere Reserve. To date, women have been primary participants in and beneficiaries of these activities. While it will be difficult to measure the Policy Component's impact on poverty alleviation per se, the promotion of policies which expand local participation and empower local communities is likely to result in longer-term improvements in the quality of life for all individuals affected by the Project.

An illustrative list of policy issues to be addressed includes: i)land use classification; ii)land tenure and its impact on biodiversity conservation and natural resources management; iii)decentralization of conservation and natural resource management responsibilities, and devolution of authority to municipalities; iv)the impact on the environment of public policies which encourage or discourage land intensive or land extensive production systems; v)environmental issues related to NAFTA, pollution and waste management; and vi)the relationship of the legislative regime and justice sector institutions to conservation and natural resource management. The Mission, in consultation with GOG agencies, private sector representatives and NGOs, will establish a set of priority policy reforms during amendment design, but the Policy Component will also support a process that will adjust and refine the agenda during project implementation.

The Policy Component will have three mutually reinforcing themes: i)establishing a systematic way of identifying problems and policy impacts, assessing trade-offs, and involving stakeholders in a more participatory and decentralized policy dialogue; ii)providing targeted training and analytic assistance on priority policy issues; and iii)strengthening donor coordination on environmental and natural resource management issues. The Mission has maintained contacts with other donors in this sector, specifically: the Germans (especially their environmental program in the Peten--"ProSelva"); the U.K. (road construction); the Scandinavian countries (forest management); the

World Bank (land registry reforms, agricultural technology and a proposed sectoral program); the IDB (natural resources management and support to CONAMA); and the UNDP/UNHCR. The consensus among the donors is that there is a critical need for close coordination in order to develop more consistent and unified positions on environmental and natural resource policy issues, and that the current CONAMA leadership is in a position to maximize the impact of such coordination. This challenge will be met through strengthening CONAMA (in coordination with IDB) and the development of more capable and organized private constituencies.

### III. ENVIRONMENTAL CONSEQUENCES

The proposed project will involve activities that will have a positive effect on the natural and physical environment. The activities which will be carried out qualify for a **Categorical Exclusion** according to section 216.2 (c) (2) (i) of 22 CFR as "Education, technical assistance or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc.)".

### IV. RECOMMENDATIONS

Based on the Categorical Exclusion discussed above, the Mission recommends that the Maya Biosphere Project Amendment be given a **Categorical Exclusion** determination requiring no further environmental review.

Concurrence:

William Stacy Rhodes  
William Stacy Rhodes  
Mission Director

May 20, 1994  
Date

Drafter:

EPineda, ENRO

Clearances:

RWaldron, ENRO

BSugrue, C/ENRO

TDelaney, AC/PDSO

HArrellano DDIR

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[Signature] 5-9-94  
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[Signature] 5/19/94



U.S. AGENCY FOR  
INTERNATIONAL  
DEVELOPMENT

LAC-IEE-94-17

**ENVIRONMENTAL THRESHOLD DECISION**

Project Location : Guatemala

Project Title : Maya Biosphere Project  
(Amendment)

Project Number : 520-0395

Funding : \$7.5 million (new funds)

Life of Project : Five years

IEE Prepared by : Edgar Pineda, MEO

Recommended Threshold Decision: Categorical Exclusion

Bureau Threshold Decision : Negative Determination

Comments : Amendment, involving technical assistance for policy reform, is expected to have an indirect effect on the environment. Mission successfully incorporated mitigation into project design, ensuring environmental impacts will be positive.

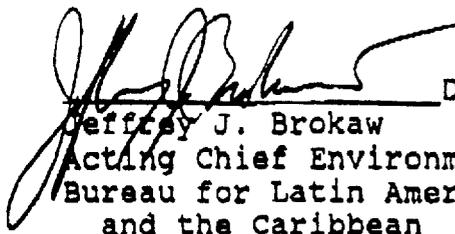
Monitoring and evaluation component shall have a feedback loop to the policy component, to further ensure positive environmental effects. If monitoring activities determine that policy component is not having the desirable positive impacts, policy reform activities should be revised accordingly.

With above assurances in place, a negative determination is issued for amendment: the activities will not have

ENVIRONMENTAL THRESHOLD  
DECISION (cont'd.)

LAC-IEE-94-17

significant environmental  
effects.

 Date 6/13/94  
Jeffrey J. Brokaw  
Acting Chief Environmental Officer  
Bureau for Latin America  
and the Caribbean

Copy to : Lawrence Klassen, Acting Mission  
Director, USAID/Guatemala

Copy to : Raymond Waldron  
USAID/Guatemala

Copy to : Edgar Pineda, MEO  
USAID/Guatemala

Copy to : Wayne Williams, REA  
USAID/Guatemala

Copy to : Jim Vandebos, LAC/CEN

Copy to : John Wall, LAC/DR/CEN

Copy to : IEE File

**Approximate Area (Km<sup>2</sup>) of Core Zones, ZUM  
and Priorities for Project Assistance**

	KM <sup>2</sup>	
	Total Area	Priority Area
<b>PNSL</b>		
Intrinsic Core	1560	1560
Rehab./Extensive use	540	
<b>Total</b>	<b>2100</b>	<b>1560</b>
<b>PNLT</b>		
Intrinsic Core-El Perú	300	300
Biotopo	480	480
Corredor interno	300	300
Intrinsic Candelaria/increase *	600 *	600
Multiple/Special use	1800	
<b>Total</b>	<b>3480</b>	<b>1680</b>
Biotopo San Miguel-Zotz	390	390
Corredor Zotz-El Perú *	150 *	150
Mirador	650	650
Corredor Mirador - L.T. *	200 *	200
Biotopo Dos Lagunas	480	480
PN Río Azul	610	610
Corredor Río Azul-Tikal *	460 *	460
Triangulo *	320 *	320
Tikal	550	
	<b>3810</b>	<b>3260</b>
<b>Sub Total Core Zones and Corredors</b>	<b>9390</b>	<b>6500</b>
<b>* Now part of MUZ</b>		
ZUM - Arch. Sites	80	80
ZUM - Priority concessions - integradas	1500	1500
ZUM - Priority Community Concessions	470	470
ZUM - Rest	4840	
<b>Sub Total ZUM</b>	<b>6890</b>	<b>2050</b>

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## COMMUNITIES BORDERING PARK CORE ZONES

## Sierra Lacandon National Park

IN CORE ZONE	POP.	FRONT LINE	POP.	2ND. LINE	POP.
Coop. Retalteco	368	Nueva San Jose	329	El Paraíso	1572
El Repasto I	155	Santa Amelia	606	El Ceibo	60
El Repasto II	50	Bethel	516	Vista Hermosa	1107
Coop. El Quetzal	1200	El Retalteco	488	Parcelamiento Bethel	465
La Lucha	200	La Técnica	58	Sinaí	73
Centro Campensino	420	La Felicidad		San Diego	1203
Laguna Mendoza	200	Los Esclavos	55	El Triunfo	248
		El Esqueleto	200	La Caoba	982
		Las Ruinas	354	Las Marías	66
		Las Flores	511	La Llorona	960
		El 90	118	El Manantial	370
		Lagunitas	1762	Sagrado Corazón	490
				La Pista	429
				La Bomba	606
7 Communities	2,593	12 Communities	4,997	14 Communities	8,631

## Laguna del Tigre National Park

IN CORE ZONE	POP.	FRONT LINE	POP.	2ND. LINE	POP.
Mactún	?	Santiaguito?	547	Centro Campesino	420
San Rafael, La Bota, Paso Caballos,		Corozal?	76	El Chapayal	46
El Tamaris, La Pita, Rancho Sinai,		Santa Rosita	145	La Ceibita	342
La Cazuela, Río Chocop	300	El Naranjo	1000	Balanmtun	451
La Profundidad, San Luis Frontera,		Cruce a la Colorado	103	Los Monjes	100
Buenos Aires	75			Santa Verónica	2
Campamento Xan	85			La Pista	429
Perú	5			La Bomba	6135
8 Communities	465	5 Communities	1,871	8 Communities	7,925

IN CORE ZONE	POP.	FRONT LINE	POP.	2ND. LINE	POP.
<b>MIRADOR/RIO AZUL</b>					
Ixcario	25	Uaxactun	600		
Dos Lagunas	45	Carmelita	415		
2 Communities	70	2 Communities	1,015		
<b>TIKAL/ZOTZ/TRIANGLE</b>					
Tikal	219	Cruce Dos Aguadas	564	La Milpa	9
Campamento Yaxhaja	25	San Miguel	71	Chinja	30
Corozal	58	La Pasadita	181	Yarche	250
La Palotada	50	Pucte	51	Cruce a Pescaditos	45
		Zocotzal	225	El Guineo	99
				La Canoa	203
				El Zapote	865
				El Naranja	1513
				Puerta del Cielo	150
				La Polvora	624
				Bajo del Venado	108
				La Maquina	360
				Las Vinas	725
				Los Tulipanes	160
				Lanquin	43
				El Venado	50
				El Porvenir	421
4 Communities	352	5 Communities	1,092	17 Communities	5,655
Total	21 Communities	Total	24 Communities	Total	39 Communities
	3,480		8,975		22,211

1:0NARMPUBIDDCS.COMMUNIT

Proyectos con Municipalidades en Apoyo a la RBM

OBJETIVOS Y JUSTIFICACION DEL PROGRAMA PROPUESTO

El objetivo primario del programa propuesto es aumentar la participación comunitaria a nivel del municipio en la implementación de la RBM. Además, el involucramiento de CONAP en el programa mejorará las relaciones entre dicha institución y las municipalidades.

ESTRATEGIA Y CRITERIOS

Para alentar más participación local en el proceso de la RBM, se propone un programa para la ejecución de pequeños proyectos identificados por las municipalidades que tienen jurisdicción dentro de la RBM. Los proyectos deben reunir ciertos criterios:

- La actividad tiene que afectar tierras dentro de la RBM.
- La actividad no puede efectuar deterioro en la calidad ambiental.
- La actividad tiene que justificarse en términos de la protección de la RBM o en la sustentabilidad de los usos de la tierra en los perímetros de la RBM.
- La asistencia técnica para un proyecto determinado debe estar disponible al nivel local a un costo razonable o tiene que obtenerse a través de un acuerdo con una ONG en la región.
- La actividad tiene que ser factible en cuanto a su lógica de conservación y los recursos disponibles. También tiene que encuadrarse dentro de los esfuerzos de conservación y desarrollo sostenible en el área y los convenios del proyecto de la RBM.
- La actividad deber ser capaz de completarse durante un período de un año, y todas deben terminar antes de julio de 1999.
- La actividad tiene que se promisoria en cuanto a los resultados a largo plazo. Los costos operativos y de mantenimiento tienen que ser previstos con anticipación.
- La cantidad máxima para un proyecto será de hasta US\$20,000
- Cada donación requerirá una contraparte de 25% del monto solicitado. La contraparte puede ser en efectivo o en especie.

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- Los beneficiarios pueden ser comunidades individuales u otras organizaciones dentro de una municipalidad, si la municipalidad está de acuerdo y ha participado en el diseño y, cuando sea apropiado, en la ejecución del proyecto.
- Un criterio importante en la selección será el record en cuanto a la ejecución de proyectos previos.

#### ADMINISTRACION DEL PROGRAMA

Se propone que el fondo de pequeños proyectos sea dirigido y administrado por dos coordinadores a ser empleados localmente, uno por USAID/IC y otro por CONAP. Ambos coordinadores tendrían la responsabilidad del desarrollo de propuestas en conjunto con las comunidades, el monitoreo de actividades, y las evaluaciones de cada proyecto. El Coordinador de USAID/IC tendría la responsabilidad de control administrativo de ejecución presupuestaria del proyecto.

CONAP nombrará una persona que será designada como el Coordinador. Esta persona mantendrá un contacto estrecho con las acciones del programa y será corresponsable en la implementación y puesta en marcha del mismo. Esta persona deberá estar presente y enterada del avance del proyecto, además deberá asistir a las visitas a los municipios, aldeas y organizaciones y trabajará en la provisión de la asistencia técnica y en el desarrollo de las propuestas presentadas por las comunidades sujetas de beneficios del programa.

El proyecto será presentado a los beneficiarios como un programa financiado por CONAP y el Proyecto de la RBM.

El programa concibe el proceso del desarrollo de propuestas como un proceso colaborativo entre CONAP/IC y el beneficiario, en el cual los proyectos que no cumplan con los criterios necesarios serán revisados, estudiados y asesorados a lo largo del desarrollo de los mismos por los Co-coordinadores del proyecto, antes de llegar a nivel de una presentación formal.

La ejecución del proyecto sería a través de contratos competitivos con organizaciones locales, según el tipo de proyecto.

**PRIORITY PROJECT ACTIVITIES**  
(THROUGH AUGUST 1999)

	S. LACANDON	L. DEL TIGRE	CARMELITA MIRADOR	SAN ANDRES-ZOTZ UAXACTUN	NAKUN-YAXJA- NARANJO	RIO AZUL- DOS LAGUNAS	ZUM	RBM
<b>STRENGTHEN MBR PROTECTION AND ADMINISTRATION</b>								
<b>A.- Administration, Planning, Coordination</b>								
Management responsibilities legally delegated	X	X	X	X	X	X	X	X
Management and Operational plans approved by CONAP	X	X	X	X	X	X		
Core Areas internal zoning defined and approved by CONAP	X	X	X	X	X	X		
Support operations of Comités de Apoyo	X	X	X	X	X	X		
<b>B.- On-the- Ground Presence and Management</b>								
Demarcation with community support	X	X	X	X	X	X		
Establish physical presence	X	X	X	X	X	X		
Infrastructure and staff to support management/protection activities	X	X	X	X	X	X	X	X
Team approach to improve/apply incentives/disincentives	X	X	X	X	X	X	X	X
Patrols with community support and participation	X	X	X	X	X	X		
<b>C.- Developing Sustainable Financial Resources</b>								
Establishment of conservation endowments	X	X	X	X	X	X		X
<b>D.- Community Involvement in Park Conservation</b>								
Agreements signed with CONAP, defining privileges and responsibilities for each frontier community	X	X	X	X	X	X	X	X
<b>ENVIRONMENTALLY SOUND ECONOMIC ALTERNATIVES</b>								
<b>A.- Natural Forest Management Concessions</b>								
Planning and coordination necessary for CONAP approval	X	X	X	X	X	X		
Concessions contracts signed and execution initiated	X	X	X	X	X	X		
Clear delegations of authority for local management defined	X	X	X	X	X	X		
Implement minigation/EA recommendations	X	X	X	X	X	X	X	X
<b>B.- Community Based Eco-Tourism</b>								
Development of tourism routes owned and managed by local people		X	X	X				

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	S. LACANDON	L. DEL TIGRE	CARMELITA MIRADOR	SAN ANDRES-ZOTZ UAXACTUN	NAKUN-YAXJA- NARANJO	RIO AZUL- DOS LAGUNAS	ZUM	RBM
<b>C.- Integrated Land Use Management</b>								
Participatory approach to complete integrated land use management plans for priority communities	X	X	X					
Promotion of sustainable agroforestry practices and adoption of green manures	X	X	X				X	X
<b>D.- Other Compatible Income-Generating Activities</b>								
Consolidation of actual business management, ownership, marketing to leave the operations in local hands and with prospects for sustainability			X	X				
Establishment of new local enterprises owned and managed by priority communities with focus on value-added processes		X	X	X	X	X		
TA and training in business organization, production, management and marketing		X	X	X	X	X		
<b>CROSS-CUTTING ACTIVITIES</b>								
<b>A.- Building a Peten NGO</b>								
Identify and support local organization to continue specific activities: Land Tenure, awareness campaigns, compatible land use.	X	X	X			X	X	X
Establish legal and institutional structure to operate as independent, legally established, local environmental NGO		X	X	X	X	X		
Institutional strengthening of local NGO for administration of conservation projects		X	X	X	X	X		
Local NGO recognized as influential actor	X	X	X	X	X	X	X	X
Local NGO register in AID as PVO	X	X	X	X	X	X	X	X
<b>B.- Policy, Credit, Tenure</b>								
Promote availability of credit for forest management and sust. land use in the MBR area	X	X	X	X	X	X	X	X
Assist to resolve land tenure conflicts, receive legal title and demarcated with the collaboration of families involved	X	X	X	X	X	X	X	X
Incentives/disincentives for appropriate land use	X	X	X	X	X	X	X	X
Tourism policy approved by CONAP								X
Non-timber extraction/management policies approved by CONAP								X
Technical guidelines for more appropriate management/regulation of non-timber products approved by CONAP								X
Develop series of awareness and policy campaigns with community participation to promote public support for key corrective measures								X

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## I ANTECEDENTES

El diseño y puesta en marcha de un sistema de M&E se inició en octubre de 1991. Se preparó una propuesta, la cual se discutió en una reunión entre CONAP, ONGs y USAID y fue aceptada por los participantes del proyecto. La programación que se propuso para el diseño del sistema no se cumplió debido a que los esfuerzos de las ONGs se concentraron en la elaboración de los planes de trabajo y su establecimiento en el Petén.

En base a propuestas de las ONGs se consolidó una propuesta durante un taller presidido por CONAP, el cual se realizó en febrero de 1993; llegando a un consenso sobre los indicadores, la asignación de responsabilidades y plazos para cumplir con los compromisos. Los indicadores identificados y acordados se presentan en el cuadro adjunto.

USAID trabajó con CONAP para implementar el sistema de M&E hasta que el personal de MSI se hizo cargo de la actividad, actualizó la información y produjo un informe de avance en marzo de 1995.

## II ESTADO ACTUAL

El estado actual de los indicadores identificados en febrero de 1993 y la información que hasta ahora se tiene de baseline, metas y avance se presenta en el cuadro adjunto. La información base no es completa ni consistente, como debe ser; especialmente para los indicadores cuya información proviene de encuestas.

Las metas a nivel del proyecto para varios indicadores requieren revisión y confirmación. Algunas metas se han establecido sin la participación de todos los ejecutores del proyecto.

La información del cuadro ha sido tomada del informe preparado por MSI, es todavía incompleta para algunos indicadores y presenta algunos problemas. Los problemas más importantes son los siguientes:

- CARE y Centro Maya no levantaron la encuesta acordada al inicio de sus actividades en las comunidades, a pesar de que conjuntamente con CI definieron una metodología uniforme. La información que CI generó con la encuesta no ha sido aplicada para M&E todavía.
- La mayoría de ejecutores del proyecto no han mantenido personal con responsabilidad asignada para la recolección de información en las instituciones y hacen falta registros consistentes en las instituciones.

### III LECCIONES APRENDIDAS Y RECOMENDACIONES

ANNEX 13  
Page 2 of 5

#### 3.1 Lecciones Aprendidas

- Debe contarse con el apoyo del más alto nivel de dirección de las entidades ejecutoras.
- No existe sentido de propiedad cuando se establecen indicadores en grupos o comités.
- Considerar dentro de los presupuestos de las organizaciones participantes fondos para las actividades de M&E.
- Poner más atención a la estandarización de los indicadores y metodologías comunes standard.

#### 3.2 Recomendaciones

- Hacer una revisión de los indicadores; tomando en cuenta los cambios por la inclusión del nuevo componente de políticas, rediseño del proyecto y los últimos cambios en los indicadores de los objetivos estratégicos de la Misión.
- Confirmar definición y metodología standard para todos los indicadores.
- Revisar la metodología y el instrumento de encuesta para obtener los datos que se requieren.
- Fuerte apoyo de la Gerencia del proyecto para que todos los participantes contribuyan al sistema de M&E.
- Eliminar indicadores que presentan serias dificultades para obtener información.

La tabla a continuación refleja algunas de las recomendaciones de MSI y los criterios del coordinador de M&E en USAID para completar la información y cumplir con las recomendaciones, en la medida posible.

**SITUACION ACTUAL DE LOS INDICADORES DE M&E**

INDICADOR	BASELINE	METAS AGOSTO 1996	DATOS			
			1991	1992	1993	1994
1.1 Monto de presupuesto de CONAP no proveniente de AID (US\$)	79,800	900,000	460,300	638,600	721,900	735,500
1.2 % de presupuesto para operación de la RBM no proveniente de proyectos	59.7	25.0	16.3	17.5	10.4	10.8
1.3 % de ejecución del presupuesto de CONAP para la RBM	62.8	100.0	54.4	57.2	39.1	32.5
2.1 Monto anual de recursos generados por OGs y municipalidades, provenientes de la RBM (Q)	2,704,969	6,000,000	2,869,212	4,985,306	3,764,560	2,218,523
3.1 Kilómetros cuadrados de superficie boscosa conservada comparada con proyecciones en base a la tendencia histórica	0	4,000	0 (Base)	N/M	3,400	N/M
4.1 Monto anual de recursos captados por las municipalidades (Q)	320,189	2,000,000	347,709	500,189	481,888	744,663
4.2 % de grupos objetivo del proyecto que adoptan prácticas mejoradas	0	25.0	0	2	20	30

INDICADOR	BASELINE	METAS AGOSTO 1996	DATOS			
			1991	1992	1993	1994
4.3 No. de familias cuyos ingresos principales provienen de actividades más compatibles con el medio ambiente	0	570	N/M	N/M	N/M	N/M
5.1 No. de personas que mejoran conocimiento y actitud respecto a CONAP y la RBM	0	20,600	N/M	N/M	N/M	N/M
A.1 No. de puestos de control	6	15	6	7	7	4
A.2 No. de guardarecursos equipados	70	200	94	88	113	74
A.3 No. de casos terminados positivamente/No. de casos de infractores	N/D	0.9	N/D	0.22	0.75	0.27
B.1 Plan Maestro aprobado	0	1	0	1	A/F	A/F
B.2 Plan Maestro revisado	0	1	0	0	0	0
C.1 No. de hectáreas bajo planes de manejo	0	N/E	0	0	0	9,415
D.1 Kilómetros demarcados	0	1,000	0	0	86	139
E.1 Plan de investigación	0	1	0	0	0	0
E.2 No. de investigaciones	0	N/E	0	1	4	4
E.3 No. de sistemas de administración del uso de los recursos	0	4	0	1	1	1

INDICADOR	BASELINE	METAS AGOSTO 1996	DATOS			
			1991	1992	1993	1994
F.1 No. de personas que participan en capacitación Público M/F Staff del Proyecto M/F	0/0 0/0	1,500/1,500 500/50	209/75 278/8	338/154 346/29	2615/1931 573/106	3472/2386 749/149
F.2 No de carreras que hacen cambios en su curricula	0	4	0	0	0	0
F.3 No. de alumnos del nivel primario y secundario que reciben educación sobre temas ambientales	0	6,360	0	0	3,315	7,411
F.4 No. de jefes de familia que adoptan prácticas promovidas por el proyecto	0	722	0	60	251	958
G.1 No. de nuevas opciones compatibles promovidas	0	14	0	2	4	5
G.2 No. de industrias de actividades compatibles mejoradas	0	3	0	0	0	0
H.1 No. de instituciones del Gobierno trabajando en coordinación en la RBM	0	6	1	4	5	8
H.2 No. de ONGs trabajando en coordinación en la RBM	1	6	4	5	6	7

N/E: No estimado

N/M: No es necesario medirlo en esos años.

A/F: Actividad finalizada

N/D: No disponible

C:AID AID M&E M&EFIN INFMA&EDL

**MAYA BIOSPHERE PROJECT (AMENDMENT)  
Initial Implementation Schedule**

- |   |                                 |              |
|---|---------------------------------|--------------|
| ● | Mission Review of PPs           | 25 May 1995  |
| ● | Authorization Package in final  | 9 June 1995  |
| ● | Authorization signed            | 21 June 1995 |
| ● | Bridge Amendment with CI, HB13  | 30 June 1995 |
| ● | Final negotiations with GoG     | 20 July 1995 |
| ● | GOG HB3 Amendment/Obligation    | 30 July 1995 |
| ● | Rodale Coop. Ag. Amendment      | 15 Aug 1995  |
| ● | CARE Coop. Ag. Amendment        | 15 Aug 1995  |
| ● | CI Coop. Ag. Amendment          | 30 Aug 1995  |
| ● | Peregrine Fund Coop. Ag. Amend. | 30 Oct 1995  |
| ● | TNC Coop. Ag. Amendment         | 30 Oct 1995  |
| ● | Institutional Contractor (IC)   |              |
| ○ | RFP Drafted                     | 15 Aug 1995  |
| ○ | RFP revised/accepted by GoG     | 15 Sep 1995  |
| ○ | RFP/PIO in CO                   | 30 Sep 1995  |
| ○ | RFP Issued                      | 30 Oct 1995  |
| ○ | Proposals due date              | 30 Dec 1995  |
| ○ | CO negotiate w/firm(s)          | 20 Jan 1995  |
| ○ | Sign contract                   | 27 Feb 1996  |
| ○ | IC initiates activities         | 15 Apr 1996  |