



Request for Proposals (RfP)

Consultancy Services supporting the development of the GEF-8 Blue Corridor: connectivity for the conservation, restoration and sustainable use of marine ecosystems of global importance in the Southern Caribbean of Costa Rica

International Union for Conservation of Nature and Natural Resources

Regional Office for Mexico, Central America and the Caribbean

Country: Costa Rica

Name of the Project: P04965 - GBFF- Blue corridor for the conservation, restoration and sustainable use of marine ecosystems in Costa Rica

RfP Reference: IUCN-24-12-P04965-1

Welcome to this Procurement by IUCN. You are hereby invited to submit a Proposal. Please read the information and instructions carefully because non-compliance with the instructions may result in disqualification of your Proposal from this Procurement.

1. REQUIREMENTS

- 1.1. A detailed description of the services and/or goods to be provided can be found in Attachment 1.

2. CONTACT DETAILS

- 2.1. During the course of this procurement, i.e. from the publication of this RfP to the award of a contract, you may not discuss this procurement with any IUCN employee or representative other than the following contact. You must address all correspondence and questions to the contact, including your Proposal.

IUCN Contact: procurement.Ormac@iucn.org

3. PROCUREMENT TIMETABLE

- 3.1. This timetable is indicative and may be changed by IUCN at any time. If IUCN decides that changes to any of the deadlines are necessary, we will publish this on our website and contact you directly if you have indicated your interest in this procurement (see Section 3.2).

DATE	ACTIVITY
20/12/2024	Publication of the Request for Proposals
28/12/2024	Deadline for submission of questions
18/01/2025	Deadline for submission of Proposals to IUCN ("Submission Deadline")
20/01/2025	Clarification and evaluation of Proposals

DATE	ACTIVITY
28/01/2025	Planned date for contract award
20/02/2025	Expected contract start date

- 3.2. Please email the IUCN contact to express your interest in submitting a Proposal by the deadline stated above. This will help IUCN to keep you updated regarding the procurement.

4. COMPLETING AND SUBMITTING A PROPOSAL

- 4.1. Your Proposal must consist of the following separate documents:

A. ADMINISTRATIVE REQUIREMENTS

- a. Copy of identification document or passport (in case of being a foreigner)
- b. Copy of legal invoice for fees collection.
- c. Copy of resume
- d. Letter of interest signed, indicating that the Consultant have read, understood and accept the content of these Terms of Reference. (Annex 2)
- e. Signed Declaration of Undertaking (Annex 3a)
- f. Human Resources Questionnaire filled and signed (Annex 4)

FOR CONSULTANCY COMPANIES:

- a. Copy of Certification of Incorporation
- b. Copy of identification document of the Legal Representative
- c. Copy of legal invoice for fees collection.
- d. Copy of resumes of the Consulting Team
- e. Letter of interest signed, indicating that the Consultant have read, understood and accept the content of these Terms of Reference. (Annex 2)
- f. Signed Declaration of Undertaking signed by the Representative of the Consulting Company or, in the case of a Consortium or group of consultants, signed by each member indicating that they have read and understood the content of the Declaration (Annex 3b)
- g. Human Resources Questionnaire filled and signed (Annex 4)

- Technical Proposal (see Section 4.4 below)
- Financial Proposal (see Section 4.5 below)

Proposals must be prepared in English.

- 4.2. Your Proposal must be submitted by email to the IUCN Contact (see Section 2). The subject heading of the email shall be [RfP Reference – bidder name]. The bidder name is the name of the company/organisation on whose behalf you are submitting the Proposal, or your own surname if you are bidding as a self-employed consultant. Your Proposal must be submitted in PDF format. You may submit multiple emails suitably annotated, e.g. Email 1 of 3, if attached files are too large to suit a single email transmission. You may not submit your Proposal by uploading it to a file-sharing tool.

IMPORTANT: Submitted documents must be password-protected so that they cannot be opened and read before the submission deadline. Please use the same password for all submitted documents. After the deadline has passed and within 12 hours, please send the password to the IUCN Contact. This will ensure a secure bid submission and opening process. Please DO NOT email the password before the deadline for Proposal submission.

- 4.3. *Pre-Qualification Criteria*

Not used

4.4. *Technical Proposal*

The Technical Proposal must address each of the criteria stated below explicitly and separately, quoting the relevant criteria reference number (left-hand column).

Proposals in any other format will significantly increase the time it takes to evaluate, and such Proposals may therefore be rejected at IUCN's discretion.

Where CVs are requested, these must be of the individuals who will actually carry out the work specified. The individuals you put forward may only be substituted with IUCN's approval.

IUCN will evaluate Technical Proposals with regards to each of the following criteria and their relative importance:

	Description	Information to provide	Relative weight
1	<i>Methodology to be implemented and schedule with logical dimension of time</i>		15%
2	<i>Experience in Costa Rica and Costa Rican Caribbean zone</i>	<i>Company Profile / CV / Responsible for the Consultancy</i>	10%
3	<i>Experience in GEF Project document elaboration</i>	<i>Company Profile / CV / Responsible for the Consultancy</i>	15%
4	<i>Experience in Environmental and Social safeguard and gender-sensitive project design</i>		20%
5	<i>Experience with tools and baseline studies identified in ToR.</i>		30%
6	<i>Familiarity with selected cities</i>		10%
TOTAL			100%

4.5. *Financial Proposal*

Signed by the Proposer, indicating the value of professional services (USD) in numbers and letters.

4.5.1. The Financial Proposal must be a fixed and firm price for the provision of the goods/services stated in the RfP in their entirety.

4.5.2. *Prices include all costs*

It will be considered that the prices presented include all the costs of fees, insurance, taxes, obligations and risks that must be considered for compliance with the Terms of Reference. IUCN will not accept charges beyond those clearly indicated in the Financial Proposal and that are eligible for the execution of the Contract.

The Bidder will have to assume the payments corresponding to taxes according to regulations in force in its country; You will have to have health and life insurance up to date; and will assume the bank charges by transfer.

If local or international trips must be made for the execution of this Contract, the costs will be paid by IUCN through reimbursement and will be governed by the IUCN per diem scale for food and lodging.

Travel expenses related to the execution of this Contract will not exceed the total amount of 14,000 USD broken down as follows:

Expense type	Maximum amount
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Air transfer	4,000
Meals	4,000
Surface Transportation	8,000
Accommodation	6,000
Other expenses (detailed)	

For reimbursement of travel expenses, the Proposer must submit a financial report with original invoices/receipts (e.g., transportation, lodging, food and incidentals) to the IUCN Contact Person, in the currency of the Contract, so that the corresponding reimbursement can be processed.

Expenses related to vehicle maintenance, purchase of electronic equipment, cell phone expenses, consumption expenses or purchase of alcoholic beverages will be considered ineligible expenses.

4.5.3. *Breakdown of rates and prices*

For information only, the price needs to be broken down as follows:

	Description	Quantity	Unit Price	Total Price
1				
2				
3				
4				
5				
6				
	TOTAL			

4.6. Additional information not requested by IUCN should not be included in your Proposal and will not be considered in the evaluation.

4.7. Your Proposal must remain valid and capable of acceptance by IUCN for a period of 90 calendar days following the submission deadline.

4.8. *Withdrawals and Changes*

You may freely withdraw or change your Proposal at any time prior to the submission deadline by written notice to the IUCN Contact. However, in order to reduce the risk of fraud, no changes or withdrawals will be accepted after the submission deadline.

5. **EVALUATION OF PROPOSALS**

5.1. *Completeness*

IUCN will firstly check your Proposal for completeness. Incomplete Proposals will not be considered further.

5.2. *Pre-Qualification Criteria*

Not used

5.3. *Technical Evaluation*

5.3.1. *Scoring Method*

Your Proposal will be assigned a score from 0 to 10 for each of the technical evaluation criteria, such that '0' is low and '10' is high.

5.3.2. *Minimum Quality Thresholds*

Proposals that receive a score of '0' for any of the criteria will not be considered further.

5.3.3. *Technical Score*

Your score for each technical evaluation criterion will be multiplied with the respective relative weight (see Section 4.4) and these weighted scores added together to give your Proposal's overall technical score.

5.4. *Financial Evaluation and Financial Scores*

The financial evaluation will be based upon the full total price you submit. Your Financial Proposal will receive a score calculated by dividing the lowest Financial Proposal that has passed the minimum quality thresholds (see Section 5.3.2) by the total price of your Financial Proposal.

Thus, for example, if your Financial Proposal is for a total of CHF 100 and the lowest Financial Proposal is CHF 80, you will receive a financial score of $80/100 = 80\%$

5.5. *Total Score*

Your Proposal's total score will be calculated as the weighted sum of your technical score and your financial score.

The relative weights will be:

Technical:	70%
Financial:	30%

Thus, for example, if your technical score is 83% and your financial score is 77%, you will receive a total score of $83 * 70\% + 77 * 30\% = 58.1\% + 23.1\% = 81.2\%$.

Subject to the requirements in Sections 4 and 7, IUCN will award the contract to the bidder whose Proposal achieves the highest total score.

6. **EXPLANATION OF PROCUREMENT PROCEDURE**

- 6.1. IUCN is using the Open Procedure for this procurement. This means that the contracting opportunity is published on IUCN's website and open to all interested parties to take part, subject to the conditions in Section 7 below.
- 6.2. You are welcome to ask questions or seek clarification regarding this procurement. Please email the IUCN Contact (see Section 2), taking note of the deadline for submission of questions in Section 3.1.
- 6.3. All Proposals must be received by the submission deadline in Section 3.1 above. Late Proposals will not be considered. All Proposals received by the submission deadline will be evaluated by a team of evaluators in accordance with the evaluation criteria stated in this RfP. No other criteria will be used to evaluate Proposals. The contract will be awarded to the bidder whose Proposal received the highest Total Score. IUCN does, however, reserve the right to cancel the procurement and not award a contract at all.
- 6.4. IUCN will contact the bidder with the highest-scoring Proposal to finalise the contract. We will contact unsuccessful bidders after the contract has been awarded and provide detailed feedback. The timetable in Section 3.1 gives an estimate of when we expect to have completed the contract award, but this date may change depending on how long the evaluation of Proposals takes.

7. **CONDITIONS FOR PARTICIPATION IN THIS PROCUREMENT**

- 7.1. To participate in this procurement, you are required to submit a Proposal, which fully complies with the instructions in this RfP and the Attachments.
 - 7.1.1. It is your responsibility to ensure that you have submitted a complete and fully compliant Proposal.
 - 7.1.2. Any incomplete or incorrectly completed Proposal submission may be deemed non-compliant, and as a result you may be unable to proceed further in the procurement process.

7.1.3. IUCN will query any obvious clerical errors in your Proposal and may, at IUCN's sole discretion, allow you to correct these, but only if doing so could not be perceived as giving you an unfair advantage.

7.2. In order to participate in this procurement, you must meet the following conditions:

- Free of conflicts of interest
- Registered on the relevant professional or trade register of the country in which you are established (or resident, if self-employed)
- In full compliance with your obligations relating to payment of social security contributions and of all applicable taxes
- Not been convicted of failing to comply with environmental regulatory requirements or other legal requirements relating to sustainability and environmental protection
- Not bankrupt or being wound up
- Never been guilty of an offence concerning your professional conduct
- Not involved in fraud, corruption, a criminal organisation, money laundering, terrorism, or any other illegal activity.

7.3. You must complete and sign the Declaration of Undertaking (see Attachment 2).

7.4. If you are participating in this procurement as a member of a joint venture, or are using sub-contractors, submit a separate Declaration of Undertaking for each member of the joint venture and sub-contractor, and be clear in your Proposal which parts of the goods/services are provided by each partner or sub-contractor.

7.5. Each bidder shall submit only one Proposal, either individually or as a partner in a joint venture. In case of joint venture, one company shall not be allowed to participate in two different joint ventures in the same procurement nor shall a company be allowed to submit a Proposal both on its behalf and as part of a joint venture for the same procurement. A bidder who submits or participates in more than one Proposal (other than as a subcontractor or in cases of alternatives that have been permitted or requested) shall cause all the Proposals with the bidder's participation to be disqualified.

7.6. By taking part in this procurement, you accept the conditions set out in this RfP, including the following:

- It is unacceptable to give or offer any gift or consideration to an employee or other representative of IUCN as a reward or inducement in relation to the awarding of a contract. Such action will give IUCN the right to exclude you from this and any future procurements, and to terminate any contract that may have been signed with you.
- Any attempt to obtain information from an employee or other representative of IUCN concerning another bidder will result in disqualification.
- Any price fixing or collusion with other bidders in relation to this procurement shall give IUCN the right to exclude you and any other involved bidder(s) from this and any future procurements and may constitute a criminal offence.

8. CONFIDENTIALITY AND DATA PROTECTION

8.1. IUCN follows the European Union's General Data Protection Regulation (GDPR). The information you submit to IUCN as part of this procurement will be treated as confidential and shared only as required to evaluate your Proposal in line with the procedure explained in this RfP, and for the maintenance of a clear audit trail. For audit purposes, IUCN is required to retain your Proposal in its entirety for 10 years after the end of the resulting contract and make this available to internal and external auditors and donors as and when requested.

8.2. In the Declaration of Undertaking (Attachment 2) you need to give IUCN express permission to use the information you submit in this way, including personal data that forms part of your Proposal. Where you include personal data of your employees (e.g. CVs) in your Proposal,

you need to have written permission from those individuals to share this information with IUCN, and for IUCN to use this information as indicated in 8.1. Without these permissions, IUCN will not be able to consider your Proposal.

9. COMPLAINTS PROCEDURE

If you have a complaint or concern regarding the propriety of how a competitive process is or has been executed, then please contact procurement@iucn.org. Such complaints or concerns will be treated as confidential and are not considered in breach of the above restrictions on communication (Section 2.1).

10. CONTRACT

The contract will be based on IUCN's template in Attachment 3, the terms of which are not negotiable. They may, however, be amended by IUCN to reflect particular requirements from the donor funding this particular procurement.

11. ABOUT IUCN

IUCN is a membership Union uniquely composed of both government and civil society organisations. It provides public, private and non-governmental organisations with the knowledge and tools that enable human progress, economic development and nature conservation to take place together.

Headquartered in Switzerland, IUCN Secretariat comprises around 1,000 staff with offices in more than 50 countries.

Created in 1948, IUCN is now the world's largest and most diverse environmental network, harnessing the knowledge, resources and reach of more than 1,300 Member organisations and some 10,000 experts. It is a leading provider of conservation data, assessments and analysis. Its broad membership enables IUCN to fill the role of incubator and trusted repository of best practices, tools and international standards.

IUCN provides a neutral space in which diverse stakeholders including governments, NGOs, scientists, businesses, local communities, indigenous peoples organisations and others can work together to forge and implement solutions to environmental challenges and achieve sustainable development.

Working with many partners and supporters, IUCN implements a large and diverse portfolio of conservation projects worldwide. Combining the latest science with the traditional knowledge of local communities, these projects work to reverse habitat loss, restore ecosystems and improve people's well-being.

www.iucn.org

<https://twitter.com/IUCN/>

12. ANNEXES

- | | |
|----------------|---|
| Annex 1 | <i>Specification of Requirements / Terms of Reference</i> |
| Annex 2 | <i>Letter of Interest</i> |
| Annex 3 | <i>Declaration of Undertaking (select 2a for companies or 2b for self-employed)</i> |
| Annex 4 | <i>Theory of Change, Sustainable Cities IP</i> |
| Annex 5 | <i>Guatemala Child Project Concept</i> |

ATTACHMENT 1 TERMS OF REFERENCE

The Regional Office for Mexico, Central America and the Caribbean of the
International Union for the Conservation of Nature

(IUCN-ORMACC)

REQUIRES

PROFESSIONAL CONSULTANCY SERVICES

Consultancy Services supporting the development of the
GEF-8 Blue Corridor: connectivity for the conservation, restoration and sustainable use of marine
ecosystems of global importance in the Southern Caribbean of Costa Rica”

Type of Contract:	Professional Consultancy Services
Period:	9 months
Availability:	January 2024
Persons Responsible for Supervision:	Nadia Mujica, GEF/GCF portfolio manager

1. BACKGROUND AND JUSTIFICATION

Summary

IUCN seeks the services of a consultant or firm to lead the development of a full-sized GEF project, *the “Blue Corridor: connectivity for the conservation, restoration and sustainable use of marine ecosystems of global importance in the Southern Caribbean of Costa Rica”* project, including development and finalization of all reports and documentation including the finalized IUCN Project Document (ProDoc) and GEF CEO Endorsement Request with all required supporting annexes and documentation.

The project objective: Government entities, local community groups and indigenous peoples effectively and sustainably create and manage a marine corridor between Cahuita National Park (NP) and the Gandoca-Manzanillo National Wildlife Refuge (WR) to improve the restoration and connectivity of key ecosystems in Costa Rica's southern Caribbean and diversify the income of local communities and indigenous peoples in the area.

The project aims to establish and sustainably manage the Cahuita-Gandoca marine corridor in Costa Rica, focusing on biodiversity conservation, ecosystem restoration, and improved livelihoods for local communities, including Indigenous Peoples and Local Communities (IPLCs). IPLCs are central to the project and will be supported in several keyways:

- Direct receipt of resources: IPLCs will receive direct financial support for small-scale sustainable projects, including responsible fishing, ecotourism, and the management of invasive species. In addition, the project will improve Indigenous communities' access to existing Payment for Environmental Services (PES) programs, recognizing their significant contributions to conservation efforts in the watersheds that feed into the marine corridor.
- Project beneficiaries: IPLCs will benefit from their involvement in governance, implementation of sustainable activities, and participatory ecological monitoring, ensuring their active involvement in the management and conservation of priority marine ecosystems.
- Participation in governance: IPLCs will have direct involvement in governance structures, playing a key role in decision-making regarding corridor management, reinforcing social cohesion and shared responsibility for conservation.

- Participation in design and implementation: IPLCs will co-design and co-implement core project components, including the pilot management plan for the marine corridor, ecological restoration actions, and the corridor's monitoring system.

Overview

In 2008, Costa Rica initiated a national land-use planning process for biodiversity conservation (Grúas II project) to preserve representative samples of its natural wealth through Protected Wildlife Areas and innovative conservation initiatives. In 2023, as part of the UN Convention on Biological Diversity, SINAC updated this analysis with a focus on conservation and management gaps in marine-coastal and oceanic environments, involving experts and data from 2008 onward. This study identified 34 Important Sites for Conservation and Management (ISC) through spatial prioritization, focusing on conserving biodiversity, establishing measurable goals, and developing networks of new conservation areas. The update resulted in a portfolio of 34 ISCs, including 25 marine-coastal and 9 oceanic, with 5 marine-coastal ISCs on the Caribbean coast. The proposed intervention area for this project is ISC 33 Cahuita-Gandoca.

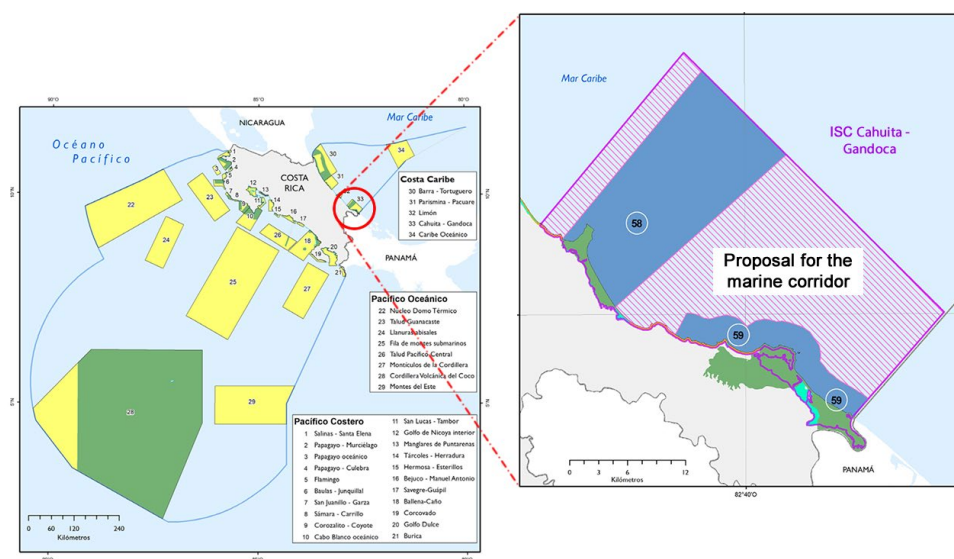


Figure 1. Geographic area of the project: ISC Cahuita-Gandoca

An update on marine-coastal conservation gaps identified 24 Management Focal Elements (MFE) in this ISC, including:

- Key marine habitats for megafauna like seabirds, cetaceans, green turtles, and hawksbill turtles.
- Seabed ranging from shallow waters to 1,000 meters, with shallow areas dominated by coral and rocky reefs housing species such as snappers, scorpion fish, octopus, and lobsters.
- At least six seagrass species vital for manatees.
- The only Guyana dolphin aggregation area in Costa Rica.
- The entire marine-coastal area is crucial for bivalves.
- Coastal environments mainly consist of marshes, sandy beaches, and rocky coastlines.
- Negra, Cahuita, Grande, and Gandoca beaches are priority nesting sites for sea turtles.
- A mangrove swamp and lagoon near Playa Gandoca, significant for manatees.

Various pressures and uses impacting conservation in SIC Cahuita-Gandoca have been identified. Low to medium magnitude activities dominate, covering 200 to 400 km². However, climate change impacts, such as coastal flooding, affect up to 1,000 km². Pressures from human activities include semi-industrial fishing, sport fishing, and small-scale commercial fishing, spanning 300 to 450 km². Additionally, solid waste pollution, particularly plastics, exerts ongoing pressure on marine ecosystems. Climate change effects are evident in warming surface waters and coral bleaching. Invasive species like lionfish and river sedimentation from the mid-basin of rivers that flow into this area exacerbate the conservation challenges faced by the site. These combined pressures highlight the need for integrated management to mitigate their impact on regional ecosystems.

Project Objective: To establish a marine corridor that ensures ecological connectivity between Cahuita NP and the Gandoca-Manzanillo WR with the aim of enhancing the conservation of marine and coastal biodiversity and promoting the sustainable use of natural resources that benefits both ecosystems and indigenous peoples as well as local communities.

The project has three components,

1. Design and establishment of the marine corridor: This will connect Cahuita NP with Gandoca-Manzanillo National Wildlife Reserve, facilitating species flow and ecosystem health. A participatory governance structure will involve local communities, authorities, and experts in managing the corridor effectively.
2. Sustainable management for the restoration and connectivity of the marine corridor: Focused on coral reef restoration and pollution reduction, this will improve water quality and conserve key species. Sustainable activities like artisanal fishing and responsible tourism will be promoted to support local and indigenous economies, fostering a sustainable relationship with natural resources.
3. Financial and regulatory sustainability of the marine corridor: Development of public-private financial mechanisms to secure long-term funding for the corridor's conservation. Regulatory proposals, including decrees for the formalization of marine OECMs, will establish a legal framework for the corridor's effective management.
4. M&E of the management, conservation and restoration of the marine corridor: Regulations on fishing and maritime transport will minimize ecosystem impacts, and a participatory monitoring system will track the corridor's health and the effectiveness of management measures, ensuring adaptive management.

Duties and Responsibilities

The selected International Consultancy firm or individual will support IUCN in developing the GEF-8 Costa Rica Sustainable Cities IP **Project CEO Endorsement Request**. Specific duties and responsibilities include the following:

1. Under the direction of the IUCN GEF/GCF Portfolio Manager and senior staff in IUCN regional and country offices, **lead in coordinating a consultative CEO Endorsement Request development process** with all relevant public agencies and local governments, GEF Secretariat, and key external partners including those from the private sector, civil society, and academia.
2. Assessment and engagement work to identify highest-value opportunities for a) planning and policy coherence in selected key strategic entry points for urban sustainability (waste, water, land-use planning linked to SCIP theory of change and thematic areas at subnational and national levels, b) addressing environmental degradation considering the triple planetary crisis (climate, loss of nature, pollution) and and pollution from land to sea and c) engagement of private sectors and civil society (whole of society approach), considering the state of knowledge and capacities at subnational level for establishing a marine corridor
3. Implementation of workshops and meetings with key stakeholders from the government, private sector and civil society to establish the guidelines for the marine corridor, from the point of view of conservation, livelihoods and ecosystem connectivity.
4. Develop the drafting of the necessary project documents in accordance with the GEF-8 and IUCN Commission, in conjunction with the Center for Tropical Studies and the Ministry of Environment and Energy of Costa Rica, in accordance with the country's regulatory framework and the science-based data collected by the Center for Tropical Studies and academia, as well as the needs of the communities located around the marine corridor and protected areas.
5. Lead the organization and implementation of a Validation Workshop for the Blue Corridor Project: connectivity for the conservation, restoration and sustainable use of marine ecosystems of global importance in the Southern Caribbean of Costa Rica, with the participation of key stakeholders, representatives of Government, Protected Areas, communities, fishermen associations and agricultural producers.

6. Review the draft Request for Government Approval, the project document in conjunction with the Center for Tropical Studies and all annexes to respond to all comments from the GEF Secretariat, GEF STAP and countries in order to achieve GEF approval of the Request for CEO Approval.

2. OBJECTIVES OF THE CONSULTANCY

2.1. General:

To establish a marine corridor that ensures ecological connectivity between Cahuita NP and the Gandoca-Manzanillo WR with the aim of enhancing the conservation of marine and coastal biodiversity and promoting the sustainable use of natural resources that benefits both ecosystems and indigenous peoples as well as local communities.

2.2. Specific:

- Lead the coordination of a consultative CEO Endorsement Application development process and develop a first draft of the CEO Endorsement Application for the marine corridor project and the organization of a Project Development Kick-Off Workshop and field visits, in close coordination with MINAE and the Center for Tropical Studies.
- Develop inception workshop, field visits and ecological and socio-economic studies as needed, required to identify highest-value opportunities and inform on activities and priority sites for intervention.
- Develop a second version of the IP CEO approval request for the creation of the marine corridor, including a consolidated results framework, description of activities and components, safeguard risks.
- Complete Pre due diligence of executors and final Draft CEO Endorsement of the CEO Endorsement Request and all required Annexes.
- Lead the organization and implementation of the Project Validation Workshop for the marine corridor development project in the Costa Rican Caribbean and provide a revised draft of the CEO's Request for Endorsement and project document, and all required Annexes including ESMS and climate risk, and PRODOC from the Center for Tropical Studies, in close coordination with MINAE.
- Draft Center for Tropical Studies response to GEF Secretariat review sufficient to obtain technical clearance.

3. EXPECTED DELIVERABLES

Key deliverables to be developed by the International Consultancy and provided to IUCN:

No.	Deliverable	Description
1	Draft of CEO Endorsement I (Project context, baseline and Logical framework)	. This product shall include: • Description of global environmental problems, root causes and barriers that need to be addressed (systems description); • A complete description of the baseline initiatives, investments present in the baseline, and the sources of co-financing for the project, • Proposed Theory of change • Draft logical framework. • TORs of inception workshops and field visits: ToR of the inception workshop must include a detailed agenda, list of organizations/speakers involved, logistic needs and allow the dissemination of key information and

		orientation guidelines to the country and project stakeholder for the design of the project as well as gathering input from the stakeholders involved in target landscapes
2	Inception workshop and field visit	This product includes: • Inception workshop (presential) • Field visit and socio-economic baseline to identify the status of community livelihoods and social and environmental risks, the state of planning and policy coherence at selected strategic entry points for the creation of the marine corridor. This report will include opportunities to strengthen institutional collaboration (whole-of-government approach) and private sector and civil society engagement (whole-of-society approach), as well as the state of knowledge and capacities at the sub-national level to integrate, plan and implement environmental and social solutions in the marine corridor area and surrounding sites. • - SGAS and risk analysis for successful project implementation at regional and local scale and its appropriate mitigation measures: includes Annex 1 with IUCN standards and risk areas: c1) Resettlement; C2) Indigenous Peoples; C3) Cultural Heritage; C.4) Biodiversity, for moderate risk projects (selective assessment). It is applied in the specific area of IUCN standards and risks, based on an analysis of the socio-economic and cultural context of the area and, most importantly, on the relevant characteristics of the (potential) intervention sites: legal framework of land tenure and actual ownership situation and legal framework in and around protected areas, identification of the main ethnic and social groups present in the sites (including indigenous peoples and marginalized or vulnerable groups) and analysis of their main characteristics (language, livelihoods, dependence on nature, territory, culture and spiritual traditions, social organization and customary institutions); Gender disaggregation of the above topics, highlighting differences in roles, practices and knowledge, in rights and power (including influence in decision-making), as well as access to and control over resources; security situation (organized crime) and framework for environmental law enforcement and actors involved.; • ESMP Environmental and social management Plan / Plans required by standards (C1. C2. C3. C4) (for GEF Projects) including Indigenous (C.2) gender action plans. • Climatic Risk analysis for key area of intervention.
3	Draft proposal of CEO endorsement II	Deliverables must include:

		• All the information from D1 and D 2 • The incremental reasoning of the project in relation to the GEF investment; • Description of the activities of the components, performance and output indicators, production, baseline data and project objectives; • A consolidated results framework with a separate budget between GEF resources and co-financing resources (detailed by co-financier) (Table B)
4	Pre due diligence of executors and Final Draft CEO Endorsement	Deliverables must include: • Pre due diligences for pre-selected executing agencies. • Institutional arrangements, project implementation arrangements and project team; • A monitoring and follow-up plan for the project, including its detailed costs; • The estimation of the global environmental benefits (GEFTF) • The draft GEF CEO Request, prepared using the GEF-GBFF template, must include all required annexes and sections including a stakeholder engagement plan, gender analysis and Action Plan, private sector engagement plan,
5	Revised draft CEO Endorsement Request with all required annexes sufficient for approval by GEF and updated IUCN Project Document.	• Validation workshop (presential if needed) Agenda, Presentation of key sections of the PRODOC. • IUCN PRODOC • ESMS • Climatic Risk analysis.
6	IUCN response to GEF Secretariat review and technical clearance	• Answers to the GEFSEC comments to the project design.

4. INTELLECTUAL PROPERTY

All Intellectual Property rights conceived or made by the Consultant / Consulting Firm in the course of providing the Services will belong to IUCN.

5. SCHEDULING AND TIMETABLE FOR DELIVERING PRODUCTS

5.1. Activities and programming

Specific objectives	Activities	Months								
		1	2	3	4	5	6	7	8	9
1. Lead the coordination of a consultative CEO Endorsement Application development process and develop a first draft of the CEO Endorsement Application for the marine corridor project and the organization of a Project Development Kick-Off Workshop and field visits, in close coordination with MINAE and the Center for Tropical Studies.	- Review of documents including the approved marine corridor initiative funding document and initial project concept note, associated documents, e.g., STAP and GEF Secretariat and GEF Council comments, IUCN GEF policy and guidance documents, GEF-8 programming guidelines, etc. - Review challenges and lessons learned regarding the Marine Corridor IP in relation to GEF-6 and GEF-7. - Describe global environmental problems, root causes and barriers to be addressed (systems description), including environmental degradation taking into account the triple planetary crisis (climate, loss of nature, pollution) and spheres of influence of cities: this report will provide a baseline ocean conditions, key pollution trends (water pollution) and climate impacts (GHG emissions by sector) of the study area - Review baseline initiatives in selected sectors (water, waste, land-use planning)									

	• Draft ToR of the Program Development Inception Workshop including detailed agenda, potential list of organizations/ speakers involved, logistic needs and additional field trips. • Draft logical framework with expected disaggregated gender indicators, the theory of change and the baseline for the GEF Core indicators of the project (ref. IUCN Gender equality and women's empowerment policy, MINAE's institutional policy and plan 2025-2030). • Prepare the communication plan for the launch and development of the Project Document, including required materials such as brochures, PowerPoint presentations. • Address feedback received from Center for Tropical Studies and MINAE on ToR of inception workshops and field trips.									
2. Develop inception workshop, field visits and ecological and socio-economic studies as needed, required to identify highest-value opportunities and inform on activities and priority sites for intervention.	• Lead the implementation of the Project Design Inception Workshop. • Write inception workshop report. • State of planning and policy coherence in selected key strategic entry points for urban sustainability (waste, ocean, land-use planning linked to marine corridor, IP theory of change and thematic areas) at subnational and national levels: this report shall highlight and prioritize opportunities in each sector considered for the project implementation (ocean, waste and land-use planning linked to marine corridor IP theory of change and thematic areas). In addition, master plans of selected site must be reviewed to identify potential opportunities for integration of biodiversity within land-									

	ocean an protected areas development and sustainability, local communities, civil society organizations, the private sector, and plan engagement of stakeholders for designing the project; • Undertake a strategic Environmental and Social assessment (SESA) report on social and environmental risks potentially triggered by supporting development and advancement of integrated ocean and protected areas. • Develop mitigation measures together with relevant stakeholders, in particular project affected peoples/ indigenous communities, and consolidate them in form of safeguard tools (ESMP, Indigenous People Plan, Process Framework etc.) as appropriate and as instructed by ESMS Screening.									
3. Develop a second version of the IP CEO approval request for the creation of the marine corridor, including a consolidated results framework, description of activities and components, safeguard risks.	• Carry out an Environmental and Social Impact Assessment (ESIA) for the investment to be potentially supported under component 2. • Develop procedures to guide the screening of the business and value chain investments to be identified during project implementation on environmental and social risks (component 2) • Develop a project-level Grievance Mechanism. • Carry out a detailed gap analysis to justify the GEF incremental cost reasoning, ensuring the designs of the child projects are robust enough for different potential futures. See the									

	STAP brief on Simple Future Narratives¹. - Based on previous activities and products, consolidate a description of the activities of the components, performance and output indicators, production, baseline data and project objectives; - Develop a consolidated results framework with a separate budget between GEF resources and co-financing resources (detailed by co-financier) (Table B)										
4. Complete Pre due diligence of executors and final Draft CEO Endorsement of the CEO Endorsement Request and all required Annexes.	- Based on stakeholder mapping, identify and assess capacities of executing partners and other partners in the field using the Center for Tropical Studies Implementing Partner Suitability Assessment Format. - Develop linkages and implementation arrangements with host government partners, executing partners and other potential partners on-the-ground. - Review the current system for training/capacity building of selected cities, relevant ministries (MINAE, Ministry of Communication, Vice-Ministry of Seas and Oceans), and other relevant organizations based on prioritized sectors. - Based on stakeholder analysis and consultations carried out throughout the design phase, develop the stakeholder engagement plan (SEP) establishing										

¹ https://stapgef.org/sites/default/files/2023-06/Simple%20Future%20Narratives%20brief_June%202023.pdf

	how to continue to engage stakeholders during the implementation phase. • Design and develop indicators mapped to GEF core indicators taking into account gender responsiveness, establish baselines for the indicators and develop Monitoring & valuation plan • Address Center for Tropical Studies comments to draft CEO Request. • Draft ToR for the validation workshop organized in coordination with Center for Tropical Studies and all participating partners and relevant organizations.									
5. Lead the organization and implementation of the Project Validation Workshop for the marine corridor development project in the Costa Rican Caribbean and provide a revised draft of the CEO's Request for Endorsement and project document, and all required Annexes including ESMS and climate risk, and PRODOC from the Center for Tropical Studies, in close coordination with MINAE.	• Lead the CEO endorsement request validation workshop. • The product will include a report summarizing the feedback received as part of the local consultation in accordance with the specificities of the area of interest and GEF and Center for Tropical Studies guidelines. • Lead the validation workshop organized in coordination with Center for Tropical Studies and all participating partners and relevant organizations. • In addition, this product shall include a summary of feedback received from the validation workshop and list of participants. • Provide input for activities to be supported at global level including: High-level events and communication, support for project preparation facility, global web platform for knowledge exchange, need for other associated services offered by Global Platform for Sustainable Oceans.									

6. Draft Center for Tropical Studies response to GEF Secretariat review sufficient to obtain technical clearance.	Address all GEF Secretariat, GEF STAP, Center for Tropical Studies and Country comments sufficient to achieve GEF approval of the CEO Endorsement Request.									
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5.2. Timetable for delivery of products:

Products	Expected date of delivery	Percentage of pay
a. Draft of CEO Endorsement I (Project context, baseline and Logical framework)	2 months after the signing of the contract by both parties	15%
b. Inception workshop and field visit	3 months after the signing of the contract by both parties	15%
c. Draft proposal of CEO endorsement II	4 months and 2 weeks after the signing of the contract by both parties	15%
d. Pre due diligence of executors and Final Draft CEO Endorsement	5 months and 2 weeks after the signing of the contract by both parties	10%
e. Revised draft CEO Endorsement Request with all required annexes sufficient for approval by GEF and updated Center for Tropical Studies Project Document.	6 months and two weeks after the signing of the contract by both parties	25%
f. Center for Tropical Studies response to GEF Secretariat review and technical clearance	12 months after the signing of the contract by both parties	20%

- All products will be paid once delivered to MINAE and Center for Tropical Studies complete satisfaction.
- Disbursements will depend on the availability of funds from the donor.
- The consultant / consulting firm must consider in the technical proposal the modification of some deliverables during the execution of the contract, if it is necessary, to adapt some results, without affecting the amount of the original contract.

1. TECHNICAL PROFILE

For the development of this consultancy, a team should be proposed that meets the following profile requirements:

1. Experience in developing GEF or other international funds' ProDocs and related project documents, along with a good grasp on GEF guidelines and standards to be met for these.

2. Experience and expertise in project design and implementation, including monitoring and evaluation, including gender-responsive project design.
3. Sustainable financing expertise with specific experience relevant to financing of sustainable urban development.
4. Local expertise with extensive knowledge on national efforts to promote sustainable development in cities to position project activities in the local context effectively.
5. Knowledge of private sector and community-based approaches to natural resource management, including urban parks, green spaces and forest within and in surrounding selected cities.
6. Knowledge of environmental issues and complexities as they relate to Costa Rica and Costa Rican Caribbean.
7. Expertise in gender analysis and integrating gender empowerment aspects of gender in forest restoration and conservation.
8. Experience in dialogue and work with local communities, including obtaining FPIC.
9. Knowledge of social and livelihood systems in Costa Rica
10. Experience in value chain development and identification of business investment opportunities at local level
11. Understanding of the natural resources management and land use policy environment, including master plans and the system to administer land rights (statutory and customary) as well as conditions and challenges specific to the selected site.
12. Expertise in Environmental and Social Impact Assessment and development of Environmental and Social Management Plans (ESMP) and other safeguard tools
13. Financial Management, including procurement related expertise.
14. Experience in structuring sustainable oceans projects, including preferably, those financed by the GEF.
15. Experience in conducting community and stakeholder consultations.
16. Fluency in English, and Spanish language is necessary.
17. Academic background required by the different members of the team: Architects, forest engineer, environment conservation, oceans, land-use policy experts, economist, GIS expert, anthropologist/sociologist or related careers.

It is reiterated that the selected international consulting firm must have personnel based in Costa Rica; it is considered a competitive advantage if at least one member of the team is a national consultant.

2. PERIOD AND COORDINATION

The period of the consultancy will be 9 months.

Form of work (with Unit/Project): in order to achieve the products, all activities will be closely coordinated under the direction of the Center for Tropical Studies GEF/GCF Regional Portfolio Manager f and senior staff in Center for Tropical Studies regional and country office in Costa Rica and maintain close communication with MINAE authorities and strategic partners.

ANNEX 2: LETTER OF INTEREST

Fill in the information in blue

[Place and date]

TO: [IUCN]

The undersigned, [name of the professional], after having examined the Terms of Reference for the Contracting of the Professional Consulting Services for (name of the consultancy) and offers to perform these services in accordance with the call for date _____.

The attached Financial Proposal is for the total sum of [amount in letters and figures], which includes all taxes required by law.

The period of time in which the signatory of this document agrees to provide the services is from the date of signing the contract, until the date of termination thereof, without price variation, unless modifications are made resulting from contract negotiations.

The undersigned declares that all the information and statements made in the submitted proposals are true and that any misinterpretation contained in them may lead to disqualification.

Cordially,

Signature _____

Full name of the proposer or legal representative _____

ATTACHMENT 3a – SELF-EMPLOYED PROPOSER

DECLARATION in relation to RfP < Consultancy Service >

I, the undersigned, hereby confirm that I am self-employed and able to provide the service independent of any organisation or other legal entity.

Full name (as in passport):

Home or Office (please delete as appropriate) Address (incl. country):

I hereby authorise IUCN to store and use the information included in the attached Proposal for the purpose of evaluating Proposals and selecting the Proposal IUCN deems the most favourable. I acknowledge that IUCN is required to retain my Proposal in its entirety for 10 years after the end of the resulting contract and make this available to internal and external auditors and donors as and when requested.

I further confirm that the following statements are correct:

1. I am legally registered as self-employed in accordance with all applicable laws.
2. I am fully compliant with all my tax and social security obligations.
3. I am free of any real or perceived conflicts of interest with regards to IUCN and its Mission.
4. I agree to declare to IUCN any real or perceived emerging conflicts of interests I may have concerning IUCN. I acknowledge that IUCN may terminate any contracts with me that would, in IUCN sole discretion, be negatively affected by such conflicts of interests.
5. I have never been convicted of grave professional misconduct or any other offence concerning my professional conduct.
6. I have never been convicted of fraud, corruption, money laundering, supporting terrorism or involvement in a criminal organisation.
7. I acknowledge that engagement in fraud, corruption, money laundering, supporting terrorism or involvement in a criminal organisation will entitle IUCN to terminate any and all contracts with me with immediate effect.
8. I am not included in the UN Security Council Sanctions List, EU Sanctions Map, US Office of Foreign Assets Control Sanctions List, or the World Bank listing of ineligible firms and individuals. I agree that I will not provide direct or indirect support to firms and individuals included in these lists.
9. I have not been, am not, and will not be involved or implicated in any violations of Indigenous Peoples' rights, or injustice or abuse of human rights related to other groups or individuals, including forced evictions, violation of fundamental rights of workers as defined by the International Labour Organization's (ILO) Declaration on the Fundamental Principles and Rights at Work, child labour, sexual exploitation, sexual abuse, or sexual harassment.

<Date and Signature>

ATTACHMENT 3b - For Consulting Companies

DECLARATION in relation to RfP <name of the Consultancy Service>

I, the undersigned, hereby confirm that I am an authorised representative of the following organisation:

Registered Name of Organisation (the "Organisation"): _____

Registered Address (incl. country): _____

Year of Registration: _____

I hereby authorise IUCN to store and use the information included in the attached Proposal for the purpose of evaluating Proposals and selecting the Proposal IUCN deems the most favourable. I acknowledge that IUCN is required to retain the Proposal in its entirety for 10 years after then end of the resulting contract and make this available to internal and external auditors and donors as and when requested.

Where the Proposal includes Personal Data as defined by the European Union's General Data Protection Regulation (GDPR), I confirm that the Organisation has been authorised by each Data Subject to share this Data with IUCN for the purposes stated above.

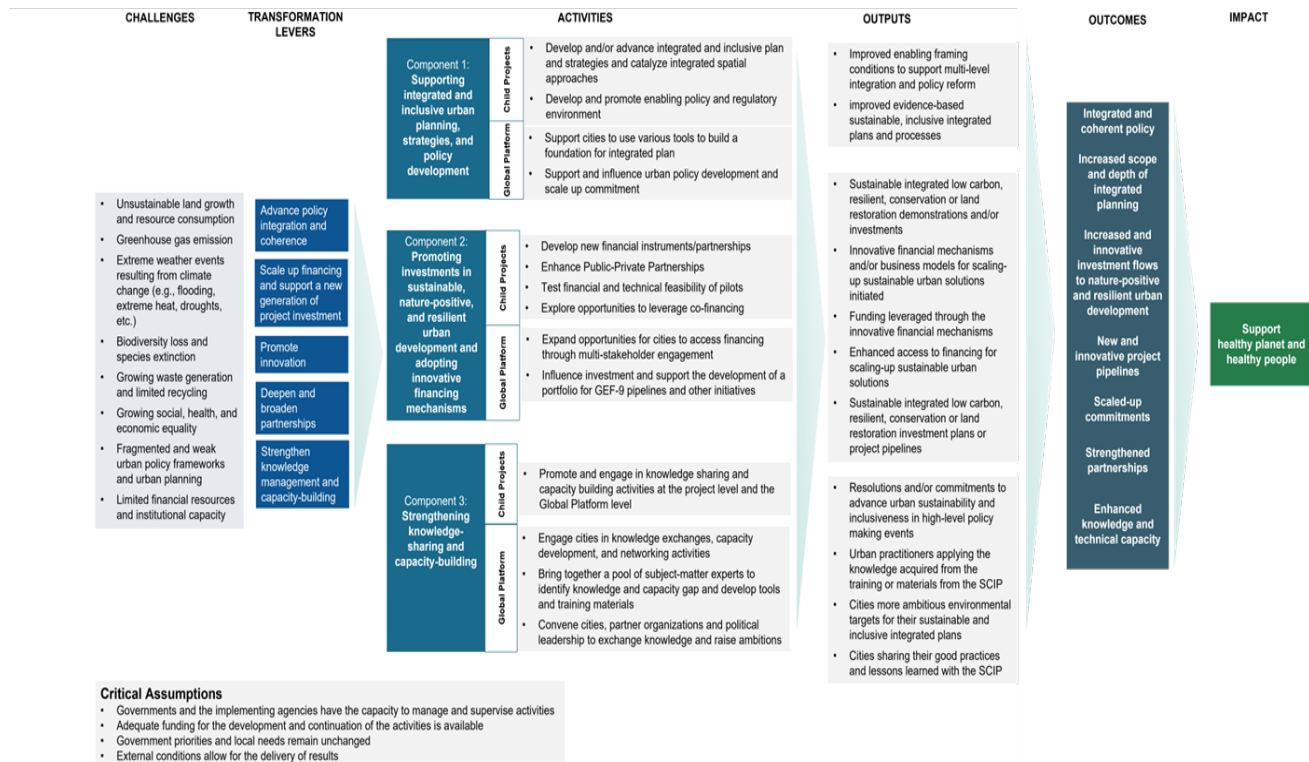
I further confirm that the following statements are correct:

1. The Organisation is duly registered in accordance with all applicable laws.
2. The Organisation is fully compliant with all its tax and social security obligations.
3. The Organisation and its staff and representatives are free of any real or perceived conflicts of interest with regards to IUCN and its Mission.
4. The Organisation agrees to declare to IUCN any real or perceived emerging conflicts of interests it or any of its staff and representatives may have concerning IUCN. The Organisation acknowledges that IUCN may terminate any contracts with the Organisation that would, in IUCN sole discretion, be negatively affected by such conflicts of interests.
5. None of the Organisation's staff has ever been convicted of grave professional misconduct or any other offence concerning their professional conduct.
6. Neither the Organisation nor any of its staff and representatives have ever been convicted of fraud, corruption, money laundering, supporting terrorism or involvement in a criminal organisation.
7. The Organisation acknowledges that engagement by itself or any of its staff in fraud, corruption, money laundering, supporting terrorism or involvement in a criminal organisation will entitle IUCN to terminate any and all contracts with the Organisation with immediate effect.
8. The Organisation is a going concern and is not bankrupt or being wound up, is not having its affairs administered by the courts, has not suspended business activities, is not the subject of proceedings concerning those matters, or in any analogous situation arising from a similar procedure provided for in national legislation or regulations.
9. The Organisation complies with all applicable environmental regulatory requirements or other legal requirements relating to sustainability and environmental protection.
10. The Organisation is not included in the UN Security Council Sanctions List, EU Sanctions Map, US Office of Foreign Assets Control Sanctions List, or the World Bank listing of ineligible firms and individuals. The Organisation agrees that it will not provide direct or indirect support to firms and individuals included in these lists.
11. The Organisation has not been, is not, and will not be involved or implicated in any violations of Indigenous Peoples' rights, or injustice or abuse of human rights related to other groups or individuals, including forced evictions, violation of fundamental rights of workers as defined by the International Labour Organization's (ILO) Declaration on the Fundamental Principles and Rights at Work, child labour, sexual exploitation, sexual abuse, or sexual harassment.

<Date and Signature of authorised representative of the Proposer>
< Name and position of authorised representative of the Proposer >

Annex 4:

Proposed Theory of Change for the Sustainable Cities IP in the Program Framework Document:



GEF-8 CHILD PROJECT CONCEPT

Annex 5 Guatemala Child Project Concept Note under Sustainable Cities IP

GENERAL CHILD PROJECT INFORMATION

Child Project Title:	Towards resilient cities in Guatemala: addressing biodiversity loss and recovery through integrated urban planning and development		
Country(ies):	Guatemala	GEF Child Project ID:	TBD
		Type of Child Project	Full-sized project
GEF Agency(ies):	IUCN	GEF Agency Child Project ID:	TBD
Anticipated Executing Entity(s) and Type:	Ministry of Environment and Natural Resources of Guatemala	GOVERNMENT	
	Vice Ministry of Housing and Urban Development	GOVERNMENT	
	Other executing agencies to be defined during PPG		
GEF Focal Area(s):	Land Degradation, Biodiversity	Submission Date:	
Type of Trust Fund:	GEFTF	Child Project Duration (Months)	48
GEF Child Project Grant: (a)	3,886,697	GEF Child Project Non-Grant (b)	0
Agency Fee(s) Grant: (c)	349,803	Agency Fee(s) Non-Grant: (d)	0
Total GEF Financing: (a+b+c+d)	4,236,500	Total Co-financing:	35,079,036
PPG Amount (e):	150,000	PPG Agency Fee(s) (f):	13,500
Total GEF Resources (a+b+c+d+e+f)	4,400,000		
Project Sector (CCM only)			
Program	Sustainable Cities		

CHILD PROJECT FINANCING TABLES

GEF Financing Table

Indicative Trust Fund Resources Requested by Agency(ies), Country(ies), Focal Area and the Programming of Funds

GEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing	Agency Fee	Total GEF Financing
IUCN	GEFTF	Guatemala	Biodiversity	BD STAR IP	2,455,686	221,012	2,676,698
IUCN	GEFTF	Guatemala	Land Degradation	LD STAR IP	459,337	41,340	500,677
IUCN	GEFTF	Guatemala	Multi focal area	STAR IP Matching incentives	971,674	87,451	1,059,125
Total GEF Resources					3,886,697	349,803	4,236,500

Project Preparation Grant (PPG)

Is Project Preparation Grant requested? ☒ Yes ☐ No

If yes²: fill in PPG table (incl. PPG fee)

GEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Programming of Funds	(in \$)		
					PPG	Agency Fee	Total PPG Funding
IUCN	GEFTF	Guatemala	Biodiversity	BD STAR IP	94,773	8,53	103,302
IUCN	GEFTF	Guatemala	Land Degradation	LD STAR IP	17,727	1,59	19,323
IUCN	GEFTF	Guatemala	Multi focal area	STAR IP Matching incentives	37,500	3,37	40,875
Total PPG Amount					150,00	13,50	163,500

Sources of Funds for Country STAR Allocation

GFEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Source of Funds	Total
IUCN	GEFTF	Guatemala	Biodiversity	BD STAR Allocation	2,780,000
IUCN	GEFTF	Guatemala	Land Degradation	LD STAR Allocation	520,000

Total GEF Resources	3,300,000
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Indicative Focal Area Elements

Programming Directions	Trust Fund	(in \$)	
		GEF Project Financing	Co-financing
IP Sustainable Cities	GEFTF	4,400,000	35,079,036
Total Project Cost			39,479,036

Indicative Co-financing

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Investment Mobilized	Amount (\$)
Total Co-financing				35,079,036

Project co-financing was identified by holding two workshops with Civil Society Organizations, local governments and national government representatives where synergetic initiatives were identified: in-kind investments were estimated and shared by corresponding institutions based on recurrent expenditures/on-going projects (Municipality of Guatemala, Mancomunidad Gran Ciudad del Sur, FFEM FUNDAECO, University del Valle, FUNCAGUA). Other grants were identified based on Project partners' knowledge of funding opportunities (Subnational Climate Finance, MARN - Adaptation fund). Only a portion of the Word Bank loan (USD 120,000,000 in total) was accounted for as Project co-financing in order to provide conservative estimates since only part of the resources should be allocated to green infrastructure and integrated land-use planning, and the loan remains to be approved by the Parliament.

TABLE ON CORE INDICATORS

Core Indicators

Project Core Indicators		Expected at PFD
4	Area of landscapes under improved practices (excluding protected areas)(Hectares)	71,902
6	Greenhouse Gas Emissions Mitigated (metric tons of CO ₂ e)	268,697
11	Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment	120,000 (60,600 women, 59,400 men)

Explain the methodological approach and underlying logic to justify target levels for Core and Sub-Indicators (max. 250 words, approximately 1/2 page)

Target for the “**Area of landscapes under improved practices**” was set considering existing plans to formalize and create regulation for urban green corridors in both Guatemala metropolitan area and Huehuetenango that will be directly supported as part of this project, which would account for newly

established OECMs. Improved practices within corridors will be triggered by a set of incentives, public investments and innovative financial models such as municipal payment for environmental services.

Target for “**Greenhouse Gas Emissions Mitigated**” was set considering the contribution of the low carbon urban plan to amplify the uptake of low-emissions vehicles through regulatory measures and incentives (tax abatement), improve collective public transportation and modernize solid-waste treatment, in line with the level of ambition in the Nationally Determined Contribution.

Target for “**Number of direct beneficiaries disaggregated by gender**” was set considering the number of inhabitants of cities comprised in project area with conservative assumptions with regards to potential number of users of improved public transportation, formal jobs created/formalized in waste sector, and staff from local government/CSO/private companies managing green spaces who received training on biodiversity friendly practices.

PROJECT DESCRIPTION

Country Context (*maximum 500 words*)

Describe the country’s relevant environmental challenges and strategic positioning relative to the systems transformation proposed for the program, including relevant existing policies, commitments, and investment frameworks. How are these aligned with the proposed approach to foster impactful outcomes with global environmental benefits?

Guatemala is home to some 17.5 million people and is the largest economy in Central America. Its population growth rate of around 1.9% per year (World Bank) is among the highest in the region, and much of that growth is increasingly located in its cities where 54% of the population presently resides – up from 42% in 2001 and projected to reach 75% of the population by 2030.

As with other developing countries in the region and globally, the rapid growth of Guatemala’s cities presents many serious challenges. These include inadequate land use planning leading to urban sprawl and other issues, poorly planned and inadequate transportation systems contributing to air pollution and other health and social problems, and inadequate waste and water management. These challenges are particularly acute for poorer residents, with some 31% of Guatemala’s urban population residing in slums that typically lack access to basic services and are more vulnerable to natural disasters. And climate change is exacerbating these problems, with cities facing increased vulnerability to flooding, heat waves, droughts, and other shocks.

Guatemala’s cities are also significant drivers of environmental degradation, including as sources of GHG emissions as well as habitat degradation and loss leading to loss of biodiversity, particularly as unchecked urban sprawl converts more and more green spaces.

In the face of these challenges, Guatemala has developed a set of policies, institutions, and investments to strengthen the sustainability of its cities, and made a number of ambitious commitments. These include establishment of the *National Urban and Rural Development Council* (CONADUR) that coordinates and monitors implementation of national development policies including urban development and that operates at different levels from local to national and integrates various ministries for cross-sector collaboration, Community and Municipal Development Councils in charge of supporting citizens participation in land-use zoning plans elaboration.

Across key sectors, Guatemala has been making investments in urban sustainability. These include investment in public transit systems including Transmetro and MetroRiel in Guatemala City and promoting non-motorized transportation. To address waste management, Guatemala enacted in 2016 the *Solid Waste Management Law*, followed by additional regulation for municipalities in 2021 (AG-164-2021) that set guidelines for waste collection, transportation and disposal and promote waste

reduction, recycling and recovery. To address critical challenges in sustainable water management that include limited access to clean water, aging and inadequate infrastructure, pollution and contamination, inefficient usage and climate change, Guatemala is working towards implementing integrated water resources management approaches, has made investments in water supply and distribution infrastructure, and is working to engage local communities in water management and enhance public awareness about the importance of water conservation and sustainable use.

At the national and global levels, Guatemala's National Development Plan, *K'atun 2032*, prioritizes sustainable urban development and land management in alignment with the Sustainable Development Goals. In 2016, as part of the UN-Habitat III process, the country approved the *Urban Agenda*, which calls for public policies and strategic plans supporting sustainable and socially inclusive urbanization. And Guatemala's *Climate Change Law* (Decree No. 7-2013) requires municipalities and Urban and Rural Development Councils to consider national communications on climate change when addressing urban and land use planning for adaptation and mitigation.

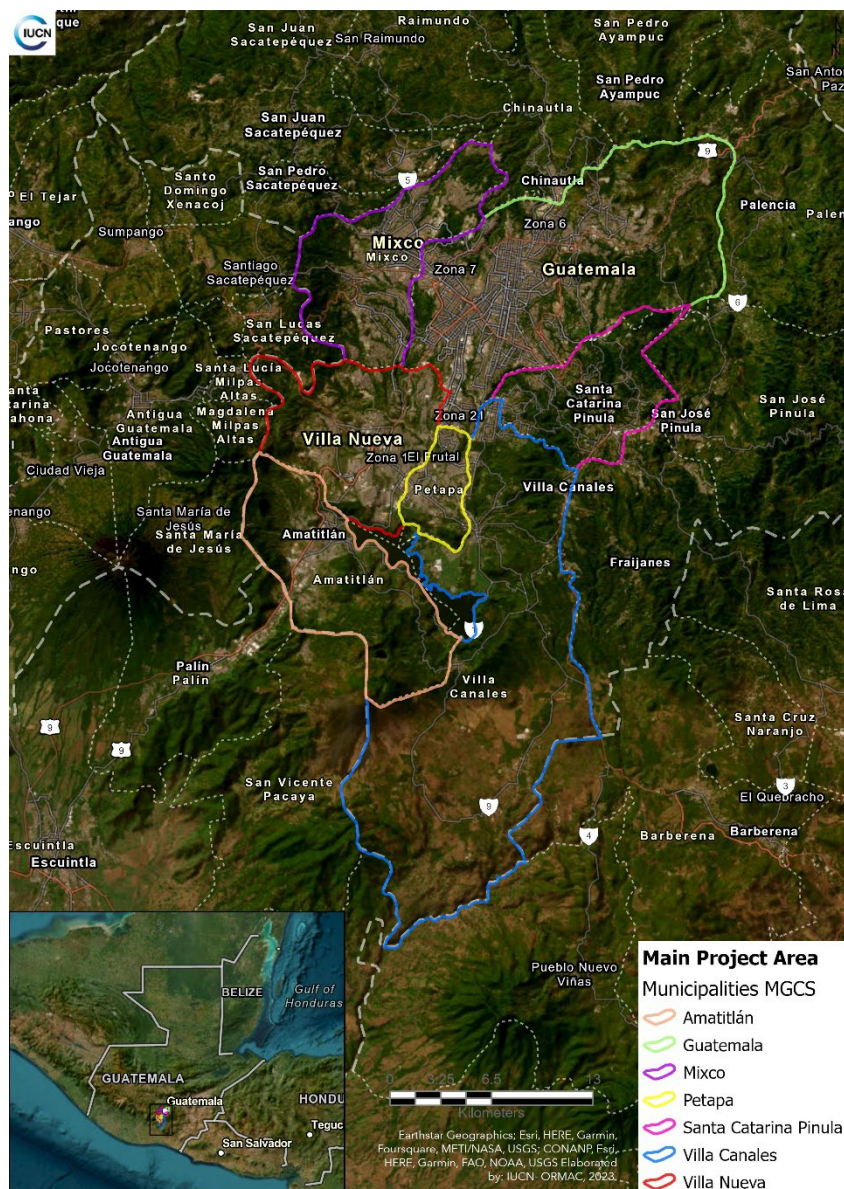
Taken together, these developments, initiatives and political are well aligned with the goals of this IP to advance integrated and systems-based approaches for building net zero carbon, nature positive, inclusive and climate resilient cities. Many of the underlying challenges affecting Guatemala's cities, as well as potential solutions, are relevant to other developing countries including those participating in the Sustainable Cities IP, offering strong potential for exchange, partnership, and scaling up.

Project Overview and Approach (maximum 1250 words)

- a) Provide a brief description of the geographical target(s), including details of systemic challenges, and the specific environmental threats and associated drivers that must be addressed;

The project will work at the national level to support enabling policy reforms, and in two priority metropolises: the **Guatemala City Metropolitan Area** and the city of **Huehuetenango** - where needs are high and where project interventions and experiences offer great potential for scaling up.

The **Guatemala City Metropolitan Area (AMCG)** is the largest city in Guatemala, home to some 3.5 million people and comprised of eight different municipalities covering 478 square kilometers (Map 1). All of the challenges described above are relevant to AMCG including poorly controlled urban expansion, inadequate transportation, water and sanitation, waste management, and more. The expansion of AMCG has led to the emergence of peri-urban regions in municipalities with limited ability to manage development. Of the eight municipalities that comprise AMCG, only three have Municipal Development Plans, and the ability to implement and enforce urban planning regulations is weak, particularly in informal areas. Sustainable water management is also an acute concern. A recent report by FUNCAGUA, an NGO focused on addressing water and environmental issues in Guatemala, finds that aquifers in the area are being over-exploited, including critical reductions of over 30 meters per year in 49% of wells, and drops between 20 and 30 meters per year in 32% of the wells. In addition, urban sprawl leads to soil sealing which in turn reduce watershed recharge.



Map 1: Municipalities of Guatemala Metropolitan Area

Huehuetenango metropolitan area is a smaller city and regional hub covering some 220 square kilometers situated in the western highlands of Guatemala (map 2) with a growing population of 150,000 projected to reach 500,000 by mid-century. The population includes large communities of Mayan Mam descent. The city's location in the dry corridor region leaves it vulnerable to drought and other climate-related risks, and water management is indeed a critical issue, with overexploitation of available resources and aging, insufficient infrastructure among the challenges. Other pressing concerns for Huehuetenango include deforestation from unsustainable use of fuel wood, air pollution principally due to vehicle emissions and burning of solid fuels for cooking and heating, and inadequate waste management.



Map 2: Huehuetenango city

Huehuetenango city managers have put forward a vision for sustainable development of the region, articulated in three plans: the *Municipal Development Plan 2011-2025*, the *Municipal Plan for Local Economic Development and Adaptation to Climate Change (2019-2023)*, and the *Municipal Development and Land Use Plan of the Municipality of Huehuetenango, 2019-2032*. The municipality has also partnered with the Guatemalan NGO Foundation for Ecodevelopment and Conservation (FUNDAECO), the National Council of Protected Areas (CONAP) and the National Forest Institute (INAB) to establish the **Zac'ulew Municipal Ecological Belt**, as a strategy for limiting urban sprawl and protecting biodiversity. To date, 10 areas have been prioritized, totaling more than 500 ha of surface area.

-
- b) Describe the existing or planned baseline investments, including current institutional framework and processes for stakeholder engagement and gender integration.

In the targeted cities, a number of on-going investments from different donors including FFEM, AECID and multilateral banks including World bank and IADB provide a strong baseline to build upon. FUNDAECO has mobilized continuous support from FFEM to invest in rehabilitating green parks, while IUCN has supported integrated water management at the metropolitan level by strengthening knowledge on the impact of urban areas on water resources and corresponding management strategies. As part of the project Nature4Cities funded by the Green Climate Fund and EUROCLIMA, UNEP and MARN are currently supporting the municipality of Guatemala in evaluating opportunities to include Nature Based Solutions in the Municipal Development Plan. The World Bank is currently considering a large investment

(US\$ 120 million, loan), which, if approved by the Parliament, will support improving climate resilience in Guatemala Metropolitan Area in coordination with the Ministry of Communication, Infrastructure and Housing and the Social Solidarity Fund. This project will improve access to resilient basic services and infrastructure, enhance planning and land-use zoning capacities of the municipalities from Guatemala Metropolitan Area.

Ministry of Communications, Infrastructure, and Housing (CIV): This ministry oversees the development and maintenance of urban infrastructure, such as roads, bridges, and public transportation systems. It also coordinates national housing policies and programs aimed at improving living conditions in cities. FUNCAGUA and WWF and CENTRARSE networks of private actors will be leveraged to engage businesses in enhancing access and quality of green spaces, promote sustainable mobility and appropriate waste management at their own level and supply chain.

The planning and citizen participation platform for the proposal will be provided by the Mancomunidad Gran Ciudad del Sur and the Urban and Rural Development Councils, along with private sector involvement.

Gender integration will be sought when developing mechanisms to engage with local communities together with the National Women's Office, the Women's Ombudsman's Office of the Office of the Human Rights. Two opportunities to integrate gender balance as part of project activities and which will be further expanded during PPG are:

- job creation provided by NbS and circular economy approaches will be designed to ensure women will equally benefit from job opportunities generated by the project
- the waste management sector offers a strong potential to improve working conditions and income of female workers by formalizing their employment conditions and technology uptake

-
- c) Describe how the integrated approach proposed for the child project responds to and reflects the Program's Theory of Change, and as such is an appropriate and suitable option for tackling the systemic challenges, and to achieve the desired transformation with multiple global environmental benefits; and

The project will work to support transformational change for urban systems in Guatemala through a set of targeted interventions in line with the IP's theory of change, and that support integrated land use planning and policies; mobilizing and enabling investment in sustainable, nature-positive and climate resilient urban development; and strengthening knowledge sharing, best practices, and capacity for sustainability.

Interventions will be delivered through the following interlinked Components and activities:

C1. Integrated and Inclusive Urban Planning, Strategies, and Policy Development: Supporting development and advancement of integrated and inclusive urban planning for the targeted metropolises, including addressing challenges of urban sprawl, water management, waste management including support for circular economy approaches, sustainable transportation needs and more. Supported approaches will include enhancing coordination platforms for government agencies and municipalities to co-design a national resilient urban policy framework and supporting integrated spatial planning of urban greening plan at municipal level. In addition, support will be provided for integration of nature in urban planning solutions, including through assessments of the value of natural capital, assessments of threats to species and options for mitigating those threats, as well as climate change mitigation and adaptation benefits (i.e. reduced urban flooding, increased water recharge).

C2. Mobilizing Investment in Sustainable, Nature-Positive and Climate Resilient Urban Development: Supported interventions will include development incentives for developers to build multi-family dwellings or mixed-use developments in city centers; blended finance and other approaches to

support private investment in public transportation infrastructure such as bus rapid transit (BRT) systems, green infrastructure and circular economy practices. Other supported approaches may include design of municipal payment for environmental services schemes particularly for water and air quality and land value capture mechanisms.

C3: Strengthening Knowledge Sharing and Capacity Building on Sustainable Urban Solutions:

Supporting knowledge sharing and awareness raising among key stakeholders including within government agencies and policy makers, on sustainable urban solutions including NbS, and enabling policy and financing approaches.

d) Describe the project's incremental reasoning for GEF financing under the program, including the results framework and components.

The targeted municipalities generally face budget and capacity constraints. The GEF financing will complement ongoing investments and mobilize investment in the participating cities. The incremental costs of the intervention will support transformational shifts as follows:

Low-carbon urban planning with a greenprinting approach are necessary for AMCG and Huehuetenango: at present, the majority of projects implemented in urban areas are strongly centered on adaptation, but not on biodiversity loss or climate change mitigation. This Project will complement this approach by ensuring adaptation plans are also contributing to biodiversity net-gains and reduced GHG emissions.

Despite existing efforts to better manage urban green infrastructure and natural resources at AMCG level, there is a lack of coordination and knowledge exchange between stakeholders: GEF financing will support development of a metropolitan observatory to compile and liberally share data and spatially-explicit information in a web-portal to inform urban planning processes, building on knowledge from NGOs, public sector and academia to help establish a nature-positive and resilient urban culture and influence policymakers. This observatory will also serve as local knowledge-hub for cities to share learnings.

Financing to address urban sustainability challenges in Guatemala is at present heavily dependent on public (local, state) finance and international development aid. GEF financing will support development of viable business models and financial instruments that will enable and attract private capital to urban sustainability opportunities and accelerate uptake of low-carbon urban planning and greening of cities.

Engagement with the Global / Regional Framework (*maximum 500 words*)

Describe how the project will align with the global / regional framework for the program to foster knowledge sharing, learning, and synthesis of experiences. How will the proposed approach scale-up from the local and national level to maximize engagement by all relevant stakeholders and/or actors?

The proposed Project will be designed from the ground up to align with the regional framework of the Program to support knowledge sharing, learning, and synthesis of experiences – both as a contributor and as a recipient of information and knowledge products and experiences – and to support scaling up to maximize impact and sustainability. Key elements of this aligned approach include the following:

- **Governance and regional-level policy coherence:** project will build on existing tools and experiences already identified as part of GEF6 and GEF7 Sustainable Cities Program to raise

the level of ambition of city commitments for nature and climate protection and generate sound economic and ecological plans and policies.

- **Active participation of Project team and stakeholders in programmatic knowledge exchange workshops, trainings and exchanges** – Project will include budgeted resources for participation of project team and key relevant stakeholders in all program-supported knowledge exchange workshops, trainings and exchanges designed for Guatemala, such as the World Bank annual urban forum. A cost-sharing approach between the Global IP Coordination and Support project and national child projects including this one will be agreed to during PPG-stage development of the Global and national child projects.
- **Contribution to Programmatic communications:** Project will include budgeted resources, dedicated activities and related targets under Component 3 for contribution to programmatic communications and knowledge products. This support also includes support for coordinated efforts to position cities in the global political agenda, by, for instance, supporting the participation of cities leader to global conventions such as UNFCCC and UN-CBD Conferences of the Parties (in coordination with ICLEI, to maximize political incidence).
- **Support for high-level participation in finance mobilization roundtables, financial inclusion activities and other coordinated efforts to raise new and additional funding for nature-positive, healthier and resilient urban development:** Project will support the participation of national and local government officials, private sector leaders to business fair and financing roundtables, support high-level engagement and dialogues with key actors such as multilateral development banks (e.i. IADB), national development bank and networks such as the C40 and WBCSD
- **Support for harmonized monitoring approaches** – Project results framework and monitoring approaches will align with and utilize the key program-level indicators and MRV approaches defined in the Program Framework Document, to ensure apples-to-apples comparisons of national-level project performance and support development of consolidated Program-level reporting and adaptive management. Project-level progress across all results framework indicators will be shared with the Global coordination project team on an annual basis, in advance of the July reporting schedule, to facilitate consolidated reporting at the Program-level by the Global coordination team through an annual Program Report submitted to GEF.