

Mid-Term Progress Reporting

for Country: Guatemala

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Forest Carbon Partnership Facility (FCPF)

Readiness Fund

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Note: [FMT Note 2012-7 rev](#) lays out the process for REDD Country Participants to submit, and the Participants Committee (PC) to review, mid-term progress reports and requests for additional funding of up to US\$5 million.

Introduction

This mid-term report is the Guatemalan Government's self-assessment of its progress towards the preparation of the National REDD+ Strategy. The progress made in each sub-component is reported following the indicators of the Readiness Package described in the "Guide to the FCPF Readiness Assessment Framework, June 2013." It uses the coding system suggested in the Readiness Package (RP), as follows: green = significant progress; yellow = progressing well, further development required; orange = further development required; and red = not yet demonstrating progress (see Figure 1). Likewise, for each sub-component, other significant activities during the execution process and additional financing requirements in connection with the preparation of the Strategy are reported.

In addition, a specific section is included on the country's progress on building a Country Approach to Safeguards, listing for each component the REDD+ safeguards being considered, undertaken, and completed during the readiness phase.

Guatemala's Readiness progress reflects the work done with the financing of the *Forest Carbon Partnership Facility* (FCPF), complemented by support from other international partners such as (i) the United States Agency for International Development (USAID) through the Guatemalan Climate, Nature, and Communities Project and the Regional Program on Climate Change; (ii) the United Nations Development Programme (UNDP); (iii) the International Union for Conservation of Nature (IUCN); and (iv) the Food and Agriculture Organization of the United Nations (FAO).

The country's REDD+ efforts respond to the Sustainable Development Goals¹ and the agreements reached at the twenty-first Conference of the Parties (COP 21). They are also included in the proposed Intended Nationally Determined Contributions (INDC) presented in 2015,² the Second National Communication on Climate Change,³ and the National Climate Change Adaptation and Mitigation Plan (undergoing validation in a number of sectors).

Figure 1 shows overall summary of progress within the readiness phase of the National REDD+ Strategy, according to the indicators of the Readiness Package. In component 1, the joint management of the REDD+ strategy is being done through multi-sector coordination mechanisms and cross-sector collaboration where it is also coordinated the consultation and participation processes, the dissemination of information, amongst others. It is necessary to strengthen: socialization and participation process with multiple stakeholders, information exchange mechanisms and the elaboration of the feedback and grievance redress mechanism.

Under component 2, the recently approval of the Law to Promote the Establishment, Recovery, Restoration, Management, Production, and Protection of Forests in Guatemala (PROBOSQUE by its acronym in Spanish), is one of the most important pillars of funding for the implementation of the National REDD+ Strategy (Guatemala will allocate about \$ 40 million per year of the national budget during its 30 years). For this it is necessary to support the development of all instruments that would allow full implementation of PROBOSQUE in order to increase, protect and conserve the country's forest coverage. Additionally, progress has been done for the elaboration of the National Safeguards Approach,

¹ Sustainable Development Objectives 1, 2, 5-13, 15-17; <http://www.undp.org/content/undp/en/home/sdgoverview/post-2015-development-agenda.html>

² Proposed Guatemalan INDC.

<http://www4.unfccc.int/submissions/INDC/Published%20Documents/Guatemala/1/Gobierno%20de%20Guatemala%20INDC-UNFCCC%20Sept%202015.pdf>

³ Second National Communication on Climate Change: <http://www.marn.gob.gt/Multimedios/2562.pdf>

as well as important progress for: feasibility assessment and prioritization of the REDD+ strategy options, assessment of key drivers of deforestation and forest degradation, proposal for the national benefit sharing mechanism, identification of social and environmental impacts, amongst others.

Furthermore, under component 3 it highlights the coordination between public entities and academia for the elaboration of the national reference emissions levels for the three REDD+ modalities. About 60 percent of the work is completed and the final product is expected to be finished in July 2016.

For component 4, the monitoring systems for forest and safeguards will be based in the actual forest monitoring systems of the GCI institutions. Both systems have been combined in a single one to facilitate the interrelationship of the four components of the strategy, prevent high costs for design and maintenance and facilitate management and coordination among the institutions of the GCI. Additionally, a proposal for the governance structure for these monitoring systems is being done at a policy, technical and local levels. It is important to support the design and articulation of the system with other existing platforms, strengthen the institutional capacities in the five REDD+ regions of the country and its integration with monitoring activities which includes the participation of community groups and local governments.

R-PP Components, Sub-components, and Progress Indicators	Level of Progress
Component 1: Readiness Organization and Consultation	
Sub-component 1a: National REDD+ Management Arrangements	
1. Accountability and transparency	Yellow
2. Operating mandate and budget	Green
3. Multi-sector coordination mechanisms and cross-sector collaboration	Green
4. Technical supervision capacity	Green
5. Funds management capacity	Green
6. Information sharing mechanism	Yellow
Sub-component 1b: Consultation, Participation, and Outreach	
7. Participation and engagement of key stakeholders	Green
8. Consultation process	Yellow
9. Information sharing and accessibility	Green
10. Implementation and public disclosure of consultation outcomes	Yellow
Component 2: REDD+ Strategy Preparation	
Sub-component 2a: Assessment of Land Use, Land Use Change Drivers, Forest Law, Policy and Governance	
11. Assessment and analysis	Yellow
12. Prioritization of direct and indirect drivers/barriers to enhancement of forest carbon stocks	Yellow
13. Links between drivers/barriers and REDD+ activities	Yellow
14. Action plans to address natural resource rights, land tenure, and governance	Green
15. Implications for forest law and policy	Yellow
Sub-component 2b: REDD+ Strategy Options	
16. Selection and prioritization of REDD+ strategy options	Green
17. Feasibility assessment	Green
18. Implications for strategy options on existing sectoral policies	Yellow

Sub-component 2c: Implementation Framework	
19. Adoption and implementation of legislation/regulations	Green
20. Guidelines for implementation	Green
21. Benefit sharing mechanism	Yellow
22. National REDD+ registry and REDD+ monitoring system activities	Yellow
Sub-component 2d: Social and Environmental Impacts	
23. Analysis of social and environmental safeguard issues	Yellow
24. REDD+ strategy design with regard to impacts	Yellow
25. Environmental and Social Management Framework	Yellow
Component 3: REL/RL	
26. Demonstration of methodology	Green
27. Use of historical data, adjusted for national circumstances	Green
28. Technical feasibility of the methodological approach, and consistency with UNFCCC and IPCC guidance and guidelines	Yellow
Componente 4: Monitoring Systems for Forests and Safeguards	
Sub-component 4a: National Forest Monitoring System	
29. Documentation of monitoring approach	Yellow
30. Demonstration of early implementation	Yellow
31. Institutional arrangements and capacities	Yellow
Sub-component 4b: Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards	
32. Identification of relevant non-carbon aspects, and social and environmental issues	Yellow
33. Monitoring, reporting, and information sharing	Red
34. Institutional arrangements and capacities	Yellow

Figure 1. Progress Assessment System

An overview of the progress made in the implementation of the R-PP

The Country provides an overview of progress to date in achieving the four main components of the R-PP and their respective sub-components presented below, against the original proposal. The Country presents in each sub-component: (i) what has been achieved to date (outputs and outcomes); (ii) some analysis of these results including major constraints and gaps that need to be addressed; (iii) other significant readiness work in progress; and (iv) if applicable, request for additional funding to the FCPF, to implement outstanding activities relevant to that sub-component. The proposed format mirrors the structure of the Readiness Package (FMT Note 2012-6). Specifically,

1 – Readiness Organization and Consultation

The readiness activities carried out for this component reflect safeguards a, b, c, and d of the United Nations Framework Convention on Climate Change (UNFCCC)⁴ (see Table 10).

1a. National REDD+ Management Arrangements

Overview

National readiness management arrangements through existing coordination agencies have been strengthened, with the participation of various governmental and civil society bodies and other stakeholders that are significantly affected by REDD+.

Progress

Guatemala has set up multi-sector coordination mechanisms to do the following: jointly manage the execution of FCPF-financed activities and coordinate complementary support from other international partners; coordinate the proposed activities for the preparation of the Strategy and its integration with the political and legal framework of forestry and other relevant sectors; and organize the exchange and dissemination of information with stakeholders.

The activities described in the previous paragraph are coordinated at three managerial levels: political, technical, and dialogue platforms (Figure 2). The National Council on Climate Change (CNCC), established through the Framework Law on Climate Change, is the highest political body, chaired by the President of the Republic and composed of representatives of the public and private sectors, indigenous groups, farmworkers' organizations, municipalities, the Association of Mayors and Indigenous Authorities, non-governmental organizations (NGOs), and academia.

At the national level, the Inter-Agency Coordination Group (GCI)⁵ is the highest coordination body involved in the preparation of the National REDD+ Strategy, in accordance with Article 20 of the Framework Law on Climate Change.⁶ The GCI is composed of the Ministry of the Environment and Natural Resources (MARN), the Ministry of Agriculture, Livestock, and Food (MAGA), The National Forestry Institute (INAB), and the National Council on Protected Areas (CONAP).

The GCI has a political level (composed of Ministers) and a technical level. Through the technical group, the Offices/Departments/Units on Climate Change, Indigenous Peoples, Gender, the Forestry Information System (SIG) and others, it coordinates with a number of stakeholders from the public and private sectors and academia, indigenous peoples, NGOs, municipalities, farmworkers' organizations, civil society, and women's groups.

⁴ Decision 1/CP.16, appendix I, para. 2.

⁵ Technical Cooperation Agreement between MARN, MAGA, INAB, and CONAP: <http://www.marn.gob.gt/Multimedios/1704.pdf>

⁶ Article 20 of the Framework Law on Climate Change, p. 12.

The GCI is supported by multi-sector forestry management bodies developed to facilitate the preparation of the Strategy, including the Group on Forests, Biodiversity, and Climate Change (GBB&CC) and its committees: the National Multi-Sector Committee on REDD+ Safeguards (CNMSREDD+), the Advisory Group of the National REDD+ Benefits Distribution Mechanism (GAMDB), the Group on Forest Mapping and Other Land Uses (GIMBUT), and the Group of REDD+ Implementers (GIREDD+), among others. Note that various Strategy partners are coordinating with the technical and political segments of the GCI to provide additional technical and financial support to its different components.

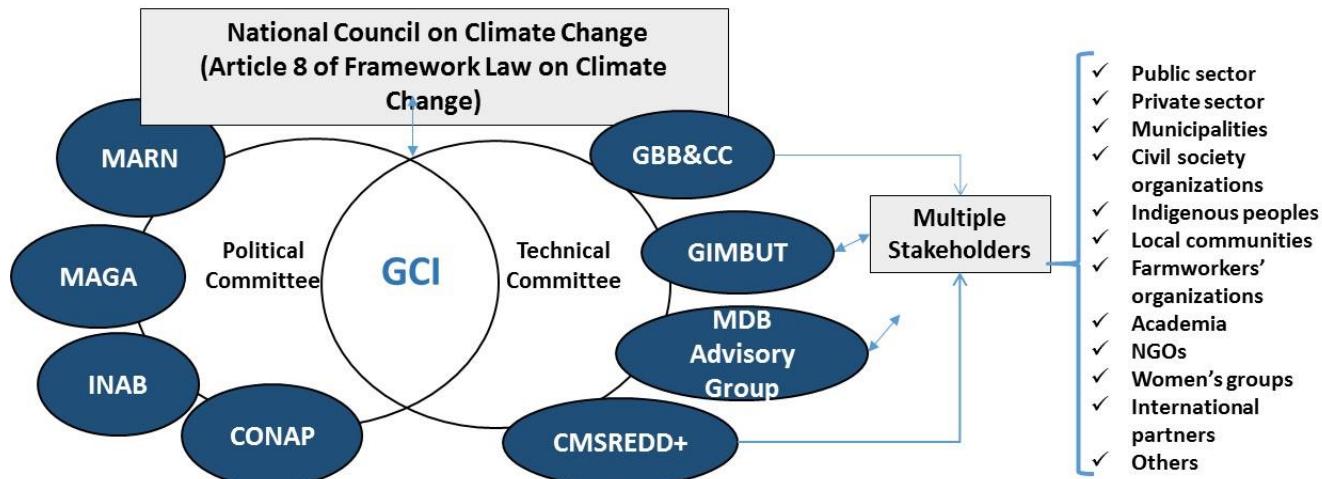


Figure 2. National REDD+ Multi-sector Coordination and Management Arrangements in Guatemala

Self-assessment of progress:

The advances made on national management arrangements for the preparation of the National REDD+ Strategy, the relevant financial management and budget, multi-sector coordination of readiness activities, together with technical supervision capacity and information sharing and grievance redressal mechanisms, are discussed below.

Progress Indicator 1: Accountability and transparency

The accountability and transparency process is carried out through various arrangements, including:

- National planning workshops have been held with multiple stakeholders, including the government, the private sector, civil society, indigenous peoples, local communities, academia, and NGOs⁷. National workshops have presented information on the preparation of the National REDD+ Strategy, FCPF and other sources of financing; the content of the various activities being carried out in preparing the Strategy have been discussed and validated (e.g., consulting services, purchase of equipment, programs linked to the Strategy such as the Forest Investment Program (FIP), the National Emissions Reduction Program (ER-PIN), the NAMA project on efficient use of fuelwood, and other programs supported by various donors).
- The GBB&CC and its committees, (CMSREDD+, GIMBUT, GIREDD+, GAMDB and others), worked together to elaborate and update the Implementation Plan, Acquisitions Plan, terms of reference, technical specifications for purchasing equipment, and coordination with other donor partners.

⁷ System of national workshops: http://www.marn.gob.gt/s/redd/_paginas/Talleres_Nacionales_RED

- A REDD+ subportal was set up on the MARN home page⁸ as a platform for sharing all information generated in connection with preparation of the Strategy.

These processes are funded by FCPF resources, complemented by support from the other above-mentioned strategic partners, and will continue to be implemented throughout the process of preparing the Strategy.

Progress Indicator 2: Operating mandate and budget:

Article 20 of the Guatemalan Framework Law on Climate Change provides that the four institutions making up the GCI shall adjust and design policies, strategies, programs, plans, and projects to reduce greenhouse gas (GHG) emissions and conserve forest ecosystems.⁹ Each of these institutions has a specific legal framework; for example, for CONAP it is the Protected Areas Act; for INAB, it is the Forestry Act; for MARN, it is the Framework Law on Climate Change; and for MAGA it is the National Comprehensive Rural Development Policy (PNDRI) and the National Agriculture and Livestock Policy.

The GCI Inter-Agency Agreement seeks to harmonize the actions of the four institutions involved in the development and implementation of the National REDD+ Strategy. In June 2015 this Agreement was renewed¹⁰ with the aim of continuing joint coordination and planning efforts on both REDD+ and other topics related to the conservation and sustainable management of natural resources.

Article 26 of the Framework Law on Climate Change provides that the GCI institutions shall allocate the necessary budgetary resources for compliance with it. The GCI bodies have institutional climate change agendas for coordinating national processes with the National REDD+ Strategy, the Forest Investment Program (FIP), and the National Emissions Reduction Program (ER-PIN format).¹¹ The inclusion of national REDD+ processes in the institutional agendas will help ensure that the national and international financial resources are appropriate, predictable, and sustainable.

Progress Indicator 3: Multi-sector coordination mechanisms and cross-sector collaboration:

a. Coordination and integration with the policy framework:

Harmonization of the public policy framework is occurring at various levels. From the macro perspective, the K'atun National Development Plan 2032 includes guidelines, goals, and indicators on greenhouse gas (GHG) emissions in the forestry sector. In addition, the INDC presented to the UNFCCC prioritizes the forestry sector and changing land use in order to reduce GHG.

The Framework Law on Climate Change, in Article 20 of Chapter V (Mitigation), calls for inter-agency coordination in the design and implementation of action to reduce GHG emissions in the forestry sector. Under Article 11 of this law, the National Action Plan for Climate Change Adaptation and Mitigation, incorporating REDD+ as one of the strategic sectors involved in GHG reduction, has been developed.

There is also a series of framework policy instruments that support the National REDD+ Strategy (see Table 1). The harmonization of these policy instruments with the national REDD+ process is being coordinated through the GCI. For example, it is coordinating and monitoring the alignment of the Energy

⁸ REDD+ web site subportal: <http://www.marn.gob.gt/s/redd>

⁹ Article 20 of the Framework Law on Climate Change, p. 12: <http://www.marn.gob.gt/Multimedios/2682.pdf>

¹⁰ 2015 Technical Cooperation Agreement, Inter-agency Coordination Group (GCI): <http://www.marn.gob.gt/Multimedios/1704.pdf>

¹¹ Guatemalan Emissions Reduction Program Idea Note (ER-PIN):

<https://www.forestcarbonpartnership.org/sites/fcp/files/2014/september/Guatemala%20ER-PIN%20Version%20Sept%202014.pdf>

Policy,¹² the Strategy for Sustainable Use of Fuelwood,¹³ and the National Forestry Incentive Programs¹⁴ to address forest degradation drivers in the framework of the National REDD+ Strategy, the National Emissions Reduction Program,¹⁵ the Forest Investment Program (FIP), and the NAMA fuelwood project.

Policy Instrument	Support for National REDD+ Process
Forestry Act	Provides for conservation and sustainable management of natural and forest resources at national level
PROBOSQUE Act	Law that extends the National Forestry Incentives Program (PINFOR), for conservation and increasing the country's forest cover, and reduction of emissions. The law sets out specific goals for emissions reduction in the forestry sector and land-use changes. ¹⁶
PINPEP Act	Law establishing the National Forestry Incentives Program for smallholders engaged in forestry or agroforestry
Protected Areas Act	Provides for conservation and sustainable management of natural and forestry resources at national level in protected areas
National Comprehensive Rural Development Policy	Provides for actions to be taken for sustainable development and efficient use of fuelwood and sustainable management of forestry resources ¹⁷
Energy Policy 2013-2027	Of its 5 strategic pillars, the fifth exclusively deals with goals and concrete actions for the sustainable and efficient use of fuelwood ¹⁸
National Competitiveness Agenda	Contains a chapter on environmental sustainability ¹⁹
Land Management Policy (in drafting stage)	Mandates the use of land for reduction of GHG emissions
National Forest Landscape Restoration Strategy ²⁰	Sets a target of 1.2 million hectares to be restored in a period of 30 years (2016-2046), for which a National Restoration Board has been created. ²¹ Through this governing body, links are being generated for the implementation of the landscape restoration modality contemplated in the PROBOSQUE Act.

Table 1. Policy Instruments Supporting the Guatemalan REDD+ Process

b. Governance platforms for multi-sector coordination:

The National Council on Climate Change (CNCC),²² established by Article 8 of the Framework Law on Climate Change, is the governing and supervisory body that facilitates and promotes, among other things,

¹² Energy Policy 2013-2027: <http://www.mem.gob.gt/wp-content/uploads/2013/02/PE2013-2027.pdf>

¹³ National Strategy for Sustainable Production and Efficient Use of Fuelwood 2013-2024: <http://www.usaid-cncg.org/wp-content/uploads/2015/07/Estrategia-produc-y-uso-le%C3%B3n-v6.pdf>

¹⁴ PINFOR: <http://www.inab.gob.gt/Paginas%20web/Pinfor.aspx> and PINPEP: <http://www.inab.gob.gt/Paginas%20web/Pinpep.aspx>

¹⁵ National Emissions Reduction Program (ER-PIN format): <https://www.forestcarbonpartnership.org/sites/fcp/files/2014/september/Guatemala%20ER-PIN%20Version%20Sept%202014.pdf>

¹⁶ PROBOSQUE Act: <http://www.marn.gob.gt/Multimedios/2604.pdf>

¹⁷ National Comprehensive Rural Development Policy (PNDRI):

http://www.segeplan.gob.gt/downloads/clearinghouse/politicas_publicas/Desarrollo%20Rural/Pol%C3%ADtica%20Desarrollo%20Rural%20Integral.pdf

¹⁸ Energy Policy 2013-2027, Fifth Pillar on Fuelwood, p. 45.

¹⁹ National Competitiveness Agenda

²⁰ National Forest Landscape Restoration Strategy:

http://www.inab.gob.gt/Documentos/Banner/Estrategia_nacional_de_restauraci%C3%B3n_del_paisaje_forestal.pdf

²¹ National Restoration Board, composed of government institutions (INAB, CONAP, MARN, MAGA), municipalities (ANAM), civil society, academia, the private sector, international cooperation, and NGOs.

²² Article 8 of the Framework Law on Climate Change: Creation of the National Council on Climate Change, p. 7.

the linkage of the National REDD+ Strategy with the above-mentioned policy framework. The Council meets every six months to coordinate the country's progress in climate change mitigation and adaptation, including the preparation of the National REDD+ Strategy.

The forestry sector is composed of two main governing platforms: the National Council on Protected Areas (CONAP) for the Guatemalan System of Protected Areas and the Governing Board for the National Forestry Institute (INAB). CONAP has governmental representation (MARN, MAGA, MICUDE/IDEAH,²³ INGUAT), local governments (National Association of Municipalities (ANAM)), and NGOs. The INAB Governing Board is made up of representatives of the public sector (MAGA and the Ministry of Public Finances), the private sector (Chamber of Industry and Forestry Association), local governments (ANAM), NGOs (Association of Non-Governmental Organizations on Natural Resources and the Environment), and academia (Central National School for Agriculture and universities that teach courses on forestry and other subjects in related fields).

For both platforms, there are regional offices (nine for INAB and ten for CONAP) to carry out their mandate in accordance with the State's administrative structure. In addition, CONAP is organized into 328 protected areas at the national level, the most important of which are the Maya Biosphere Reserve and the Sierra de las Minas Biosphere Reserve.

At the level of grass-roots organizations, a number of platforms, represented primarily by local communities, indigenous peoples, the private sector, NGOs and others, participate in forestry management, including the following:

- *PINPEP Network of Beneficiaries*: Established by Legislative Agreement 51-2010, with representation at the national level. Its objective is to enhance the inclusion of small landholders in the benefits of forestry incentives.
- *National Alliance of Forest Community Organizations*: This is an important channel of two-way communication between grass-roots (community) organizations and the national level. Its objective is to ensure that the voice of grass-roots organizations is heard by national authorities to enable these organizations to influence government policy. This Alliance includes about 300 community organizations with a total of 150,000 members.
- *Councils for co-administration of protected areas*: Co-management of protected areas is the technical, administrative, and institutional means by which CONAP can interact with different public and private persons and organizations, civil society and others, in pursuit of the objectives of the Guatemalan System of Protected Areas, in accordance with the requirements set out in the Protected Areas Act (Decree 4-89).
- *Councils for forestry collaboration*: Seven councils for forestry collaboration have been organized. They include government, civil society, and private sector stakeholders involved in the socioeconomic and environmental aspects of forests; they facilitate the implementation of participatory processes in pursuit of improved forestry development at the regional and local levels.
- *Network of Indigenous Authorities and Peoples*: This network includes recognized indigenous authorities and organizations. It is a representative body and an influential interlocutor with State

²³ Ministry of Culture and Sports, Institute of Anthropology and History (MICUDE/IDEAH).

authorities and institutions. In general, the network focuses on promoting recognition of community land rights, a problem that has not yet been addressed in Guatemala.

Progress Indicator 4: Technical supervision capacity:

Since 2014 the political segment of the GCI meets monthly to monitor and validate the preparations for the National REDD+ Strategy. The GCI is governed by a Programmatic Agenda to organize and guide inter-agency coordination efforts. The conclusions of each meeting of the political segment are documented in Management Agreements, which reflect the alliances formed. Examples of the most important agreements are presented below.²⁴

- Periodic validation of progress made in preparing the National REDD+ Strategy;
- Endorsement of the hiring of consultants to help prepare specific outputs for the preparation of the Strategy, including: the national consultation and participation process (development of methodology, systematizing of experiences and facilitation of the process in at least five REDD+ territories), tools for the FCPF Common Approach to Environmental and Social Safeguards,²⁵ elaboration of reference emission scenarios, design of the national monitoring and information system on GHG emissions, multiple benefits, other impacts, governance, and safeguards (Measurement, Reporting, and Verification (MRV)).
- Official approval of the map of the five REDD+ regions;
- Approval of technical assistance from Winrock International to support GIMBUT in elaborating reference emission scenarios for REDD+ actions;
- Institutionalization of the REDD+ Program through a ministerial agreement now being developed;

At the technical level, the GCI supervises the preparation of the activities of the four components of the National REDD+ Strategy, including the management of FCPF funds (design and update of the Implementation Plan, Acquisitions Plan, terms of reference, among others) and the coordination of programs of other cooperating partners to complement specific activities included in the Strategy readiness process.

The units responsible for policies, extension, standards, indigenous peoples, gender and others participate in the defining of strategy options and REDD+ actions. The Advisory Group on the Benefit Distribution Mechanism (including GCI juridical, financial, and legal advisors) supervises the preparation of the proposed benefit distribution mechanism of the Strategy. The GCI units for indigenous peoples and gender are involved in the consultation and participation processes aimed at building a Country Approach to Safeguards. GIMBUT is supervising the elaboration of reference emission scenarios and the Forest Monitoring System.

Using FCPF funds, a project implementation unit was created, composed of a coordinator, a REDD+ technician, and a finance and acquisitions expert. REDD+ and SIG technicians were also hired for each

²⁴ Link to minutes of meetings: http://www.marn.gob.gt/s/redd/_paginas/Marco_poltico_2

²⁵ FCPF Common Approach Tools: Strategic Environmental and Social Assessment (SESA), Environmental and Social Management Framework (ESMF), and Grievance Redressal Mechanism (GRM).

of the Climate Change Units and SIG offices of the four GCI bodies. These personnel ensure that the activities carried out in the various components of the Strategy meet the requirements and follow the guidelines of UNFCCC, FCPF, and the Carbon Fund Methodological Framework.

Progress Indicator 5: Funds management capacity:

a. Fiscal management:

Budget execution for the preparation of the National REDD+ Strategy is being managed by the Ministry of Environment and Natural Resources, applying both the State Contracting Act and the acquisition policies of the Inter-American Development Bank (IDB), the implementing partner of the Strategy for Guatemala.

The System of Integrated Accounting (SICOIN), a public platform displaying the administration of funds, is being used to facilitate the internal monitoring of the effective management of the project, transparently providing financial information, registries, and physical archives in magnetic and electronic format.

Pursuant to national legislation and the FCPF Technical Cooperation Agreement, the administrative and financial management of the funds is accomplished through audits by the Comptroller General's Office and by the Inter-American Development Bank (IDB), through an auditing firm.

Of the total FCPF grant of \$3.8 million, the IDB has made three disbursements amounting to \$865,847.55. To date, the country has committed \$ 1,148,934, about 53% of total grant (\$ 2,014,781), leaving a balance of \$ 2,651,066 of available funds (see Table 15).

b. Coordination of financial activities by other partners:

Through the previously described multi-sector coordination mechanisms (GCI, GBB&CC and its committees, and others), and in the framework of national workshops and working meetings, among other things, the activities funded by other partners will continue to be coordinated to ensure that their efforts complement and contribute to the preparation of the National REDD+ Strategy.

The following table describes the result of joint cooperation in achieving complementary support to the preparation phase of the Guatemalan Strategy:

Strategic Partner	Complementary Supports <u>Already Provided</u> to the Readiness Phase	Amount (\$) <u>Already Provided</u>
United States Agency for International Development (USAID)	<ul style="list-style-type: none"> ▪ <u>Project on Climate, Nature, and Communities of Guatemala (CNCN):</u> support for the hiring of technical advisory assistance from Winrock International to assist GIMBUT in preparation for the elaboration of reference emissions scenarios; support for the development of workshops for building the Country Approach to Safeguards; elaboration of a proposed governance framework for the National MRV System; a deforestation baseline is being prepared for the REDD+ region of Sarstún-Motagua, in line with the methodological framework of the Strategy and in order to harmonized early REDD+ initiatives into the national strategy, a methodological adjust will be done. analysis of causes and agents of deforestation for the REDD+ region Sarstún-Motagua and training on emissions factors and other aspects related to the baselines, with the support of the United States Forest Service Program. 	2,195,000.00

United States Agency for International Development (USAID)	<u>Regional Program on Climate Change (PRCC):</u> support for development of the workshop on building the Country Approach to Safeguards; guidelines are being devised for consultations on early REDD+ activities in the field of safeguards; support for facilitation of the elaboration of a proposed national benefits distribution mechanism in the framework of the GAMDB group; training will be offered to GIMBUT in 2016 on the development of reference emissions scenarios and on measurement, reporting, and verification (MRV).	445,852.52
United Nations Development Programme (UNDP)	Through GEF-terrestre projects, UNDP has helped by hiring three SIG technicians in support of GIMBUT for the elaboration of reference emissions scenarios and the development of a national workshop to define degradation in the REDD+ framework. In the first quarter of 2016, complementary support will be provided to the process of early awareness-raising and consultation processes in line with the national implementation of component 1 of the Strategy.	40,221.00
International Union for Conservation of Nature (IUCN)	<ul style="list-style-type: none"> ▪ Support for the elaboration of the PROBOSQUE Act ▪ Support for the development of national workshops on gender and REDD+ ▪ Early awareness-raising on REDD+ and climate change with extension workers, INAB regional departments, and community leaders ▪ Support for the development of a national workshop for building the Country Approach to Safeguards. 	235,564.36 ^{26*}
Food and Agriculture Organization of the United Nations (FAO)	<ul style="list-style-type: none"> ▪ Support for the elaboration of the PROBOSQUE Act ▪ Support for the development of the WISDOM tool to estimate fuelwood supply and demand (information being used for databases linked to the degradation baseline) ▪ Support to INAB for the elaboration of the National Forest Landscape Restoration Strategy ▪ Jointly with UN-REDD, support for the elaboration of a national assessment of REDD+ needs, identifying technical, budgetary, and organizational gaps for the readiness phase. A plan and road map are being prepared that will incorporate the assessment and define a proposal for addressing these gaps. ▪ Support for participation in the national dialogue (forest community organizations) ▪ Technical assistance in designing methodology for estimating forest degradation. ▪ Analysis of juridical preparation for REDD+. 	93,500.00

Table 2. Complementary Support Measures Provided by Other International Partners for the Guatemalan REDD+ Readiness Phase

²⁶ Reference exchange rate: Q7.70

Progress Indicator 6: Information sharing and grievance redressal mechanism:

a. Information sharing mechanism:

At the national level, transparency and access to information are required by the provisions of the Framework Law on Climate Change, Articles 9 and 22,²⁷ and by the Law on Access to Public Information (Decree 57-2008). The latter guarantees the right of any interested party, without any discrimination whatsoever, to request and gain access to public information in the possession of government institutions. This law also ensures the transparency of the public administration and the right of all persons to have free access to public information.

On this juridical basis, and in accordance with UNFCCC and FCPF requirements, information on Strategy preparation is shared through the above-mentioned multi-sector coordination mechanisms, by holding national workshops, specific workshops or working meetings. In addition, access to information will be enhanced through the electronic media of the GCI institutions, and the process will be decentralized to regional offices, as a means to ensure that stakeholders have better access.

b. Grievance redressal mechanism:

The National REDD+ Strategy will create grievance redressal mechanisms compatible with the requirements of the FCPF Common Approach to Environmental and Social Safeguards, which will be made available during the consultation and participation process and the implementation of REDD+ activities. These will be independent, transparent, effective, and accessible to the multiple stakeholders.

In relation to the multi-sector coordination mechanisms (GCI, CNMSREDD+, GIREDD+ and others), terms of reference were elaborated and a consulting firm is being hired to prepare the Grievance Redressal Mechanism (GRM) of the Strategy, in compliance with the requirements of the FCPF Common Approach to Environmental and Social Safeguards.

During the preparation of the terms of reference for this consulting firm, the GCI, GBB&CC and its committees (GIREDD+, CMSREDD+) jointly identified the following minimum elements that should be part of the GRM (Annex II):

- Review and analysis of the historical and current context of grievances in the forestry sector, and characterization of current grievance patterns and trends.
- Analysis of strengths and weaknesses of existing platforms for grievance redressal, and preparation of an action plan to adapt them to REDD+, while ensuring compliance with the following:
 - Principles: Legitimacy, accessibility, predictability, equity, transparency, compatibility with the rights of indigenous peoples (relevant national and international norms), to facilitate continual learning based on participation and dialogue;
 - Components: (i) Receipt and registration of grievances; (ii) recognition and assessment of conflicts reported, and assignment of institutional responsibility; (iii) formulation of a response in accordance with the approach; (iv) communication of the proposed response to the complainant and agreement on this response; (v) implementation of the proposed response to resolve the grievance; (vi) resolution, evaluation, and systematization of results; (vii) focus

²⁷Framework Law on Climate Change, pp. 8 and 13, respectively.

on dealing with the existing conflict or any that might arise, depending on the type of actor; (viii) verification, investigation, and action; and (ix) monitoring and evaluation.

- Diagnostic study of the current capacity of local and national institutions to respond to and resolve potential conflicts stemming from the preparation and implementation of the National REDD+ Strategy.

On the basis of these principles and components, a grievance redressal mechanism will be designed, which should be modeled on similar existing mechanisms in institutions in both INAB and CONAP (governing bodies of operations in the forestry sector). This will enable the existing platforms to form the basis for the design of an institutional structure that will ensure the effective management of the social and environmental issues involved in REDD+ and guarantee compliance with the applicable safeguards.

Management of grievances or conflicts in INAB:

Currently, in the central INAB office, a telephone extension ((502) 2321-4545) has been assigned for reports or complaints about illegal logging, forest fires, or institutional staff of the nine INAB regions and headquarters. The extension is assigned to the Office of Forest Management and Conservation, in which a control sheet is kept for each registered client. The procedure for dealing with claims is that any report or complaint is entered on the control sheet, on which the following information is recorded: control sheet number, date of entry, name of the complainant, telephone number, reason for the report, signature of the person receiving the complaint, and date. It should be noted that, in general, such complaints are anonymous.

Depending on the jurisdiction where the complaint was made, INAB notifies the corresponding subregion for verification in the field; the Subregional Director then prepares a report on the facts and steps to be taken. The procedure ends with the conclusion of the case. It is important to note that some complaints deal with actions that fall outside the remit of INAB. For example, most reports concern logging that the claimant believes to be illegal; however, illegal logging comes under the responsibility of the National Civil Police (PNC), through the Office for the Protection of Nature (DIPRONA) and the Public Prosecutor's Office (MP). If damage to the forest heritage is proven to exist, the MP requests INAB to send a technical commission to evaluate the damage. In 2015, for example, about 50 reports were received, including some that were outside the jurisdiction of INAB (such as logging in a municipality or complaints in protected areas).

Attention should also be drawn to the technical assessments required by the competent authorities such as the MP and the Judiciary. These activities are carried out by staff of the nine regions and 31 subregions of INAB throughout the country. Most of these expert assessments consist of verification of claims submitted to other bodies. INAB keeps a detailed registry of these monitoring and control activities, and it publishes the consolidated information as part of its Annual Report.²⁸

These grievances or conflicts are addressed within INAB and, if necessary, other entities such as the Office of the Attorney-General of the Republic (PGN), the Secretariat for Agrarian Affairs (SAA), and the Office of the Human Rights Ombudsman (PDH).

Management of grievances or conflicts in CONAP:

In protected areas, the local conflict resolution councils, composed of representatives of CONAP, the Attorney-General of the Nation (PGN), the Office of the Human Rights Ombudsman (PDH), local communities, NGOs, and other groups, are the mechanism responsible for responding to existing

²⁸ http://186.151.231.167/Documentos/Memo_Labo/Informe_de_labores_2013.pdf

grievances or complaints. Another dispute settlement mechanism is that of the regional CONAP offices or the Public Prosecutor's Office, where users may submit their grievances, claims, or reports for follow-up action.

Nonetheless, no protocol yet exists for grievance management; it is hoped that one can be created with FCPF funding in the framework of consultations for the design of the Grievance Redressal Mechanism (GRM).

Next steps

As a follow-up to the activities under sub-component 1a, and with the designated FCPF funds (\$ 3.8 million) that remain to be executed, the following activities will be carried out:

- Institutional reinforcement of the GCI through the purchase of computer equipment, materials, software, and hardware to support the management of preparations for the four components of the National REDD+ Strategy;
- Building the institutional capacities of GCI through training courses on climate change and REDD+ in Guatemala, at both central and departmental levels;
- Preparation of administrative and financial manuals for the REDD+strategy;
- Improving coordination among donors to complement readiness activities for the Strategy (G 13 – including bilateral and multilateral partners);
- Involving regional staff members of GCI bodies in readiness activities for the Strategy;
- Designing the Grievance Redressal Mechanism (GRM) for the National REDD+ Strategy;
- Involving other government agencies that could complement or harmonize with the actions of the Strategy, such as the Ministry of the Economy (MINECO), the National Competitiveness Program (PRONACOM), and the Secretariat of Planning and Programming in the Office of the President (SEGEPLAN);
- Increasing the participation of other CONAP departments/units in the preparation of the Strategy.

REQUEST FOR ADDITIONAL FUNDS

The Government of Guatemala anticipates that the projected activities can be completed by using the remaining \$3.8 million of the grant.

1b. Consultation, participation, and outreach

Overview

The foundations for participation and effective consultations to be carried out in the implementation stage have been established. To this end, the relevant stakeholders have been identified and have been informed about the basic REDD+ concepts and the various components of the R-PP. A sustainable institutional structure has also been set up to ensure significant participation, including regular dialogue and other methods of promoting meaningful involvement in the preparation of the REDD+ Strategy.

Progress

Guatemala's National REDD+ Strategy includes existing measures that have been developed through intensive consultations and involvement with multiple stakeholders, primarily local communities and indigenous peoples. These experiences and structures of participation and consultation have facilitated outreach in the early sharing of information, participation, and consultations on REDD+.

The proposed existing measures are as follows: the National Forestry Incentives Programs (PINFOR, the PINPEP Act,²⁹ and the recent Law on the Establishment, Recovery, Restoration, Management, Production, and Protection of Forests in Guatemala (PROBOSQUE)),³⁰ community forest concessions and REDD+ initiatives in protected areas. These activities are described below in greater detail under sub-component 2b, on strategy options.

PINFOR and PINPEP were designed, managed, and are being implemented through a broad-based participatory process in which organizations such as the following have been involved: the National Alliance of Forest Community Organizations, the Network of Indigenous Authorities and Organizations, the Network of Beneficiaries of PINPEP, the Forestry Association, local NGOs, and others.³¹ At the end of 2015 Guatemala adopted the PROBOSQUE Act (Decree 02-2015), which will replace PINFOR when the latter terminates in 2016. PROBOSQUE includes new modalities to be encouraged (such as forest restoration and agroforestry systems) and expands the types of beneficiaries (cooperatives, indigenous communities and leaseholders in reserve areas of the nation). This law was also elaborated in a participatory manner during an intensive process of consultations.

Likewise, the Protected Areas Act has consultation and participation platforms that have generated wide social involvement in the management of protected areas through the Association of Forest Communities of Petén (ACOFOP) and the boards of co-administrators in protected areas.

The consultations, dialogue, and outreach processes with REDD+ stakeholders have taken place in the framework of existing governing structures in the multi-sector coordination mechanisms mentioned above. Exchanges between stakeholders have taken into account the cultural relevance of the messages and the gender approach.

Shown below, under **Progress Indicator 7** (Participation and engagement of key stakeholders), is the progress made in carrying out the national consultation and participation process, including cultural relevance and the gender approach, in the National REDD+ Strategy; significant efforts are being made to coordinate it with the preparation of the GRM, the Strategic Environmental and Social Assessment (SESA), and the Environmental and Social Management Framework (ESMF).

Progress Indicator 7: Participation and engagement of key stakeholders:

a. Institutional participation mechanisms

In the context of the national consultation and participation process, including cultural relevance and a gender approach in the preparation of the Strategy, the initial phase involved early awareness-raising with multiple stakeholders, through existing government platforms and institutional mechanisms, about REDD+ actions. This process, carried out by means of national workshops, working meetings, and specific workshops, promoted the full and effective participation of the stakeholders and other vulnerable groups, such as women, youth, indigenous peoples, and local communities, in REDD+ strategies.

Besides the platforms mentioned in the previous section of this report, other forestry governance structures were encouraged to participate, such as the Network of PINPEP Beneficiaries, forestry discussion forums, forest concessionaires, and councils for co-administration of protected areas. Significant efforts are now being made to include these and other forestry governance platforms in the multi-sector participation mechanisms, such as GBB&CC and its committees.

²⁹ National Forestry Incentives Program (PINFOR) and the Law on Forestry Incentives for smallholders engaged in forestry or agroforestry (PINPEP)

³⁰ PROBOSQUE Act: <http://www.marn.gob.gt/Multimedios/2604.pdf>

³¹ National Forestry Institute of Guatemala (PFN), 2013. Towards the Institutionalization of PINPEP. FAO and IUCN.

Through these governance mechanisms and platforms, it is estimated that at least 4,000 stakeholders participated and became involved in national workshops, specific workshops, training sessions, and working meetings, which produced the following results:

- Enhancement of inter-agency and multi-sector information on REDD+ in the national context;
- Preliminary identification of REDD+ activities, geographical territories, stakeholders (map of actors) and various aspects of Strategy preparation;
- Coordination and joint planning of readiness activities for the four components of the Strategy;
- As a preliminary step, gender considerations that should be taken into account in the three phases of REDD+ -- preparation, implementation, and payment by results -- were addressed and defined;
- National definition of forest degradation in the REDD+ framework;
- Specific training sessions on emission factors, uncertainties, and other methodological aspects for the elaboration of reference emissions scenarios, among other things;
- Elaboration of reference emissions scenarios for REDD+;
- Coordination of REDD+ programs of other international partners to complement the work of preparing the Strategy.

Multiple stakeholders, through these multi-sectoral coordination mechanisms and forestry governance platforms, also participate in meetings convened by the GCI.

It is anticipated that the national consultation and participation process will apply the GCI's institutional policies on gender and respect for the rights of indigenous peoples, as tools to ensure the linkage of the gender perspective and safeguards with the readiness activities for the National REDD+ Strategy. MARN, MAGA, and INAB³² have adopted gender-sensitive policies, while the CONAP policy is in the process of being approved. In addition, these institutions have strategies that include carefully designed lines of action to include the participation of indigenous peoples and local communities.³³

b. Participation mechanisms for indigenous peoples and local communities

As indicated in the previous section, the multi-sector participation mechanisms used at the political level are the National Council on Climate Change and the GCI; and at the technical level, the GCI and the GBB&CC and its committees (CNMSREDD+, GAMDB, GIMBUT, GIREDD+). These have representation from the indigenous sectors, local communities, women, and other vulnerable groups.

For example, various specific governance platforms in the indigenous sector and local communities are represented in these mechanisms, including: the Indigenous Council on Climate Change, the Network of Indigenous Authorities, community forestry concessionaires, the National Alliance of Forest Community Organizations, the Network of PINPEP Beneficiaries, the Association of Forestry Communities of Petén and others. However, through national workshops and specific meetings, the inclusion of other groups representing indigenous peoples and local communities in REDD+ actions is being promoted.

By means of the existing mechanisms, the process continues to promote the participation of vulnerable groups, such as indigenous peoples, local communities, women and others. The national consultation and participation process will include the elaboration of a Consultation Plan (a methodology at the national level) what will be carried out in accordance with the guidelines of the United Nations Framework Convention on Climate Change, the FCPF Common Approach to Environmental and Social Safeguards,

³² Gender Policy of MARN: <http://www.marn.gob.gt/Multimedios/61.pdf>, MAGA: <http://web.maga.gob.gt/download/politica-institucional-igualdad-genero.pdf> and INAB: http://www.itto.int/files/itto_project_db_input/2972/Technical/Estrategia%20de%20Equidad%20de%20Genero.pdf

³³ INAB Institutional Strategy for Indigenous Peoples: <http://www.marn.gob.gt/Multimedios/429.pdf>

International Labour Organization (ILO) Convention 169, and the United Nations Declaration on the Rights of Indigenous Peoples.

Progress Indicator 8: Consultation process:

As part of the results of the third national workshop on REDD+ readiness preparation, held in June 2015, it was agreed that the national consultation and participation process for the Strategy, including cultural relevance and a gender perspective, should be led by government institutions in the framework of the GCI, in order to facilitate its institutionalization. In order to promote this process and the elaboration of the Consultation Plan (methodology at the national level), a consulting firm is being hired that has broad experience in consultation and participation processes, with a focus on indigenous peoples and local communities.

In the context of the multi-sector coordination mechanisms (GCI, GBB&CC, CNMSREDD+, GIREDD+, GIMBUT), the national consultation and participation process has been divided into three phases:

1. Systematizing the existing consultation and participation processes in the framework of strategy options, identifying gaps and elaborating an action plan to address them, in order to comply with the consultation and participation requirements of the Strategy;
2. Developing the consultation and participation methodology at the national level in accordance with the guidelines and requirements of the UNFCCC, FCPF, the Common Approach to Environmental and Social Safeguards, and ILO Convention 169;
3. Implementing the national consultation and participation plan (methodology at the national level), beginning in five territories that are implementing early REDD+ activities:³⁴ (i) GuateCarbon, (ii) Lacandón Bosques para la Vida, (iii) Caribe, (iv) PINPEP experiences, and (v) PINFOR.

It is important to note that considerable coordination efforts are being made to link the elaboration of the GRM, SESA, and ESMF³⁵ with the national consultation and participation process for the Strategy. For example, in the framework of inter-agency coordination mechanisms, specific terms of reference were elaborated indicating that the respective consulting firms will maintain close coordination to facilitate the harmonization of the processes. Likewise, the technical segment of the GCI, with the support of GBB&CC and its committees, will supervise and coordinate these processes to ensure that they are harmonized and linked (see Annex II).

Progress Indicator 9: Information sharing and accessibility of information:

At the GCI political and technical levels, actions have frequently been taken to raise awareness concerning all readiness activities, such as the preparation of reference scenarios, the consultation process, the design of forest monitoring systems, and others.

Other useful arrangements have included national and specific workshops, attended by representatives of the multi-sector coordination mechanisms (GBB&CC and its committees) and other stakeholders such as ACOFOP, the National Alliance of Forest Community Organizations, and GIREDD+. In addition, the REDD+ subportal is enabling the sharing and dissemination of information on the preparation of the Strategy concerning, for example, national workshops, results of consultations, GCI meetings, and the political framework.³⁶

³⁴ The structure being used by Guatemala in some cases to organize the implementation of activities reflects the proposals originally put forward as projects.

³⁵ Tools for the FCPF Common Approach to Environmental and Social Safeguards: Grievance Redressal Mechanism (GRM), the Strategic Environmental and Social Assessment (SESA), and the Environmental and Social Management Framework (ESMF)

³⁶ Recorded minutes of GCI meetings: http://www.marn.gob.gt/s/redd/_paginas/Marco_poltico_2

As part of the multi-sector coordination mechanisms, each group or technical committee (GCI, GIMBUT, GAMDB, CMSREDD+, GIREDD+) meets periodically to monitor the elaboration of the various outputs of the four Strategy components. During the national and specific workshops, training sessions or working meetings, each body presents all the information that is used and generated, by way of sharing and accessibility, concerning both technical and financial activities in the readiness phase.

These mechanisms are making it possible to harmonize the preparation of the Strategy with the institutional framework and policies, and to communicate information to a number of key stakeholders who can serve as a channel to provide information to the territories and the actors within them.

Currently, work is being done on strengthening mechanisms or alternatives to facilitate the sharing of information and accessibility of information, so that it is transparent, consistent, timely, and culturally appropriate. These requirements have been incorporated into the terms of reference of the consulting firm that will work on the national consultation and participation plan. The table below shows some of the key activities involving multiple stakeholders in national workshops and some specific workshops:

Number of Events	Objective	Participants
Three national workshops for presentation of progress in preparation of National REDD+ Strategy	Presentation of progress on each readiness component. Coordination and joint planning of activities, with synergies between actors.	Women = 55 Men = 116
Two national workshops on gender and REDD+	Participatory development of a guide to mainstream the gender approach in the three phases of REDD+, through capacity-building for multiple stakeholders on: gender considerations, climate change concepts, and REDD+, including the country's progress in preparing the Strategy.	Women = 66 Men = 47
National workshop on building the Country Approach to REDD+ Safeguards	Workshop aimed at interpreting the REDD+ Safeguards, joint definition of principles, objectives, indicators, and the legal, institutional, and implementation framework; this will facilitate the approach to, compliance with, and respect for the applicable safeguards.	Women = 30 Men = 35
Five workshops for elaborating the proposed plan for implementing climate change policy and law	Participatory elaboration of proposals for implementing climate change policy and the Framework Law on Climate Change.	Women = 32 Men = 43
Challenges and prospects in national and international climate change negotiations	Capacity-building on challenges and prospects in international climate change negotiations.	Women = 26 Men = 23

First National Congress on Climate Change	Presentation of the country's progress on climate change adaptation and mitigation, including the National REDD+ Strategy as a mitigation action in the forestry sector and land-use change.	Women = 298 Men = 302
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Table 3. Some Participatory Events in Preparation for the Guatemalan National REDD+ Strategy

Progress Indicator 10: Implementation and public disclosure:

This readiness phase has promoted the participation of stakeholders who were most directly connected with information-gathering and the strategic design of the consultation process for the measurement, reporting, and verification (MRV) system and the Country Approach to Safeguards, including GIMBUT, CNMSREDD+, GIREDD+, GAMDB and others, who are generating basic information to carry out the national consultation process.

At the national workshops or working meetings, the readiness activities for REDD+ are discussed and coordinated at the national level. At these forums for dialogue, participation, and information sharing, the various sectors participating in the workshops provide feedback and jointly reach specific agreements for each component.

For example, in the framework of GCI, GIMBUT, and GIREDD+, various workshops, training sessions, and specific meetings are held to determine, methodologically speaking, how the early REDD+ activities in protected areas will be harmonized within the national framework. As a result, the different sectors composing these groups (public, private, academia, and NGOs), have jointly agreed that the emissions reference scenarios and national MRV system will be developed in line with the Carbon Fund Methodological Framework and a methodological adjust will be done in order to harmonized the early REDD+ activities into the national strategy.

Currently, GIMBUT (SIG departments/units of GCI, and academia) is the group responsible for elaborating the reference emissions scenarios and, jointly with GCI, will supervise the approach to the design of the national MRV system.

The systematizing of readiness activities (national workshops, working meetings, etc.), and studies or progress made in connection with the preparation of the National REDD+ Strategy, are published on the REDD+ subportal of MARN in order to expand access to information, implementation, and public disclosure.

The national consultation and participation process uses inputs which are generated during the readiness phase for consultation and validation with multiple stakeholders. Besides continuing the channels of communication and outreach already mentioned, other possible means of communication, monitoring and verification will be identified, depending on the territories and stakeholders, for REDD+ actions. In other words, depending on the REDD+ territories, existing local methods will be used to ensure dissemination, exchange of and access to information with cultural relevance and a gender approach (for example community radio stations and others) (Annex III).

It is important to note that the national consultation and participation process will be a key input for the development of the “Regional Guide to REDD+ Consultation and Participation,” targeted at Central American and Caribbean countries, which is being prepared in the framework of the USAID/PRCC Regional Project on Climate Change.

Other significant work:

- In 2014, INAB, with the support of IUCN, carried out an early awareness-raising process through the program “training trainers” on climate change and REDD+ in Guatemala, aimed at 20 INAB extension workers, who, in turn, trained 185 community leaders of governance platforms on the forestry.
- In August 2015 the first institutional capacity-building workshop was held at INAB in order to bring into alignment basic climate change concepts, the National REDD+ Strategy, and the Forest Investment Program (FIP). This process will be replicated at the central as well as regional levels in the other GCI institutions.
- The current early REDD+ activities in protected areas have conducted awareness-raising and consultation exercises using voluntary carbon market standards. These will be harmonized with the national process, identifying gaps and complementing the processes during the implementation of the consultation and participation methodology of the Strategy:
 - ✓ The early REDD+ activity Lacandón Bosques para la Vida carried out a consultation and participation process, using the voluntary market methodology of Free, Prior and Informed Consent (FPIC), with local authorities of the 12 communities included in the activity area. They conducted early awareness activities focusing on cultural relevance, including local capacity-building and using the existing governance structures.
 - ✓ The GuateCarbon early REDD+ activity used the FPIC process for the Verified Carbon Standard (VCS) and Climate, Conservation and Biodiversity (CCB), exceeding the consultation requirements for both. For this purpose, they used the existing local governance platforms, incorporating cultural relevance and a gender approach, and local consultation methods; they have been monitoring this process since 2014.³⁷
 - ✓ In 2014, the Caribbean early REDD+ activity used a specific consultation and participation methodology for indigenous peoples and local communities.

Next steps

With the remaining technical cooperation resources of FCPF (\$3.8 million), the following activities will be carried out:

- Continuing the national workshops, working meetings, and specific workshops for the preparation of the National REDD+ Strategy;
- Updating the map of REDD+ stakeholders, and defining the following: the institutions and groups responsible for the various components of the Strategy; territories, local governance platforms, stakeholders (including emissions rights holders and vulnerable groups); other topics that may arise from consultations; local decision-making processes; methods of consultation and public disclosure, and others. These procedures will take place publicly, transparently, and inclusively, in a representative and legitimate manner. Thus, the participation of stakeholders, especially marginal groups, will be increased.
- Strengthening accessibility and disclosure of information on preparations for the Strategy by GCI institutions at the regional level. The objective is to ensure that they become a more direct channel to the stakeholders.

³⁷ CLIP GuateCarbon document: http://guatecarbon.com/wp-content/uploads/2014/09/A0_2014-24-6_INFOR-FINAL_Proceso-CLIP_P-evaluacion.pdf

- Early awareness-raising among stakeholders about REDD+ actions in the framework of the national consultation process, incorporating cultural relevance and a gender approach. This process will be led by GCI and complemented by the support of other development partners. The objective will be to enhance social inclusion in participation and consultation processes, by means of pedagogical mediation and cultural adaptation of information.
- Systematizing existing consultation and participation experiences in order to establish mechanisms to bring them into line with the national framework, while ensuring compliance with the guidelines of the United Nations Framework Convention on Climate Change (UNFCCC), the FCPF Common Approach to Environmental and Social Safeguards, and ILO Convention 169, among others.
- Systematizing consultation and participation experiences and the methodology for the national consultation and participation process for the Strategy (Consultation Plan) and its implementation will begin in 2016. The terms of reference require compliance with criteria 7, 8, 9, and 10 of the Guide to the FCPF Readiness Assessment Framework.

REQUEST FOR ADDITIONAL FUNDS

In order to broaden the participation of stakeholders in the process of preparing the National REDD+ Strategy, it is necessary to expand the process of outreach, disclosure, and consultation about the proposed REDD+ actions, and any new activities to be determined, to other territories. This process will make it possible to validate the incorporation of new activities, territories, and stakeholders into the REDD+ actions in order to raise the potential for reducing the country's emissions.

Thus, an FCPF grant of approximately \$500,000 is requested in order to expand the national process of outreach, disclosure, and consultation to other territories (REDD+ regions of the country) that need to be strengthened and to address any new REDD+ territories that may be determined in the short-to-medium term. This amount will be discussed with the stakeholders in order to draw up an indicative budget. (See annex 10)

2 – Preparation of the REDD+ strategy

The activities in this component reflect the seven Cancún safeguards³⁸ (Table 10).

2a. Assessment of Land Use, Land-Use Change Drivers, Forest Law, Policy and Governance

Overview

The causal relationship is known between the country's economic, legal, and political context and the patterns associated with land-use change, deforestation, and forest degradation. This national assessment involves collecting information in order to confront the key drivers of deforestation and degradation on a priority basis, taking into account the country's previous experience in identifying shortcomings in land use and possible causes and agents of deforestation in certain territories.

Progress

Academic and government institutions have made a number of studies on historical trends in land use (e.g., Map of Forest Cover by Type and Subtype of Forest, 2012; Map of Dense Forest Cover by Type of

³⁸ Decision 1/CP.16, Appendix I, para. 2: <http://unfccc.int/resource/docs/2010/cop16/eng/07a01.pdf>

Forest;³⁹ Map of Forest Cover Dynamics, 2012;⁴⁰ and Map of Potential Areas for Forest Landscape Restoration in Guatemala⁴¹), livelihoods (e.g., Profiles of Livelihoods in Guatemala), and causes and agents of deforestation (e.g., Environmental Profile of Guatemala IARNA-URL, 2009).

The last-mentioned group is making an analysis of historical trends in forest use, reflecting the historical transformation of forested zones to agricultural production zones, owing to land-use changes (especially for farming uses and urban sprawl), forest fires, pests and diseases, illegal logging, and the fuelwood gap (an estimated gap of 5 million tons/year of dry fuelwood, generating 8.7 million tCO₂e/year).⁴²

The underlying causes of deforestation and forest degradation are considered to be based on the economic growth model, demographic growth, poverty, the education system, forest culture, and land tenure and land distribution systems, which drive environmental problems such as deforestation, since they promote other economic options that are not necessarily sustainable from the social, economic, and ecological point of view.⁴³

Preliminary progress has been made on Progress Indicator 11, according to ongoing studies on the causes and agents of deforestation and forest degradation and how they are related to deficiencies in current land use, forest law, the economic context and management, and activities related to conservation, sustainable forest management and the increase of carbon stocks.

It is expected that the information generated at the preliminary stage will be reinforced in 2016 by the work of a specialized consulting firm now being hired to make an exhaustive analysis, at the national level, on “assessment of land use, land-use change drivers, forest law, policy and governance.”

Progress Indicator 11: Assessment and analysis of land use

Guatemala has a large quantity of documents produced by government and academic institutions that describe historical land use trends (e.g., maps showing changes in forest cover), livelihoods (e.g., profiles of livelihoods in Guatemala), and a series of analyses of forest law and related normative policies. Other information used in the preliminary analysis were the following:

- The 1998 forest cover map (FAO initiative), through the office of the Forest Action Plan for Guatemala.
- In 1999, INAB began a second attempt to delineate not only the forested areas but also the so-called associations, that is, areas with fragments of forest interspersed with other land uses.
- At the same time, MAGA produced a land use map that showed a slightly different layer of forest cover than that reported by INAB.
- In 2000, the University of Valle de Guatemala (UVG) began a study on forest dynamics in a number of Guatemalan municipalities in support of an investigation launched by the University of Indiana in the United States. This study resulted in the 2001 National Forest Cover Map, representing the third effort to map the forest cover at the national level.
- The fourth attempt was a continuation of the previous one, producing a map of forest cover dynamics in Guatemala during the years 1991, 1996, and 2001.
- In 2014, the Map of Potential Areas for Forest Landscape Restoration in the Republic of Guatemala, was issued by INAB in coordination with CONAP, MAGA, and MARN.

³⁹ http://186.151.167/Imagenes/Mapas/Cobertura2012/imagenes/Cobertura_Forestal_por_Tipos_de_Bosque_2012.jpg

⁴⁰ http://186.151.167/Imagenes/Mapas/Cobertura2012/imagenes/Cobertura_Forestal_por_Densidades_de_Bosque_2012.jpg

⁴¹ http://186.151.167/Imagenes/Mapas/restauracion_pagina_inab_g.jpg

⁴² http://biblio3.url.edu.gt/IARNA/serie_amb/11.PDF

⁴³ INAB, FAO 2012, Study on Woodfuel Supply/Demand:

http://www.sifgua.org.gt/Documentos/Informes/Demanda_y_Ofera_de_Le%C3%B1a%20WISDOM%20Guatemala.pdf

- In 2015, the Map of Forest Cover by Type and Subtype of Forest for the Republic of Guatemala, 2012, and the Map of Dense Forest Cover by Type of Forest for the Republic of Guatemala, 2012, were issued; their preparation had begun in 2006 after a delay of at least three years, owing to limited financial resources.

On the basis of this bibliographic information and an analysis done in the framework of the technical segment of GCI and members of GIMBUT, the following agents, causes, and underlying causes of deforestation and forest degradation were preliminarily identified: livestock raising using non-sustainable sources, land-use change, forest fires, insufficient labor supply in rural areas, corruption, cultivation without shade, institutional shortcomings in forest monitoring, weaknesses in financial and other markets, and public policies.

In addition, the country's energy needs are another important factor, since wood is the principal source of energy for cooking and heating in the poorest rural areas. A 2012 study on supply and demand of fuelwood in Guatemala showed that consumption of fuelwood amounted to 15,771,187 tons of dry wood, of which 15,418,233 tons were used for domestic purposes and 352,953 tons were used in the industrial sector.

Considering that the total supply of fuelwood is 10,045,899 tons of dry wood (defined as the sustainable supply that can be obtained from natural forests, plantations, and waste from wood processing plants), there is a fuelwood deficit of approximately 5,725,290 tons. This results in considerable degradation instead of deforestation, since most wood comes from the selective cutting of natural forests.⁴⁴

These agents and causes are reinforced by structural or underlying causes, including: the economic growth model, demographic growth, poverty, the education system, forest cultivation systems, and land tenure. These exacerbate deforestation and forest degradation to the extent that they promote economic options and livelihoods that are not sustainable from the social, economic, and environmental point of view. This can be seen in the deforestation fronts and spheres of activity where the forest is replaced by livestock raising, agroindustry for export, or, in the absence of other subsistence options for small-scale farmers, degradation through the illegal logging of wood for fuel.⁴⁵

Studies of the five fronts and 97 focal areas have shown that the greater part of deforestation is due to land use change for agricultural purposes, as well as urban settlements, and forest fires (which have increased in frequency and intensity in recent years, owing to the El Niño phenomenon). Pests and diseases and illegal logging are also considered important.

Progress Indicator 12: Prioritization of direct and indirect drivers/barriers to increasing forest carbon stocks:

On the basis of the information presented under the previous indicator, a preliminary order of priority has been developed, depending on the importance of the key direct and indirect drivers of deforestation and forest degradation, the increase in carbon stocks for each of the REDD+ regions, and their relationship with land tenure and forest law.

The REDD+ strategy options proposed by Guatemala, namely, strengthening the economic instruments of the Forest Law and the Guatemalan System of Protected Areas (SIGAP), together with the framework

⁴⁴INAB, FAO 2012, Study on Woodfuel Supply and Demand:

http://www.sifgua.org.gt/Documentos/Informes/Demanda_y_Ofera_de_Le%C3%B1a%20WISDOM%20Guatemala.pdf

⁴⁵ Estudio sobre la demanda de combustible de madera y la oferta (Study on Demand and Supply of Woodfuel):

http://www.google.de/url?sa=t&rct=j&q=&esrc=s&frm=1&source=web&cd=2&ved=0ahUKEwislKWQgrnKAhWB1x4KHf04CFQQFggoMAE&url=http%3A%2F%2Fwww.infojarna.org.gt%2Finde...php%2Fcomponent%2Fdocman%2Fdoc_download%2F595-coedicion-38-oferta-y-demanda-de-lena-en-la-republica-de-guatemala&usg=AFQjCNGmf02XY7b1nboSAkJhc9tWLOnFHQ

of the country's forest policy that supports the National REDD+ Strategy, reflect the drivers and causes of deforestation and forest degradation. The following table shows the activities that are expected to be implemented, depending on the factors and source of emission for each of the REDD+ regions:

REDD+ Regions	Source of GHG Emissions	Selected REDD+ Action
Northern Lowlands	Deforestation	Deforestation avoided and increase in carbon stocks
Sarstun-Motagua	Deforestation	Deforestation and degradation avoided
West	Degradation	Degradation avoided and increase in carbon stocks
Center East	Deforestation and degradation	Increase in carbon stocks
Southern Coast	Greater land-use changes for agricultural purposes or livestock raising occurred between 1940 and 1980.	Increase in carbon stocks

Table 4. Key Sources of Emissions and Selective Approach for Each REDD+ Region

In addition, a preliminary analysis has identified potential barriers currently limiting the ability to deal with the drivers of deforestation and forest degradation through the economic instruments of the Forest Law and SIGAP, and that therefore constrain the reduction of emissions and the increase in forest carbon stocks.

The main barriers identified on a preliminary basis in the case of the economic instruments of the Forest Law are as follows:

- Lack of forest research, education, training, and an extension program that would support the various stakeholders in the development of the forestry sector;
- Absence of appropriate financial instruments for the forestry sector, in terms of time periods, guarantees, conditions, and interest rates;
- Limited budgetary allocations for national forest incentive programs to promote the protection and restoration of forests and the production of goods and services from ecosystems;
- Lack of alternatives for sustainable, cost-effective and efficient use of fuelwood;
- Lack of an agroforestry extension system;
- High costs of establishing agroforestry systems in areas suffering from poverty and extreme poverty, where land is mainly used for forestry;
- Lack of regulations and implementation of land management plans to promote the incorporation of forests into traditional farming systems;
- Organizational shortcomings that lead to a lack of a competitive fuelwood supply in terms of volume, quality, and price.

As for SIGAP, the main barriers to cost effectiveness in emissions reduction and increasing carbon stocks through policy instruments for protected areas are:

- Limited budgetary allocations for monitoring the entire national system of protected areas;
- Limitations on expanding the sustainable use of forest products;
- Few mechanisms for strengthening community participation in forest management;
- Few mechanisms for strengthening the judicial sector to deal with high-impact cases, especially invasion and usurpation of protected areas;
- Absence of an institutional presence in some areas.

Progress Indicator 13: Relations between causal factors/barriers and REDD+ activities

Similarly, based on the information shown in progress indicators 11 and 12, Annex IV shows plans to address the direct and underlying causes of deforestation and forest degradation, taking into account the abovementioned barriers through the six REDD+ activities defined in a preliminary manner:

- Incentives to increase the carbon stock
- Incentives to conserve natural forests
- Incentives for small landholders, local communities, and indigenous peoples
- Strengthening of the governance for forest lands
- Improved forest management
- Promotion of competitiveness and legality in the value chains of forest products

Annex IV shows how the causal agents constitute the main causes of deforestation and degradation mentioned above, why these agents carry out these activities, and which REDD+ activities are planned to deal with them.

It is important to mention that in the analysis at the national level that will be done for subcomponent 2a, "Assessment of land use, land-use change drivers, forest law, policy, and governance," the abovementioned preliminary analysis will be finished to include evaluation of the systemic connections between the causes and agents, using remote sensor spatial data and/or reports and censuses from reliable sources, as well as their connection with the barriers and proposed REDD+ activities.

Progress Indicator 14: Action plans to address the rights to natural resources, land tenure, and management.

There is currently a series of demands at the national level concerning rights to and management of natural resources and land ownership. The demands basically involve recognition of traditional rights and customary practices in natural resource management. There is also a series of problems related to collective management of resources in communal systems, such as the precariousness of rights to community land and the poor political-institutional support by the state, academic institutions, and international cooperation.

All this has been reflected in latent conflicts on access, control, and ownership of natural resources on communal lands (Grupo Promotor de Tierras Comunales [Communal Land Promotion Group], 2009). As a result of these demands, forest legislation characterized by centralization has been changed and Guatemala's Forest Law has moved toward decentralization in recent years, becoming one of the most innovative programs in the 1990s in Latin America (Gibson & Lehoucq, 2003), through the creation of the new Forest Law (Decree 101-96) and the creation of the Instituto Nacional de Bosques [National Forest Institute] (INAB), and giving more responsibility to the municipalities.

The current forest legislation contains two extremely important articles. The first, Article 58, permits municipalities, in coordination with INAB, to execute supervisory systems to prevent illicit lumbering and reduce the over-exploitation of forest resources. The second, Article 71, grants forest incentives through the INAB in coordination with the Ministry of Public Finance (MINFIN) to individual landowners, associations, communal lands, and municipalities (Gibson & Lehoucq, 2003).

Building on this, INAB, together with community groups, has created the Municipal and Communal Forest Strengthening Department (formerly the Communal Forests Program –BOSCOM-) to support local

governments in the establishment of Municipal Forest Offices (OFMs), thus decentralizing the management and administration of forest resources outside protected areas.

Within these elements PINFOR (the State Forest Incentive Program) has been the forest policy instrument that has made highly significant changes in the management and administration of the country's natural resources. The fact that PINFOR grants incentives to municipalities, communities, individual owners, and civil organizations has been a factor in their success and especially in learning, because on the basis of this program's experiences in 2006 INAB, jointly with the economic cooperation of the Kingdom of the Netherlands, created a pilot program called Programa de Incentivos Forestales para Poseedores de Pequeñas Extensiones de Tierra de Vocación Forestal y Agroforestal [Program of Incentives to small land owners with forest or agroforestry vocation] (PINPEP).

The creation of PINPEP opened the door to care and support of community groups and individual owners who could not benefit from PINFOR because of the size of their holdings and land ownership system. Like PINFOR, PINPEP has been another successful program because it focuses on a previously underserved segment of Guatemala's rural population, to such an extent that in 2010 the Congress approved Decree 51-2010, which enacted the PINEP Law, so the pilot program became a law with national coverage.

Finally, given the success of the PINFOR program and its termination in 2016, at the end of 2015 the Congress approved Decree 2-2015, which gives life to the Law to Promote the Establishment, Recovery, Restoration, Management, Production, and Protection of Forests in Guatemala (PROBOSQUE). This law ensures the granting of forest incentives for another 30 years, thereby helping in the management and conservation of forest resources with the participation of municipalities, indigenous communities, associations, the private sector, etc.

In this regard, both PINPEP and now PROBOSQUE are the two most important forest economic instruments for making operational other institutional policy instruments for inside and outside the protected areas to deal with management and ownership of natural resources, for example: the Strategy for Communal Lands and Indigenous Territories⁴⁶, the Strategy for Sustainable Use of Firewood⁴⁷, the Institutional Strategy for Attention to the Indigenous Peoples in the Forest Sector of Guatemala⁴⁸, the Strategy for Restoration of the Forest Landscape⁴⁹, and others.

Other efforts:

In the framework of multisector coordination mechanisms there was joint preparation of the terms of reference, and the process is underway for hiring a consulting firm to prepare the "national assessment of land use, land-use change drivers, forest law, policy, and governance."

This analysis at the national level will include the identification and organization of information on action plans carried out in advance for the proposed REDD+ activities that will address the problems of land use, ownership and titling of land, rights to natural resources, subsistence means and management, for example: actions of the Cadastral Information Registry (RIC), Secretariat for Agrarian Affairs (SAA), Land Fund (FONTIERRA), CONAP, and others.

⁴⁶

<file:///C:/Users/asosa/Downloads/Estrategia%20Nacional%20para%20el%20Manejo%20y%20Conservacion%20de%20Recursos%20Naturales%20en%20Terras%20Comunales.pdf>

⁴⁷ <http://www.usaid-cncg.org/wp-content/uploads/2015/07/Estrategia-produc-y-uso-le%C3%B3-B1a-v6.pdf>

⁴⁸ <http://www.marn.gob.gt/Multimedios/429.pdf>

⁴⁹ <http://www.usaid-cncg.org/wp-content/uploads/2015/05/UICN-Inter-Estrategia-nacional-de-restauraci%C3%B3n-del-paisaje-forestal-baj....pdf>

Action plans will be prepared at the national level to identify additional measures and resources needed to achieve progress in the short, medium, and long term to address questions on land use, ownership and titling of lands, rights to natural resources, and reduction of emissions, subsistence means, and management. There will be participatory actions with interested parties, with special attention to indigenous peoples and local communities.

Progress Indicator 15: Implications for laws and policies on forests:

Thus far there has been no evaluation to identify implications for the law and policies on forests and other pertinent long-term questions. However, terms of reference were prepared and a consultant was hired to start analyzing forest policies and laws, land ownership, changes in land use, among others; with respect to their relevance, inclusiveness, implications and incompatibilities in the long term, as well as gaps regarding how to address the problems of deforestation, degradation, and increasing carbon stocks.

Other significant studies:

- ***Analysis of causes and agents of deforestation in the Sarstún-Motagua REDD+ region:***

Through the Center for Environmental Studies and Biodiversity of the del Valle University of Guatemala, in the framework of the USAID/CNCG project and with the support of Greenwich University in England, in the Sarstún-Motagua REDD+ region the “Exploratory Factor Analysis” methodology is being used to identify the principal drivers of deforestation in the various stakeholders at the territorial level and the institutional policy level. The study has generated information that can be used to supplement or reinforce areas identified as important factors that result mainly in deforestation.⁵⁰

The methodology used was selected because it meets the requirements requested by the UNFCCC for the analysis of causes and agents of deforestation in relation to the generation of quantitative results that can be combined with the Geographic Information Systems (GIS) to explore spatial components of the causes and agents of deforestation.

The study was launched in September 2014 with a day of participatory workshops for parties interested in that region. More than 200 people participated, representing INAB, MAGA, CONAP, MARN, the Directorate for Nature Protection (DIPRONA), NGOs (the Foundation for Eco-Development – FUNDAECO-, the Foundation of Defenders of Nature-FDN-, the Rainforest Alliance-RA-), municipalities, and communities. This broad participation made it possible to obtain vital input that will be used as a benchmark for making the evaluation at the national level. After results were obtained validation workshops were held with the multiple interested parties in the region.

The final report of this analysis contains the results of the qualitative and quantitative phases that consisted of workshops to consult the various parties interested in the Sarstún-Motagua REDD+ region, as well as the results of the exploratory factor analysis to do a statistical analysis of the indirect or underlying causes of deforestation.

Given the good results of the analysis of this region, it is expected that the methodology used can be adjusted to be able to carry out the analysis of agents and causes of deforestation and degradation of forests at the national level, and supplement the emissions baselines.

Next steps

In 2016, with the remaining resources of the Technical Cooperation of the FCPF (\$3.8 million), the hiring process is underway for a consulting firm to do the study at the national level on the “assessment of land use, land-use change drivers, forest law, policy, and governance.”

⁵⁰ Analysis of causes and agents of deforestation for the Sarstún-Motagua REDD+ region under construction.

The terms of reference of that consultancy were done in the framework of mechanisms of multilateral coordination, with agreement to cover the following aspects:

- Analysis of land tenure and its impact on the historical processes of deforestation and degradation of lands and increase in carbon stocks, and the experiences of communal and municipal lands and forest concessions, including analysis of the procedures for land titling in the country and its impact on the progress of deforestation and forest degradation and/or the increase in carbon stocks.
- Analysis of collective and individual rights of indigenous peoples and local communities on resources and subsistence means, peace agreements, and elements of the Maya cosmovision; and how these elements have contributed to preventing or increasing deforestation and forest degradation.

This evaluation will present a collective update and adjustment of information on the country's situation with respect to: the main factors causing deforestation, forest degradation, and activities to increase carbon stocks; trends in land use, land use, land ownership, rights to natural resources, forest legislation, questions on policies and management, social and environmental impacts, traditional uses of the land, and traditional and/or habitual subsistence means. (Annex V)

Request for additional funds

The Government of Guatemala anticipates that with the resources remaining from the grant of \$3.8 million the planned activities can be completed.

2b REDD+ strategy options:

Overview

The REDD+ strategy options that will be adopted to reduce emissions due to deforestation and forest degradation and to increase the carbon stocks have been identified and analyzed; they are supported by the country's legal framework and their sustainability has been strengthened with the recent approval of the Law to Promote the Establishment, Recovery, Restoration, Management, Production, and Protection of Forests in Guatemala (PROBOSQUE).

The strategy options cover the factors causing deforestation and/or forest degradation that were identified preliminarily for the evaluation of land use, the factors causing change in land use, forest legislation, policies, and management.

Progress

This section will present the progress in identification and implementation of the proposed REDD+ activities, which seek to ensure that national priorities are oriented to sustainable development in compliance with the questions related to safeguards.

Progress Indicator 16: Presentation and establishment of priorities for the REDD+ strategy options:

- ***Presentation and establishment of priorities for the REDD+ strategy options:***

Guatemala's preliminary REDD+ strategy options address the strengthening of SIGAP and the economic instruments of the Forest Law, through the connection of these options with national forest programs and related international agreements.

This preliminary identification was done in the framework of the forest governance structures (GCI, GBBYCC, and their commissions), since both INAB and CONAP together have more than 20 years implementing these strategy options, demonstrating that they are socially and environmentally viable and promote the strengthening of the country's forest governance.

In the preparation phase, the evaluation, selection, and prioritization of the strategy options will be refined with studies on risks and opportunities, and the identification of new measures with potential for emissions reduction (such as coordination with the policy framework of the agrarian sector).

The following are some of the principles that have guided the preliminary prioritization of the proposed strategy options:

- Relevance:

- ✓ It is estimated that change in land use accounts for more than 50% of total GHG emissions and these occur mainly in territory administered by SIGAP. CONAP administers 32% of the territory and has more than 60% of the country's natural forest, where more than 50% of the deforestation occurs. CONAP was conceived to involve the territory's different stakeholders in the work of forest management and conservation. This means that about 20% of the protected areas (of a total of 328) are directly administered by communities through forest concessions (for example, the Association of Forest Communities of Petén –ACOFOP-) ⁵¹; and the rest through co-management contracts that provide not only for participation by local communities but by municipalities and individual landowners.
- ✓ The Forest Law approved in 1996 provides for the management, conservation, and recovery of forests both inside and outside protected areas. The law has a series of economic incentive instruments to promote these activities through the participation of individual owners, communities, municipalities, and possessors, and has stimulated the management and conservation of more than 290,000 hectares of natural forest and the recovery of coverage of more than 144,000 hectares, involving more than one million beneficiaries in the last 15 years (Annex VI).

- Effectiveness:

- ✓ Guatemala's Environmental Profile (IARNA, 2009) mentioned in subcomponent 2a, analyzes the agents and principal causes of deforestation and identifies the main fronts of deforestation in the territories, and analyzes the main barriers to the reduction of deforestation and improvement of the carbon stock.

The study to be completed in subcomponent 2a will provide updated information that will make it possible to adjust and supplement the REDD+ strategy options. Application of the abovementioned principles will enable the implementation of the three REDD+ measures (Table 6), with greater potential reduction of deforestation in the protected areas, and degradation avoided and increased carbon stocks promoted outside the protected areas through the economic instruments of the Forest Law.

There was a preliminary estimate of emissions reductions for the period 2016-2020. The following table shows the REDD+ measures⁵² (Decision 1/CP.16 appendix I, paragraph 2) contemplated in the strategy

⁵¹ http://186.151.231.167/Imagenes/Mapas/Cobertura2012/imagenes/Cobertura_Forestal_por_Tipos_de_Bosque_2012.jpg

⁵² The REDD+ measures, in accordance with the resolution of the United Nations Framework Convention on Climate Change (UNFCCC) are: reduction of emissions from deforestation and forest degradation, conservation of forest carbon stocks, sustainable forest management, and increase in forest carbon stocks. Source: Decision 1/CP.16 page 13 <http://unfccc.int/resource/docs/2010/cop16/spa/07a01s.pdf>

options (each of the two options can include the three REDD+ measures). The table also includes an estimate of the potential emissions reduction for each REDD+ measure.

REDD+ measures	Preliminary REDD+ activities within the proposed REDD+ strategy options	Estimated potential emissions reduction (M tCO2e) 2016-2020
Deforestation avoided (D)	<ul style="list-style-type: none"> Incentives for conservation and sustainable management of natural forests. Strengthening of governance on forest lands. Incentives for increasing carbon stocks. Improved forest management. Promotion of competitiveness and legality in value chains of forest products. 	11.3
Degradation avoided (D)	<ul style="list-style-type: none"> Incentives for small holders, local communities, and indigenous peoples. Incentives for conservation and sustainable management of natural forests. Strengthening of governance on forest lands. Promotion of competitiveness and legality in value chains of forest products. 	2.6
Increase in carbon stocks (+)	<ul style="list-style-type: none"> Incentives for increasing carbon stocks. Incentives for conservation and sustainable management of natural forests. Strengthening of governance on forest lands. Improved forest management. Promotion of competitiveness and legality in value chains of forest products. 	7.02

Table No. 5 Short-term priority activities for the National REDD+⁵³ Strategy.

After 2020 these REDD+ measures would continue to be implemented with expanded activities for emissions reduction, in accordance with the legal framework of the forest sector and changes of land use in the country. In addition, an effort will be made to pursue a strategy option to permit coordination of policies with the agrarian sector.

▪ ***Progress in implementation of the proposed REDD+ strategy options:***

Based on the experience generated by the application of the national forest incentive programs that have been implemented in Guatemala in the past 15 years (PINFOR and PINPEP), the various sector studies on the forest sector that shape the actions the country should take for the development of this sector and for rural development (Retrospective and Prospective Analysis of the Economic Impact of the Forest Incentives Program⁵⁴, Diagnostic and Reference Framework of the Strategy and Action Plan for the Industrial/Forestry Development of Guatemala⁵⁵, Financial Forest Strategy of Guatemala⁵⁶, among others), and the expressions of various social groups with interest in the forest sector (the National Alliance of Community Forest Organizations, Forest Union, Forest Cluster, Forest Round Tables at the regional level, environmental NGOs represented by ASOREMA -CALMECAC, Rainforest Alliance and others-, the National Association of Municipalities of Guatemala -ANAM- and international cooperation -

⁵³ National Emissions Reduction Program.

<https://www.forestcarbonpartnership.org/sites/fcp/files/2014/september/Guatemala%20ER-PIN%20Version%20Sept%202014.pdf>

⁵⁴ <http://www.pfnguatemala.org/files/admin/Descargas/Cuaderno%20de%20Estudio%20economico%20del%20PINFOR.pdf>

⁵⁵ <http://www.pfnguatemala.org/files/admin/Descargas/Marco%20de%20Referencia%20Diagnstico%20FODA%20Estrategia%20foresto%20industrial.pdf>

⁵⁶ <http://www.pfnguatemala.org/files/admin/Descargas/effn.pdf>

FAO, IUCN; IDB, UNDP, among others-), and the orientations of the international dialogue on forests; in 2012 a process began to develop a program to give continuity to PINFOR when it terminates in 2016.

These efforts gave rise to the formation of a support committee for the drafting and follow up of the Law (Initiative 48-2012) that resulted in the PROBOSQUE Law (Decree Law 2-2015). The support committee (composed of FAO, IUCN, ASOREMA, Forest Union, ANAM, and the technical team and Board of Directors of INAB) had the function of organizing regional workshops to consult local stakeholders, draft the law, and meet as a bloc with the different political parties represented in Congress to gain support for the initiative. After four years of negotiations, on September 24, 2015, Congress approved Decree 2-2015 that established the Law to Promote the Establishment, Recovery, Restoration, Management, Production, and Protection of Forests in Guatemala (PROBOSQUE).

The PROBOSQUE Law, valid for 30 years (2016-2046), is part of the economic instruments of the Forest Law that are one of the two strategy options proposed for REDD+. Based on the experiences of PINFOR and the PINPEP Law, PROBOSQUE is a qualitative jump forward by including new modalities for sustainable development (agroforestry systems, plantations for energy and industrial purposes, natural forests for protection of aquifer replenishment and restoration of landscape) and it makes the facility available to other types of beneficiaries who have other forms of land ownership (renters and communal lands).

Under the PROBOSQUE Law, and depending on the available public resources, the state is obligated to allocate each year 1% of ordinary revenue, about \$40 million per year. The implementation of PROBOSQUE is expected to have a direct impact on the establishment of plantations, agroforestry systems, recovery of lands, and management of natural forest on 1.3 million hectares at the national level, generating 20,000 direct jobs and 60,000 indirect jobs per year; benefiting a total of 1.5 million families, of which it is estimated that 30% are women. These actions represent public investment of about \$1.2 billion in 30 years. (See Table 6)

PROBOSQUE Modality	Annual goal (ha)	30-year goal (ha)
Establishment and maintenance of forest plantations for industrial purposes	6,667	200,000
Establishment and maintenance of forest plantations for energy purposes.	3,333	100,000
Establishment and maintenance of agroforestry systems	10,000	300,000
Management of natural forests for productive purposes	4,167	125,000
Management of natural forests for protection and environmental services	12,500	375,000
Restoration of degraded forest lands	6,667	200,000
TOTAL	43,333	1,300,000

Table No. 6 Estimated targets for implementation of PROBOSQUE

In November 2015 INAB's Board of Directors⁵⁷ named an Institutional Commission to work on the regulations for implementing the PROBOSQUE Law (Manager, Legal, Forest Development Directorate,

⁵⁷ The Board of Directors of INAP is composed of representatives of the public sector (MAGA and Ministry of Public Finance) private sector (Chamber of Industry and Forest Union), local governments (National Association of Municipalities), NGOs (Association of Nongovernmental Organizations for Natural Resources and the Environment), and academia (Central National School of Agriculture and Universities that offer forestry studies and subjects in related professions).

Forest Management Directorate, Standards Directorate), and they prepared a road map that was approved by the Board of Directors for implementation of the Law.

In December 2015, building on the experiences of PINFOR and PINPEP, the Commission prepared draft regulations that were consulted with representatives of the principal stakeholders in the forest sector. It is currently working in multisector consultations in a democratic, participatory, and inclusive process, to circulate the regulations proposal in strategic regions and receive feedback on technical and administrative aspects necessary for its implementation.

Simultaneously, a working group entrusted with developing technical criteria and parameters and administrative procedures for implementation and operation for the regulation of the Law is working on:

- Preparation of terms of reference for:
 - ✓ The regulations for each management modality to be encouraged
 - ✓ Compensation mechanisms for environmental services associated with forests
 - ✓ Establishment of baselines for PROBOSQUE using the results of PINFOR, for example: number of hectares stimulated, number and typology of beneficiaries, jobs generated, and others
 - ✓ Procedure manual
 - ✓ Elaboration of the map of aquifer replenishment zones and upper parts of river basins that supply main cities in departments and municipalities.
- Planning of regional and national workshops to gain support for the regulations, including the design and layout of culturally relevant support documents (trifolds, posters, etc.).
- Planning of the event to launch Law 6.

Progress Indicator 17: Evaluation of viability:

There has been a preliminary evaluation of the viability of the proposed REDD+ strategy options: strengthening of SIGAP and the economic instruments of the Forest Law. As shown in the following table, this preliminary evaluation was done based on the following categories: legal framework and instruments being used for implementation.

Proposed REDD+ strategy option	Legal framework that supports it	Instruments for its implementation
Strengthening of the Guatemalan System for Protected Areas	<ul style="list-style-type: none"> ▪ Law for Protected Areas (Decree 4-89) ▪ National Biological Biodiversity Policy ▪ Policy for Co-Management of Protected Areas ▪ Policy for Conservation, Protection, and Improvement of Natural Resources ▪ National Wetlands Policy ▪ National Policy for Prevention and Control of Forest Fires and Management 	<ul style="list-style-type: none"> ▪ Community forest concessions ▪ Co-management with NGOs, the private sector, municipalities, and others ▪ National Strategy against Illegal Cutting of Forests ▪ Strategy of Communal Lands and Indigenous Territories ▪ Legislative Decree 5-90 for establishment of the Maya Biosphere Reserve (RBM) ▪ Decree 87-96 that declared the national urgency for conservation, protection, and restoration of the RBM ▪ Legislative Decree 26-97, Law for Protection of Cultural Heritage and Legislative Decree 16-2004, Emergency Law for the Restoration, Recovery, Protection, and Conservation of Laguna del Tigre. ▪ Government Agreement of May 26, 1955, establishing Tikal National Park.

Proposed REDD+ strategy option	Legal framework that supports it	Instruments for its implementation
		<ul style="list-style-type: none"> ▪ Decree 55-2003, published on December 19, 2003, which names the area Yaxhá-Nakum-Naranjo National Park. ▪ Decree 99-40, creation of Sierra de las Minas Protected Area ▪ And others.
Economic Instruments of the Forest Law	<ul style="list-style-type: none"> ▪ Forest Law ▪ PROBOSQUE Law ▪ Law for Forest Incentives for Holders of Small Areas of Land for Forestry or Agroforestry (PINPEP) ▪ Forest Policy 	<ul style="list-style-type: none"> ▪ National Program of Forest Incentives (PINFOR) ▪ Program of forest incentives for holders of small areas of land for forestry or agroforestry (PINPEP) ▪ Strategy for Communal Lands and Indigenous Territories ▪ Strategy for Sustainable Production and Efficient Use of Firewood ▪ Forest, industry, and market strategy ▪ National Strategy for the Restoration of the Forest Landscape ▪ And others.

Table No. 7 Preliminary evaluation of the viability of the strategy options based on the country's legal framework

- ***Study of viability of the national forest incentives program (PINFOR):***

For territories outside the protected areas, INAB has done several studies on the environmental and financial viability of the various forest policy instruments for which it is responsible. The most thorough one is the document of retrospective analysis (1997-2009) and prospective analysis (2010-2033) of the financial impact of the PINFOR incentives program on the forest economy.⁵⁸

According to this study, with respect to job creation by reforestation activities, from 1993 to 2009 PINFOR generated a total of 19,021,486 daily wages, which represents an average of 5,414 permanent annual jobs. Looking only at the period 2004-2008 (the period when the largest area was established), a total of 2.1 million daily wages per year and 7,752 jobs per year was established. Considering the amounts of PINFOR for the period 2004-2008, a government investment of about \$1,400 was needed to generate one permanent job per year. These figures show that PINFOR is a powerful and immediate strategy for generating rural employment.

The prospective analysis (for the period 2009-2032) with respect to job generation shows that starting in 2022, when the final harvest begins, employment is expected to be 15 million daily wages (1.2 million daily wages per year) and a total of 4,600 annual jobs. The public sector will not intervene in the creation of jobs expected from 2022 to 2032. This means that PINFOR will have a multiplier effect that will create virtuous circles of economic growth and employment.

With respect to public and private investments, in constant terms the public sector will invest a total of about \$154,000 (35% of the total); private and civil society investments will represent a total of about \$282,000 (65% of the total), for a total of \$435,000. From these results it can be concluded that PINFOR is carrying out its objective of encouraging investment by the private sector and civil society in the forest sector, as a means of revaluing the country's forest resources.

⁵⁸ INAB/FAO. 2010. Retrospective Analysis (1997 – 2009) and Prospective Analysis (2010 – 2033) of the Economic Impact of the Forest Incentives Program (PINFOR) on the National Economy.

INAB is currently systematizing the experiences of PINFOR since the program ends in 2016. This database will provide detailed information on the impacts generated by the program and will cover not only the analysis of the reforestation activities, but also the activities for management of natural forests for conservation or production.

Progress Indicator 18: Implications of the strategy options for existing sector policies:

The activities proposed in the preparation of the REDD+ National Strategy, the Forest Investment Program (FIP), and the National Emissions Reduction Program not only enjoy broad support from the local communities (e.g., national forest incentive programs), but also promote and contribute to attaining the Sustainable Development Objectives⁵⁹ of the United Nations and the agreements reached in the Twenty-first Conference of Parties (COP 21) of the UNFCCC.

Guatemala's REDD+ is included in the proposal for Intended Nationally Determined Contributions (INDC) presented in 2015,⁶⁰ the Second National Communication on Climate Change,⁶¹ and the National Plan for Adaptation to and Mitigation of Climate Change (in process of validation by multiple sectors).

The Secretariat for Planning and Programming in the Office of the President (Segeplán) has done a diagnostic study on the current state of public policies on climate change, and the institutional capacities for carrying them out. Segeplán is now analyzing 59 policy instruments in accordance with the conceptual guidelines on climate change and sustainable development, including those related to the forest sector and changes in land use, classifying them and identifying information gaps. This information is posted on the institution's web site (for example, the evaluation of the Forest Policy⁶²).

In the framework of multisector coordination mechanisms, terms of reference have been prepared and the contracting process is underway for a consultant to systematize the policies and governance framework of the REDD+ National Strategy, which will include:

- Identification of the laws, regulations, policies, or strategies related to the strategy options proposed in the REDD+ National Strategy and the National Emissions Reduction Program.
- Identification and analysis of gaps and incompatibilities between the strategy options and the forest sector policies or programs and those of other related sectors (agriculture and energy, among others); including the preparation of a timeline and proposal to resolve the incompatibilities and integrate the REDD+ strategy options with the relevant development policies.
- Systematization of the existing forest policies and governance related to the rights on emissions reductions, the mechanisms for benefit sharing, the methods of financing REDD+; and the identification of existing gaps in them and elaborating a proposal to address them, identifying those that promote more general development objectives and have wide support by interested parties.

Next steps

It is expected that early in 2016, from the remaining resources of the FCPF Technical Cooperation (\$3.8 million), the initial phase of consultation and implementation of the PROBOSQUE Law will be carried out

⁵⁹ Sustainable Development Objectives 1, 2, 5 to 13, 15 to 17; <http://www.undp.org/content/undp/es/home/sdgoverview/post-2015-development-agenda.html>

⁶⁰ Guatemala's INDC Proposal

<http://www4.unfccc.int/submissions/INDC/Published%20Documents/Guatemala/1/Gobierno%20de%20Guatemala%20INDC-UNFCCC%20Sept%202015.pdf>

⁶¹ Second National Communication on Climate Change

http://www.marn.gob.gt/noticias/actualidad/Segunda_Comunicacin_Nacional_Cambio_Climtico

⁶² Segeplán web site, forest policy evaluation <http://186.151.231.80/CAPP/?p=23919>

at an approximate cost of \$154,200. The terms of reference have already been prepared and the contracting process is underway for the following activities:

No.	Financing need	Objective	Estimated period in 2016	Estimated Amount (\$)
1	Digitalization of activities stimulated by the PINFOR forest incentives program	To digitalize activities stimulated by PINFOR in order to generate a database of activities by year, type, subregion, and region.	6 months starting in April	\$100,000
2	Awareness workshops at the regional and national levels	41 regional and national workshops to inform users of the forest incentives programs about the PROBOSQUE Law and Regulations	Starting in March	\$25,000
3	Printing of various informational materials on the PROBOSQUE Law and Regulations	Culturally relevant material to disseminate the content of the PROBOSQUE Law and Regulations to various forest sector organizations	Starting in March	\$20,000
4	Regulations for the National Forest Fund (FONABOSQUE)	Prepare and gain consensus on the regulations for creation of FONABOSQUE as required in Chapter IV of the PROBOSQUE Law	Starting in March	\$9,000
Total				\$154,200

Table No. 8 Initial activities that will be financed for the PROBOSQUE Law with remaining funds of the FCPF \$3.8 million

Other activities for this subcomponent will also be executed with the remaining funds of the FCPF:

- Evaluation of the social and environmental viability of the REDD+ strategy options, taking as a base existing studies; thereby identifying risks and opportunities, as well as a cost-benefit analysis to identify opportunities for improvement.
- The framework of policies and execution related to the Strategy, identifying incompatibilities between the strategy options and the policies or programs of other sectors related with forest matters.
- Identification of other strategy options and activities with a potential for emissions reduction that should be included.

Request for additional funding

For Component 2, additional funding of \$3,500,000 would permit full implementation (development of all instruments) of the PROBOSQUE Law in order to increase, protect, and conserve the country's forest coverage. When this is done, PROBOSQUE will be ready to use the financing Guatemala has received from the Forest Investment Program (FIP) and resources from the state. Annex 10 gives details of the financing.

No.	Requirement for financing	Estimated period for preparation	Approximate amount (\$)
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1	Strengthening of technical capacities at the national and regional levels with multiple stakeholders (public institutions, local communities and associations, forest organizations, municipalities, and others)	2017-2018	600,000
2	Consultancies and technical studies (development of all instruments, regulations, etc.)		1,300,000
3	Dissemination of material for strengthening capacities and awareness building at the national and regional levels.		300,000
4	Institutional strengthening for the monitoring of emission reduction activities: Strengthen all regions of the country with instruments, equipment, etc. to monitor emission reduction, including local governments.		1,300,000
TOTAL			3,500,000

Table No. 9 General activities to fully implement the PROBOSQUE Law with additional funds from the FPCF.

2c. Implementation framework

Overview

Definition of the institutional, economic, legal, and management mechanisms needed to implement the REDD+ strategy options, and the institutional framework and interested parties including vulnerable groups and holders of the emission reduction rights, in order to facilitate the sharing of the benefits of the REDD+ National Strategy, respecting the rights of the indigenous peoples and rural communities. Clarifying questions related to land ownership, insofar as possible, and mediating related conflicts, and handling carbon transactions with a transparent process.

Progress

With respect to mechanisms for distribution of benefits, consideration is being given to using the mechanism for distributing the economic benefits of the national forest incentive programs (PINFOR, PINPEP, and now PROBOSQUE), which have well-established benefit distribution mechanisms with more than 10 years experience, channeling more than \$230 million to some 900,000 beneficiaries (interested parties). Ad hoc measures will be designed for REDD+ measures in protected areas, which depending on the type of co-management and proposed REDD+ activities, will be designed jointly with the parties interested in REDD+ measures.

We shall now look at the progress made in the adoption and implementation of the political/legal forest framework and the registry of proposed REDD+ activities.

Progress Indicator 19: Adoption and implementation of legislation/regulations

In November 2015 Congress enacted the PROBOSQUE Law (Decree Law 2-2015), valid for 30 years. PROBOSQUE is part of the economic instruments of the Forest Law that are one of the two proposed REDD+ strategy options. INAB has started making it fully operational, which will require the additional resources specified in Subcomponent 2b.

The abovementioned study on the framework for policies and execution of the National REDD+ Strategy will include systematization that will make it possible to identify which laws, regulations, policies, or

national strategies are related to the modalities and options identified in the National REDD+ Strategy, identifying which of them are being adopted and/or applied.

Progress Indicator 20: Guidelines for implementation

A consultant has been hired to systematize the framework of forest policies and governance related to the reduction and removal of emissions, including those related to the benefit-sharing mechanisms, the ways of funding for REDD+, the rights on emission reduction and the mechanisms for claiming them. It will also identify existing gaps in those policies and propose how to close them.

Progress Indicator 21: Mechanisms for distribution of benefits

To ensure transparency and efficacy in the Strategy's benefit distribution mechanisms, it is planned to use existing mechanisms, and for specific REDD+ initiatives ad hoc mechanisms will be designed (e.g., early REDD+ activities in protected areas). This process must be done through forest governance platforms for the REDD+ measures to ensure a participatory and transparent process.

For the Mechanism for Distribution of Benefits of the Strategy, an Advisory Group was formed of many interested parties including: climate change, legal, and financial departments/units of the institutions of the Inter-institutional Coordination Group (GCI), representatives of civil society, Group of REDD+ Implementers, and others.⁶³ The Advisory Group meets monthly to jointly draft a technical, legal, and financial proposal that will permit coordination of the various specific benefit distribution mechanisms of the REDD+ activities with the national scheme.

The group is currently evaluating the options of various existing benefit distribution mechanisms that could be used for REDD+. During the first half of 2016 it hopes to agree on a proposal among the multiple interested parties for a national mechanism for REDD+. Here now is a brief description of the options that are being evaluated:

a. Mechanisms for distribution of benefits of the national forest incentive programs:

The clearest example of distribution of benefits is the mechanisms of the PINFOR and PINPEP national forest incentive programs. In these programs, INAB has more than 15 years experience channeling economic benefits of more than \$296 million to more than one million beneficiaries. (Figure 3). Noteworthy about this mechanism is the transparency throughout the process in which various stakeholders take part: beneficiaries, INAB, the Ministry of Public Finance (MINIFIN), and the Controller General's Office (CGC).

The benefit distribution process begins after INAB approves the Forest Management Plan⁶⁴ (reforestation, management of natural forests, and other modalities) that the user has presented. The management plan is evaluated in the respective INAB subregion based on established technical and legal criteria, and once it meets the minimum criteria, it is approved. After the plan is approved, the user implements the activities with the technical assistance of a forest overseer⁶⁵ approved by INAB. After the first year of implementation, INAB's forest experts make a field inspection, and if the management plan

⁶³ Report of the III National Workshop for presentation of progress, pp. 24-25 <http://www.marn.gob.gt/Multimedios/1282.pdf>

⁶⁴ As provided in the Forest Law, a forest management plan is a program of technically executed actions that lead to the silviculture of a forest, with market value or not, ensuring the conservation, improvement, and growth of forest resources.

⁶⁵ In accordance with Article 42 of the Forest Law, a forest overseer is a forestry professional (Agricultural Engineer, Forest Engineer or Technician, University Expert specializing in silviculture or forest management, forestry expert, forest manager, or professional with a graduate degree in the field, duly registered with INAB) who is jointly responsible with the license holder for the correct execution of the management plan.

has been fully carried out INAB issues a compliance certificate. If not, INAB issues a technical ruling in which it specifies the recommendations necessary for certification.

The activity compliance certificate is sent to the central offices of INAB for review. It is then sent to internal audit to prepare the payroll for submission to the financial department. After going through these filters, the certificate is sent to management to prepare the letters that are sent jointly with each file to the MINFIN.

MINFIN reviews and approves the files. After this procedure, it prepares a resolution to issue the treasury obligation document. The obligations then become direct deposits in a bank of the system to the account of the previously registered user. At the same time, MINFIN makes the deposits for the administration expenses of INAB.

Each year INAB's internal audit makes inspections to verify the procedures. In addition, the Controller General's Office, as a third party, does external audits of INAB as a mechanism to ensure the transparency of the processes.

It is expected that this benefit distribution mechanism will be the same one used for the new PROBOSQUE Law, whose Chapter IV (Articles 20 to 26) created the National Forest Fund (FONABOSQUE). INAB is now preparing the corresponding regulations for FONABOSQUE, which is a viable option that could be considered by the Advisory Group as a benefit distribution option for REDD+ at the national level. Figure 3 shows the steps of the process for certification of activities and distribution of benefits of the forest incentive programs.

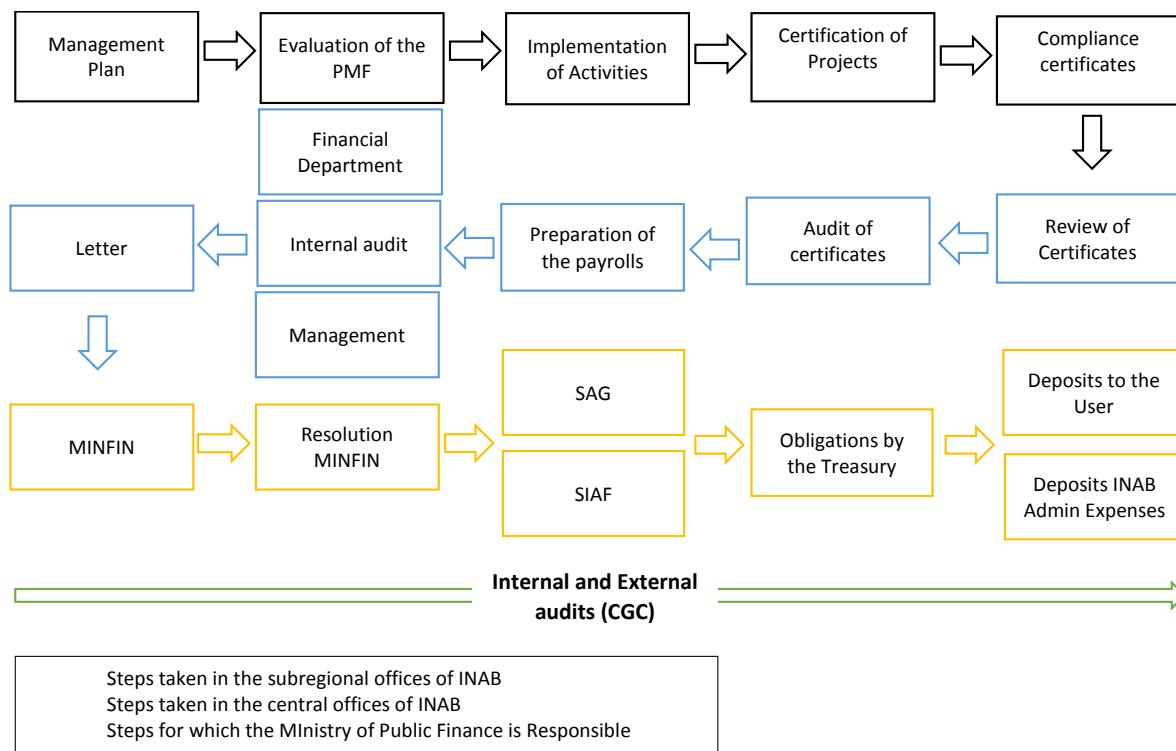


Figure No. 1 Distribution scheme of the PINFOR and PINPEP economic benefits

b. National Fund for the Conservation of Nature (FONACON):

FONACON (Government Agreement No. 264-97) is a financial entity established because of the need to provide priority financial support for institutions devoted to the protection, conservation, and restoration of natural resources in Guatemala. Management of FONACON is regulated by the Budget Law, the State Contracting Act, the Commercial Code, and the Trusts Manual of the Ministry of Finance. Currently CONAP [the National Council of Protected Areas] is in the process of approving the financial administration manual.

CONAP is responsible for the proper functioning of FONACON through a Trust Administration Board (JAF). All funds received are part of the Trust and are managed by Crédito Hipotecario Nacional [National Mortgage Credit] (CHN) as fiduciary. The Executive Director issues instructions for the trustee to make payments or disbursements with trust funds, and is the channel through which JAF transfers its instructions or resolutions.

FONACON is audited by the Controller General's Office, the internal audit of CONAP, and an external auditor. Reports are also issued for Congress, the Ministry of Public Finance, Segeplán, and other entities as required by the Public Information Law.

c. Foundation for the Conservation of Natural Resources and the Environment in Guatemala (FCG):

FCG is a private nonprofit nongovernmental organization, with no political affiliation, which pursues conservation, ecological, scientific, educational, technological, and cultural activities. It was duly incorporated with its own statutes and registered in the Unified Tax Registration Department (RTU).

It has more than two decades of experience in managing financial resources for conservation, and one of its recent initiatives was the transfer of funds resulting from the Debt Swap for Nature between the governments of the United States and Guatemala for \$24 million. FCG has received several external evaluations, among them:

- Positive rating in the evaluation of systems for the application of the payment procedure through a disposition fund, for the management of funds from German financial cooperation (KFW). 2010
- Independent evaluation of the Program for the Tropical Forest Conservation Law in Guatemala that found: good administration of the resources, safe investment respecting the fund's investment policy, and transparent granting of payments. 2010
- NGO Benchmarking Certificate, awarded by the Société Générale de Surveillance (SGS) in 2014. FCG was certified on its first review, something achieved by only 30% of the organizations that undergo that audit.

Progress Indicator 22: National register of REDD+ and activities of the REDD+ monitoring system
In 2014 CONAP, in coordination with partners from GuateCarbon⁶⁶ and Lacandón Bosques para la Vida⁶⁷, created specific web pages for each activity in order to transparently disseminate the relevant information. This mechanism is expected to be applied to other early REDD+ activities in protected areas covered in the SIGAP information system.

⁶⁶ Web site of the GuateCarbon early REDD+ activity <http://guatecarbon.com/el-proyecto/>

⁶⁷ Web site of the Lacandón early REDD+ activity <http://www.bosques-lacandon.org/es/proyecto-piloto-en-guatemala/socios.html>

In the framework of the Forest Law, INAB established the National System of Forest Statistical Information of Guatemala (SIFGUA) to facilitate access to information of the PINFOR and PINPEP national forest incentive programs. It is hoped that this system will be adjusted to disseminate transparently the georeferenced information of the forest incentives included in the National REDD+ Strategy.

These institutional systems will be adapted to register REDD+ activities and facilitate georeferenced information with all the pertinent data on location, ownership, carbon accounting, and financial flows of the REDD+ measures, thereby ensuring public access to information related to the Strategy.

It should be noted that these systems are related to the National System for Monitoring, Reporting, and Verification of the Strategy that is described below in component 4. Terms of reference are currently being prepared for georeferencing of forest incentive areas as a key input for linking the REDD+ registry with the National MRV System.

Next steps

With the remaining resources of the FCPF Technical Cooperation (\$3.8 million) the following studies will be done:

- Aspects related to the adoption and implementation of legislation and national regulations on the REDD+ National Strategy.
- Identification of the Strategy's forest policies concerning benefit distribution mechanisms, methods of financing for REDD+, emission reduction rights, and claim mechanisms.
- Preparation of the proposal for the Strategy's Benefit Distribution Mechanism in workshops and working meetings with multiple interested parties in the framework of the Advisory Group, and hiring of a facilitator for this process.
- For the registry systems for REDD+ activities, the institutional platforms of INAB and CONAP will be strengthened and connected with the National MRV System.

Other significant work:

- Under the framework of the benefit distribution mechanisms, the most significant progress at the national level is the GuateCarbon early REDD+ activity, for which since the start of 2015 CONAP and the forest concessionaires have been working on a Government Agreement to establish an ad hoc mechanism to receive and distribute income from the emission reductions generated. It is expected that in 2016 the final proposal will be ready and connected with the national benefit distribution mechanism of the National REDD+ Strategy.
- With the support of the USAID/PRCC regional program, there was systematization of the existing benefit distribution systems in the framework of the proposed REDD+ strategy options. This highlighted the experiences in the early REDD+ activities in protected areas, such as: GuateCarbon, the private activities of Hule (*Hevea brasiliensis*), and Lacandón Bosques para la Vida [Forests for Life].

Request for additional funds

The Government of Guatemala anticipates that with the resources remaining from the grant of \$3.8 million the planned activities can be completed.

2d. Social and environmental impacts

Overview

Creation of a sustainable institutional structure that ensures compliance with the Common Approach of the FCPF for social and environmental safeguards, through the efficient management of the social and

environmental impacts of the National REDD+ Strategy in addition to its preparation. According to the safeguard policies applicable to the management of social and environmental risks, this process is done through the Strategic Environmental and Social Assessment (SESA) and the Environmental and Social Management Network (ESMF).

Progress

In the framework of multisector coordination mechanisms (GCI, CNMSREDD+ and GIREDD+) terms of reference were prepared and contracting is in process for a consultant firm that in 2016 will do the SESA and ESMF of the Strategy (publication in Development Business). In these coordination mechanisms, it was agreed that the development of these instruments will include among other things:

- Analysis of the connection of the SESA (under the FCPF Common Approach for social and environmental safeguards) with the Strategic Environmental Assessment of national regulations.
- Identification of deficiencies in the laws and regulations, institutional policies, and existing capacity to mitigate the previously defined priorities, with viable recommendations to correct them.
- Identification of the safeguard policies of the FCPF Common Approach to be activated, indicating which of the respective related instruments will be incorporated in the ESMF.
- Identification and evaluation of the existing platforms for the identification and mitigation of environmental and social impacts of the institutions related to REDD+.
- Identification of the specific mechanisms for dissemination, communication, and consultation of the SESA and ESMF, related to the national process of consultation and participation.
- Make an outline of the stakeholders for the SESA, identifying the interested parties and the existing consultation platforms for REDD+ measures, including a description of the role of the institutions responsible for implementing the strategy options.
- Analysis of aspects related to the situation of rights and management of land, especially for the peasant and indigenous rural stakeholders.
- Analysis of customary and formal rights to land and resources, especially for rural communities and indigenous peoples.

In order to ensure an institutional structure for the SESA and ESMF, the entities of the GCI will take the lead in this process through the directorates and units dealing specifically with indigenous peoples, gender, forest development, and other areas.

The SESA and ESMF will guarantee compliance with the safeguard policies and relevant procedures of the IDB and World Bank, and the material elements of the Common Approach of the FCPF social and environmental safeguards, and domestic legislation. This will also help to ensure compliance with the social and environmental safeguards of the UNFCCC.

Progress Indicator 23: Analysis of questions related to social and environmental safeguards

As of this date the country has a first draft of the Country-led Safeguards Approach (CSA) of the REDD+ National Strategy. This was prepared with active participation of multiple interested parties that interpreted the safeguards of the UNFCCC; defined in a preliminary manner the principles, objectives, indicators, and legal, institutional, and compliance framework for each safeguard; and identified how these are being or will be dealt with in the four components of the National REDD+ Strategy.⁶⁸

The CSA was prepared in the framework of the multisector coordination mechanisms (GCI, GBByCC, GIMBUT, GIREDD+, CNMSREDD+, GAMDB) and other forest governance platforms, with multisector

⁶⁸ Report of the first workshop for interpretation of the REDD+ safeguards and construction of the Country-based Safeguards Approach
<http://www.marn.gob.gt/Multimedios/2681.pdf>

participation of 75 stakeholders (35 women and 40 men), representing the public sector (MARN, INAB, CONAP, MAGA, MEM), indigenous peoples, private sector, civil society, NGOs, academia, international cooperation, and others.

This first draft of the CSA will make it possible to satisfy the requirements of the REDD+ Safeguards of the United Nations Framework Convention on Climate Change (UNFCCC) and the Common Approach of the FCPF for social and environmental safeguards. The CSA has matrices on: the interpretation of the seven safeguards of Cancún, as well as the principles, objectives, indicators, and legal, institutional, and compliance framework for each of the REDD+ safeguards.⁶⁹

This national interpretation, and the legal, institutional, and compliance framework defined in a preliminary manner, facilitate the crosscutting of the seven UNFCCC safeguards in the National REDD+ Strategy. The following table shows how the four Strategy components are addressed, complying with and respecting the REDD+ safeguards.

Strategy component	REDD+ Safeguards of the UNFCCC ⁷⁰	Activities for addressing, respecting, and complying with the safeguards
Component 1 Readiness Organization and Consultation	<ul style="list-style-type: none"> ▪ Safeguard a) That actions complement or are consistent with the objectives of national forest programs and relevant international conventions and agreements. ▪ Safeguard b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty. ▪ Safeguard c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples. ▪ Safeguard d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of Decision 1/CP.16 	<ul style="list-style-type: none"> ▪ The proposed strategy options are based on the country's forest policy framework. ▪ The process of participation and consultation is carried out in the framework of the existing forest governance platforms of the national forest programs, for example, the beneficiary network of PINPEP and the forest concessionaires in the protected areas. ▪ The existing national forest governance structures are used, which are included in the existing multisector coordination mechanisms (GCI, GBByCC, CNMSREDD+, GIMBUT, GIREDD+, GAMDB), for example, the National Table of Climate Change, ASOREMA, ANAM, the Alliance of Community Forest Organizations, ACOFOP, Forest Union, Chamber of Industry, academia, and others. ▪ There is full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, through specific governance platforms such as: the Indigenous Table of Climate Change, the Network of Indigenous Authorities, Community Forest Concessionaires, the Network of Beneficiaries of PINPEP, the

⁶⁹ Matrices with principles, objectives, indicators, and legal, institutional, and compliance framework for each REDD+ safeguard: pp. 15-25
<http://www.marn.gob.gt/Multimedios/2681.pdf>

⁷⁰ Decision 1/CP.16, Appendix I, paragraph 2, page 28 <http://unfccc.int/resource/docs/2010/cop16/spa/07a01s.pdf>

Strategy component	REDD+ Safeguards of the UNFCCC ⁷⁰	Activities for addressing, respecting, and complying with the safeguards
Component 2 REDD+ Strategy Preparation	<ul style="list-style-type: none"> ▪ Safeguard a) That actions complement or are consistent with the objectives of national forest programs and relevant international conventions and agreements. ▪ Safeguard b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty. ▪ Safeguard c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples. ▪ Safeguard d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of Decision 1/CP.16. ▪ Safeguard e) That actions are consistent with the conservation of natural forests and biological diversity, ensuring that the actions referred to in paragraph 70 of this decision are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits. ▪ Safeguard f): Actions to address the risks of reversals. ▪ Safeguard g): Actions to reduce displacement of emissions. 	<p>Association of Forest Communities of Petén, among others.</p> <ul style="list-style-type: none"> ▪ The proposed strategy options seek to strengthen the economic instruments of the Forest Law and the Guatemalan System of Protected Areas. ▪ Building on these strategy options various national forest governance structures were created, through which many of these national forest programs have been upgraded to laws of national application (e.g., the PINPEP Law, the PROBOSQUE Law). ▪ Most of the national forest programs included in the proposed strategy options have been developed with broad participatory processes that recognize the knowledge and rights of indigenous peoples and local communities. For example, some forest management activities carried out in PINPEP, PINFOR, PROBOSQUE, and the REDD+ initiatives in protected areas, cull traditional knowledge and stimulate effective participation and management of forests by these vulnerable groups. ▪ Through the multisector coordination mechanisms, which represent multiple forest governance platforms, there is full and effective participation by many interested parties in various sectors, especially indigenous peoples and local communities. ▪ The proposed strategy options promote the conservation of natural forests and biological diversity and incentivize the conservation and sustainable management of forests, generating multiple social and environmental benefits, for example: the generation of direct and indirect jobs, gender considerations, equitable distribution of benefits (monetary and nonmonetary), conservation of protected areas, protection of aquifer replenishment areas, resilience to climate change, and others. The strategy options also seek to address the causal factors of deforestation and forest degradation. ▪ The strategy options have nationwide coverage, which facilitates the

Strategy component	REDD+ Safeguards of the UNFCCC ⁷⁰	Activities for addressing, respecting, and complying with the safeguards
		implementation of activities that address the risks of reversals and displacement of emissions. In addition, through the SESA and ESMF it is possible to identify, prevent, and/or address the social or environmental risks that represent leaks or reversals.
Component 3 Reference Level/Reference Emissions Level	<ul style="list-style-type: none"> ▪ Safeguard a) That actions complement or are consistent with the objectives of national forest programs and relevant international conventions and agreements. ▪ Safeguard c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples. ▪ Safeguard d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of Decision 1/CP.16. ▪ Safeguard f): Actions to address the risks of reversals. ▪ Safeguard g): Actions to reduce displacement of emissions. 	<ul style="list-style-type: none"> ▪ The reference emissions levels are being prepared based on historical national information (2001-2010) generated for the national forest plans included in the proposed strategy options. For example, the databases of INAB, CONAP, MAGA, and academia on the national forest incentive programs, National Forest Inventory, permanent parcels, carbon parcels, and others. ▪ The national forest programs included in the strategy options (implementation of the country's legal framework for forests), seek to prevent deforestation and degradation of forest coverage, creating conditions so that emissions reduction and carbon capture are lasting. ▪ The reference levels are being achieved taking into consideration the causal factors of deforestation and forest degradation. This facilitates connections with the proposed strategy options, such as the MRV system. ▪ Through the participation of multiple stakeholders and respect for the knowledge and rights of indigenous peoples, the national forest programs seek to respect the underlying culture in relation to the visualization of the forest, promoting its conservation. ▪ The SESA will identify the social and environmental impacts that represent possible leaks and reversals, and the ESMF will be used for mitigation plans to prevent or counteract these impacts.
Component 4 Monitoring Systems for Forests and Safeguards [the National MRV System]	<ul style="list-style-type: none"> ▪ Safeguard a) That actions complement or are consistent with the objectives of national forest programs and relevant international conventions and agreements. ▪ Safeguard b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty. 	<ul style="list-style-type: none"> ▪ The National Monitoring and Information System on GHG Emissions, multiple benefits, other impacts, management, and safeguards (National MRV System) facilitates the exchange of and access to information on how the REDD+ safeguards are addressed, respected and complied with, and draws on the different products that are generated in

Strategy component	REDD+ Safeguards of the UNFCCC ⁷⁰	Activities for addressing, respecting, and complying with the safeguards
	<ul style="list-style-type: none"> ▪ Safeguard c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples. ▪ Safeguard d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of Decision 1/CP.16. ▪ Safeguard e) That actions are consistent with the conservation of natural forests and biological diversity, ensuring that the actions referred to in paragraph 70 of this decision are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits. ▪ Safeguard f): Actions to address the risks of reversals. ▪ Safeguard g): Actions to reduce displacement of emissions. 	<p>components 1, 2, and 3 of the Strategy, for example:</p> <ul style="list-style-type: none"> ▪ GHG emissions: national accounting through the REL and monitoring the effectiveness of the strategy options. ▪ Multiple benefits: structure and results of the benefit distribution mechanisms (the mechanisms per se, type of beneficiaries, arrangements between interested parties, etc.) ▪ Management: transparency and efficacy of the forest governance structures, governance, roles and institutional responsibility (applicability). ▪ Other impacts: results of the SESA (identification of social and environmental impacts), ESMF (plan for mitigation of the identified impacts) and MAR (handling of and response to complaints or claims). ▪ Safeguards: how the applicable safeguards are being addressed, respected, and complied with through the four components of the National REDD+ Strategy.

Table No. 10 Activities of the preparatory phase that facilitate addressing, respecting, and complying with the REDD+ safeguards

Progress Indicator 24: Design of the REDD+ strategy with respect to impacts.

When preparing the SESA and ESMF, the social and environmental impacts, both positive and negative, for each REDD+ strategy option will be identified, described, and analyzed. This will be done in the framework of the national process of consultation with and participation by the multiple interested parties. (Annex II)

In addition, there will be strengthening of the capacities of the various stakeholders (at the level of institutions, NGOs, rural communities, indigenous peoples, and others) to mitigate the social, economic, and environmental impacts of the National REDD+ Strategy.

It has been established, as a preliminary measure, that Guatemala's strategy options will focus on strengthening SIGAP and the economic instruments of the Forest Law through the three REDD+ measures. The results of the SESA, together with the national study on causes and agents, will be used to improve these strategy options, and to design and implement new activities in territories identified in the SESA.

Progress Indicator 25: Environmental and social management framework

The ESMF, as a result of the SESA, must establish the principles, guidelines, and procedures for evaluation and prioritization of the environmental and social risks, and propose measures to reduce, mitigate, or counteract the adverse impacts and improve the positive impacts and opportunities of the activities, policies, or regulations associated with the preparation and implementation of the National REDD+ Strategy.

For this process major coordination efforts are underway to ensure the linking of the SESA and ESMF to the national consultation and participation process. For example, through the multisector coordination mechanisms (GCI, CNMSREDD+, GIREDD+) specific terms of reference were prepared for the SESA and ESMF, in which the following was agreed upon:

- The ESMF will manage the social and environmental risks, and possible impacts related to the REDD+ activities, by: (i) Identification and prioritization of the most important risks and opportunities identified in consultation with the parties interested in the SESA, (ii) Description of the measures to mitigate the negative impact of REDD+ activities in accordance with the risk management mechanisms already established in the strategy options, (iii) Evaluation of the existing consultation and participation platforms for risk management, and (iv) Agreement with the interested parties to validate the mitigation proposals and enable the REDD+ activities.
- The ESMF will also include the following elements: (i) Evaluation and management of environmental and social topics, (ii) Indigenous peoples, (iii) Involuntary relocation and/or restriction on or loss of access to natural resources, (iv) Involvement of the stakeholders, and (v) Dispute resolution.

Next steps:

With the FCPF preparation funds (\$3.8 million) the process is underway for contracting a consultant firm to prepare the SESA and ESMF. Preparation of these instruments will be directed by entities of the GCI through their specific directorates or units on climate change, indigenous peoples, gender, forest development, and others, which will facilitate institutionalization of the processes.

Preparation of these tools aligned with the national process of consultation and participation is expected to begin in the first quarter of 2016. In addition to satisfying the safeguard policies of the FCPF Common Approach, these instruments will contribute to responding to the UNFCCC social and environmental safeguards (safeguards three, four, and five).

Request for additional funds

The Government of Guatemala anticipates that with the resources remaining from the grant of \$3.8 million the planned activities can be completed.

3 – Reference Level/Reference Emissions Level

The preparatory activities undertaken for this component respond to REDD+ safeguards a, c, d, f, and g⁷¹ (Table 10)

⁷¹ Decision 1/CP.16, Appendix I, paragraph 2, page 28 <http://unfccc.int/resource/docs/2010/cop16/spa/07a01s.pdf>

Overview

There are estimates of changes in forest coverage and the carbon content over time of emissions and absorptions in the atmosphere to measure the performance REDD+ policies on reference levels/reference emissions levels.

Progress

Guatemala's national reference emissions levels cover the three REDD+ measures, i.e., deforestation prevented, forest degradation prevented, and increase of carbon stocks. The country, through the GCI and GIMBUT, has decided that the reference level period is 2001-2010.

To facilitate the development of the reference levels, five REDD+ regions covering the national territory were identified: (i) Northern Lowlands, (ii) Sarstún-Motagua, (iii) Center-East, (iv) West, and (v) Southern Coast. (See Figure 4)



Figure No. 2 Map of the REDD+ regions of Guatemala

In 2014 Guatemala did a preliminary estimate of the reference emissions level at the national level with a breakdown for each of the REDD+ regions. (See Figure 5). According to the preliminary estimate, during the reference period 2001-2010, emissions were about 11.48 million tCO₂e per year.⁷²

⁷²<https://www.forestcarbonpartnership.org/sites/fcp/files/2014/september/Guatemala%20ER-PIN%20Version%2Sept%202014.pdf>

Description / REDD+ region	REDD+ region					
	Occidente	Tierras Bajas del Norte	Sarstún - Motagua	Centro - Oriente	Costa Sur	Guatemala
Forest area (ha) 2010	736,248	2,035,258	575,630	211,922	154,335	3,713,393
Forest loss (ha) 2001-2010	161,232	528,641	142,546	107,974	64,757	1,005,151
Forest gain (ha) 2001-2010	194,153	140,680	105,787	54,782	68,209	563,610
Forest loss rate (ha/yr) 2001-2010	16,622	54,499	14,695	11,131	6,676	103,624
Forest gain rate (ha/yr) 2001-2010	20,016	14,503	10,906	5,648	7,032	58,104
Emissions from forest loss (millions tCO2/yr) 2001-2010	-3.38	-11.07	-2.99	-2.26	-1.36	-21.05
Removals from forest gain (millions tCO2/yr) 2001-2010	3.3	2.39	1.8	0.93	1.16	9.57
Total emissions/removals (millions tCO2/yr) 2001-2010	-0.08	-8.68	-1.19	-1.33	-0.2	-11.48

Emission factor for forest loss = -203.2 t CO2e (AGB+BGB, from National Forest Inventory 2002-2003)

Emission factor for forest gain = 165.7 t CO2e (AGB+BGB, from National Forest Inventory 2002-2003)

Figure No. 3 Preliminary estimate of the reference emissions level for the period 2001-2010.

This preliminary calculation is being updated and refined by the institutions of the GCI in the framework of the GIMBUT, which are receiving technical assistance from Winrock International.⁷³ The reference emissions scenarios for REDD+ are being developed in accordance with the Carbon Fund Methodological Framework, and in order to harmonized early REDD+ initiatives into the national strategy, a methodological adjust will be done.

To do this, the GIMBUT has prepared a road map that calls for completion in July 2016 of the emissions reference scenarios at the national level. (Annex XI) This is taking into account existing databases for the reference period 2001-2010 and subsequent years (up to 2015):

- Estimate of emissions because of deforestation avoided: mapping of changes in forest coverage (2001-2006 and 2006-2010), map of forest coverage and land use (2005 and 2010), National Forest Inventory (2002-2003) and databases of National Inventories of Carbon Content.
- Estimate of emissions because of degradation avoided: mapping of fire scars (2001-2009), and tables of data on firewood consumption, and legal and illegal felling of trees.
- Estimate of removals for increases in carbon stocks: forest management and natural regeneration.

Using these databases, the information is being updated using the same methodologies to complete the reference period.

To establish the reference emissions scenarios the GIMBUT has defined and agreed on the institutional roles and responsibilities of the four GIS Departments/Units of the GCI according to the thematic competence of each one (Table 12). The Technical Cooperation Agreement for the establishment of the GIMBUT (Annex VII) specifies that the government institutions will lead the processes with the assistance of the University of the Valley of Guatemala and the Rafael Landivar University. However, the group has the collaboration of other entities such as the Agronomy School of the San Carlos University of Guatemala (FAUSAC) and the National Geographical Institute (IGN).

At the present time 12 GIS experts have been hired (eight experts with FCPF funds and four with support from UNDP) to work with the GIS Departments/Units to support the preparation of the reference emissions scenarios. The work plans of these experts were prepared jointly by the GIMBUT, defining the tasks and products in support of each institution's roles and responsibilities (Table 12). In addition, the

⁷³ Support by the Rain Forest Alliance and the University of the Valley of Guatemala in the framework of the USAID/CNCG project.

FCPF financing has supported the strengthening of the GCI institutions through the purchase of equipment for the contracted experts and the GIS Departments/Units.

Responsibility in accordance with the thematic competencies of the GCI	Responsible institution	# of GIS support experts
▪ Firewood, legal and illegal wood ▪ Plantations and regeneration	INAB	3
▪ Fires ▪ Forest height, carbon map, and carbon database	CONAP	3
▪ Map of coverage and use ▪ Post-deforestation uses	MAGA	4
▪ Collection and systematization of data	MARN	2

Table No. 11 Roles and responsibilities by thematic competence for prepare of the REL/RL

During the monthly meetings of the GIMBUT (executive and technical levels), the institutions and entities supervise and coordinate the progress in the preparation of each of the processes. It is expected that in July 2016 Guatemala will finish the REDD+ reference emissions scenarios. (Annex XI)

Progress Indicator 26: Demonstration of the methodology:

The preliminary initial estimate of historical emissions at the national level (Figure 5) was done and reported for the five REDD+ regions that have been defined using physical and socioeconomic criteria on changes in land use and forest degradation. The reference period used is 2001-2010 and the data on activity used include land use maps for about 2001, 2006, and 2010 (average date of data 2000.7, 2006.6, and 2010.4 respectively in decimal years). This preliminary estimate includes emissions and removals of CO₂ in the live biomass repositories above and below the soil in trees with DAP over 10 cm. The following data sources were used for this estimate: (a) activity data derived from land use maps that used LANDSAT (TM and ETM) images and was published officially by INAB, CONAP, UVG, and URL in 2011 and 2012, and (b) emission factors derived from data of the summary of the National Forest Inventory conducted between 2002-2003 and published by the FAO in 2004.

As mentioned in the previous progress indicator, this initial estimate is being updated and adjusted, for which specific methodologies will be prepared and applied with methodological protocols that are being developed for the baselines of the three REDD+ measures. The methodologies will be based on the Carbon Fund Methodological Framework and in order to harmonized early REDD+ initiatives into the national strategy, a methological adjust will be done..

About 60% of the work is completed, and the reference emissions scenarios are expected to be finished in July 2016. (Annex XI) Currently they are compiling historical databases from 2000 to 2010 and subsequent years, for which they are using national historical databases for fire scars, firewood, legal and illegal felling of trees, permanent parcels, forest incentive program data, the WISDOM methodology on firewood, and others. These databases are being standardized and refined to identify and apply the corresponding methodology for each REDD+ measure.

Here is a summary of the progress to date for the reference period 2001-2010 and subsequent years to supplement the information; including activities planned from February to July 2016 to finish the work:

a. Carbon densities map:

- About 80% of all existing databases have been systematized for preparation of the carbon densities map (INAB and CONAP databases: National Forest Inventory, permanent parcels,

forest management in the category of protection, and the carbon parcels of the University of the Valley). The phase of putting together similar parcels has begun, in order to establish the stratification of the forest coverage map through exercises to determine similar areas with respect to carbon content, which will be the basis for estimating the emissions and absorptions for the three baselines. This process is 60% completed, and is to be finished in April 2016 according to the CONAP/UVG work plan.

b. Reference scenario for deforestation avoided (estimated to be 60% completed):

- The analysis of the maps of changes in forest coverage (2001-2006 and 2006-2010) according to the IPCC categories is done (See [preliminary map](#) in Figure 6).

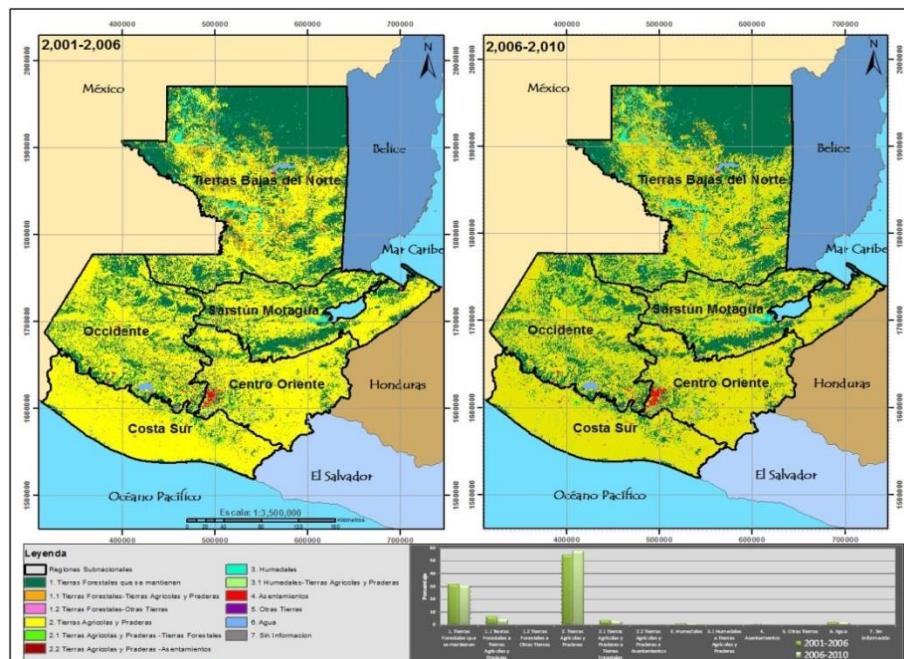


Figure No. 4 Map of changes in land use 2001-2010 for estimation of GHG. Source: GIMBUT

- The spatial quantification of post-deforestation uses and analysis of the bibliographical support for the results obtained spatially has been completed. Currently the search is underway for emission factors for the non-forest categories identified for post-deforestation uses. This activity is 60% done and should be finished in July 2016.
- The map of forest coverage and land use in 2014 has been completed and is in the process of validation by personnel of the National Geographical Institute (IGN). The final result should be ready in July 2016.
- As part of the progress baselines for deforestation avoided have been completed for the Northern Lowlands and Sarstún-Motagua REDD+ regions:

- Progress in the baseline for deforestation avoided for the Northern Lowlands Region:**
For the Northern Lowlands REDD+ region a **temporary** reference level has been developed using an adaptation of the methodology for unplanned deforestation approved by the VCS (VM0015). Although some adjustments will need to be made in that reference level to adapt it to the Carbon Fund Methodological Framework.

- **Progress in the baseline for deforestation avoided for the Sarstún-Motagua REDD+ region:**

In the framework of the USAID/CNCG project, the Center for Environmental Studies (CEAB) of the University of the Valley of Guatemala (UVG) has been developing the baseline for deforestation avoided for the Sarstún-Motagua REDD+ region. There were methodological adjustments in 2014 to adapt the baseline to the Carbon Fund Methodological Framework. Significant progress in this construction process includes:

- a. Completion of measurement of historical deforestation in the region, which includes preparation of the 2014 map of coverage and land use, and the evaluation of its accuracy;
- b. Analysis of the causes and agents of deforestation (the following have been completed: the phase of consultation with interested parties, implementation of the factor analysis methodology to quantify preliminary findings, and the phase of validation of the results.);
- c. Measurement of the existence of carbon with the survey of 150 parcels in the different types of forest, and 80 parcels in non-forest uses, which are currently being processed; this data will make it possible to prepare the carbon density map;
- d. Definition of the carbon density map, identifying the three types of forest and significant differences in the carbon content determined primarily by dampness;
- e. Development of local allometric equations for broadleaf and conifer forests;
- f. Determination of emission factors for forest strata and non-forest land use.

- c. **Reference scenario for degradation avoided: (estimated to be 40% completed):**

- Vectors have been completed for the fire scar databases for the reference period. As part of the additional effort mapping is being done for 2011-2015, which is 60% completed; vectors for the years mentioned are to be finished in April 2016 (See [preliminary map](#) in Figure 7).
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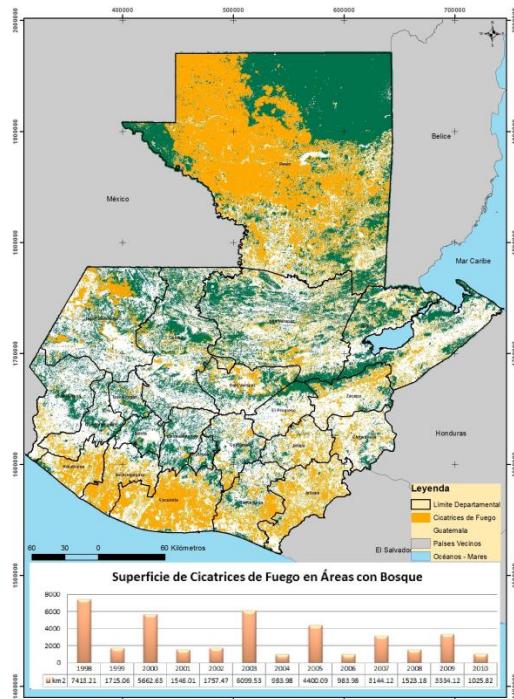


Figure No. 5 Area of fire scars in forested areas 2001-2010. Source: GIMBUT and SIGMA-I

- Systematization of primary, secondary, and geospatial information on wood and firewood (quantification of extraction and its analysis) is done. However, since the information in the geospatial and tabular databases represents only 15% for the reference period, efforts are being made to analyze it with various methodologies, including the use of remote sensors to determine the significance level for degradation in the country.
- A significance analysis of forest degradation is expected to be finished in February 2016.
- At a national workshop with national experts representing the GIMBUT, the National Multisector Committee on REDD+ Safeguards, representatives of civil society and international cooperation, there was preliminary agreement on the following country definition for forest degradation in the framework of the national REDD+ process: "*In the framework of the National REDD+ Strategy of Guatemala, forest degradation is the process of (significant) reduction of carbon stocks in the forests, caused by non-sustainable anthropogenic activities; that is measurable, quantifiable, and verifiable.*" The next steps will be a process of consultation and validation of the proposed definition so that it can then be officially adopted.

d. Reference scenario for increase in carbon stock: (estimated to be 70% completed):

- The process of filtering, analysis, and systematization of databases was completed for 1998 to 2015 on the national forest incentive programs (PINFOR, PINPEP), voluntary plantations, and permanent parcels with forest measurement. In addition, geospatial overlays of points and polygons were created for each database register analyzed. (See preliminary map in Figure 8).

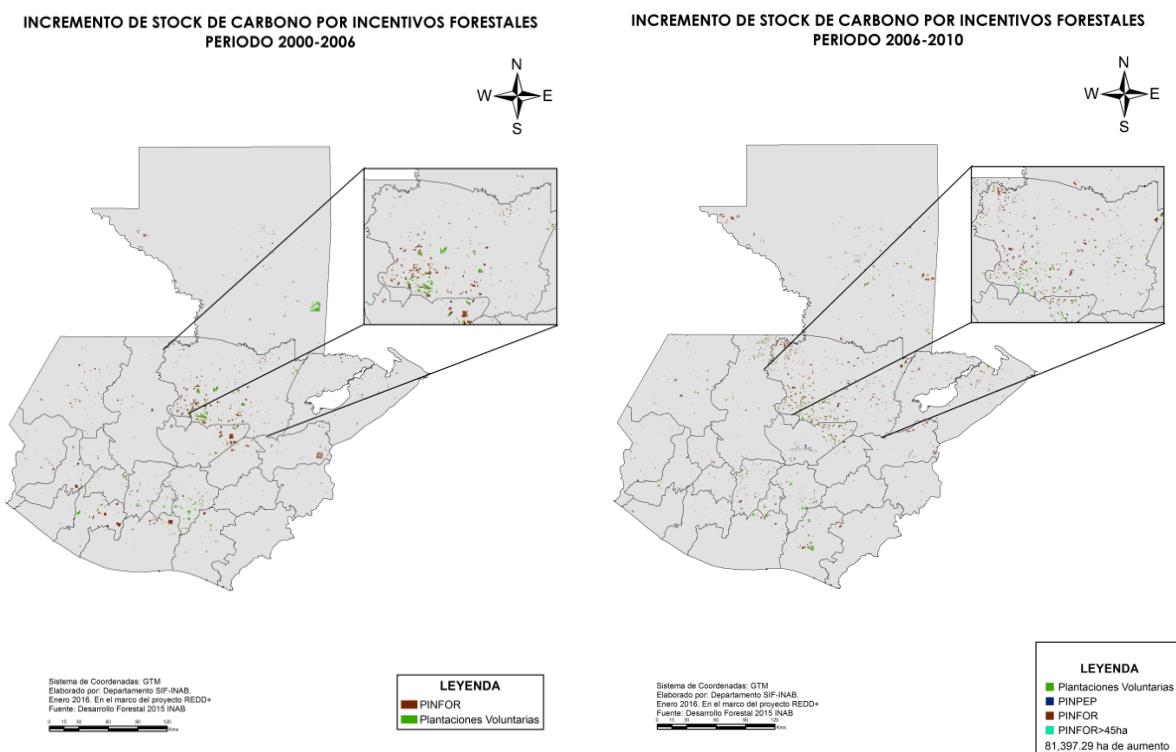


Figure No. 6 Dynamic map of the increase in carbon stock from the national forest incentive programs 2001-2010. Source: GIMBUT

- Official maps were analyzed for changes in coverage in the periods 2001-2006 and 2006-2010. This process has made it possible to analyze and establish parcels that are found in the areas

where forest coverage increased. Geospatial overlays on natural regeneration were prepared. This baseline is expected to be finished in July 2016.

Progress Indicator 27: Use of historical data adjusted for national circumstances

As mentioned above, the databases being constructed are based on national methodologies of historical information that is documented by various official publications. Their preliminary reference is the data presented in the National Emissions Reduction Program (ER-PIN format) and the guidelines of the Carbon Fund Methodological Framework. It is important to note that when historical data do not have at least 15% substantiating information, they are discarded.

The process of elaboration of the reference emissions scenarios is being extensively documented in a transparent manner with respect to its methods and processes; at the end of the process the final results will be published.

Progress Indicator 28: Technical viability of the methodological approach, and congruence with the orientation and guidelines of the UNFCCC/IPCC

The process and methodological approach that are being used to prepare the reference scenarios are based on the Carbon Fund Methodological Framework and the guidelines and orientation of the UNFCCC and IPCC:

- The coverage maps of land use include the minimum categories required by the IPCC: forest lands, wetlands, farmland and pastures in one category, settlements, and other lands.
- Emission factors are generated for local forest coverage (not by default).
- Calculation of uncertainties with the Monte Carlo Method.

Other significant processes

a. Training and strengthening of capacities of the GIMBUT:

With the support of various strategic partners, a series of training programs for GIMBUT and other key stakeholders took place in 2015 to strengthen and create technical capacities for preparation of the reference emissions scenarios for REDD+. The following table shows details of the training.

No	Name of the training	Funding	Objective	# participants	Provider
1	Downloading of satellite images (LANDSAT) 7 and 8 from the platform of the U.S. Geological Survey (GLOVIS and Earth Explorer USGS).	USAID, through the CNCG project	Strengthening of the capacities of the GIMBUT in the methodological process for preparation of the Map of Vegetation Coverage and Land Use (COBUSOT).	Total=12 Women=2 Men=10	CEAB/UVG
2	Methodology for classifying LANDSAT images for preparation of the Map of Vegetation Coverage and Land Use	USAID, through the CNCG project	Strengthening of the capacities of the GIMBUT in the methodological process for preparation of the Map of Vegetation Coverage and Land Use (COBUSOT).	Total=18 Women=4 Men=14	CEAB/UVG
3	WORKSHOP ON REDD+ PREPARATION prior to	USAID, through the	Strengthening of the capacities of the GIMBUT	Total=31 Women=13	CEAB/UVG

No	Name of the training	Funding	Objective	# participants	Provider
	implementation of the methodological protocols on deforestation and enrichment, generated by Winrock International	CNCG project	on general aspects and basic concepts of REDD+.	Men=18	IDB, INAB, and Sotzil
4	Introduction to PhotoScan software for georeferencing of aerial photographs 2014.	USAID, through the CNCG project	Strengthening of the capacities of the GIMBUT in the methodological process for preparation of the Map of Vegetation Coverage and Land Use (COBUSOT).	Total=20 Women=4 Men=16	CEAB/UVG
5	Introduction to the use of LIDAR technology and radar satellite images for forest management, with emphasis on calculation of biomass.	USAID, through the CNCG project	Strengthening of the capacities of the GIMBUT to estimate biomass using radar methods.	Total=24 Women=5 Men=19	Consultant Leonardo Flores
6	Introduction to levels of deforestation and increase in the carbon content.	USAID, through the CNCG project	Strengthening of the capacities of the GIMBUT in the construction of reference levels on deforestation and carbon stock increase.	Total=22 Women=4 Men=18	Winrock International
7	Workshop on Forest Degradation in the REDD+ Framework in Guatemala.	UNDP	Jointly agree on a country definition of degradation in the framework of preparation of the National REDD+ Strategy.	Total =45 Women=15 Men=30	UNDP, CATIE
8	Management of databases and quantification of uncertainties to support construction of reference levels in the framework of the National REDD+ Strategy.	CNCG, RF-UNDP-U.S. Forest Service	Strengthening of national capacities in theoretical and practical aspects for database management and quantification of uncertainties, especially through the Monte Carlo propagation method.	Total=19 Women=8 Men=11	SilvaCarbon /CONAFOR
9	"Introduction to radar technologies, modeling of biomass and modeling of changes in land use with DINAMICA-EGO"	UNDP	Provide knowledge and technical capacity in the use of instruments in geographical information systems and active remote sensors to estimate data of activity and analyze changes in land use.	Total=24 Women=7 Men=17	CATIE

Table No. 12 Strengthening of capacities of the GIMBUT on specific aspects for preparation of the REL/RL

Next steps

With the FCPF preparation funds (\$3.8 million), equipment, software, and hardware is being purchased for strengthening of the GIS directorates of the GCI, to facilitate the preparation of the reference emissions scenarios and monitoring, reporting, and verification.

Request for additional funds

The Government of Guatemala anticipates that with the resources remaining from the grant of \$3.8 million the planned activities can be completed.

4 – Monitoring systems for forests and safeguards

The activities accomplished for this component respond to the seven safeguards of Cancún.⁷⁴

4a National Forest Monitoring System and 4b Information system for multiple benefits, other impacts, management, and safeguards

Overview

The National Forest Monitoring System generates information that permits comparison of changes in the area and carbon content of forests (and the associated GHG emissions) as a function of the baseline estimates used for the REL/RL. The system is solid and transparent, and contributes to strengthening forest management, including additional measures to combat deforestation and forest degradation.

Aspects unrelated to carbon that the country has identified as a priority and will monitor have been identified. The Information System for multiple benefits, other impacts, management, and safeguards is capable of reporting on action to address and respect the safeguards during the execution of REDD+ activities, paying due attention to the specific monitoring provisions contained in the country's ESMF.

Progress

Institutional systems (digital and specific offices) that will generate socioeconomic and environmental information on the national forest programs included in the proposed REDD+ strategy options have been identified (Table 14).

These information and monitoring systems will be adapted and strengthened to generate specific information on the proposed REDD+ activities in the territories. CONAP, INAB, and MAGA must transfer the information to the MARN for publication in the National Climate Change Information System (SNICC) to generate relevant reports and permit dissemination of the information to interested parties.

Existing information system	Responsible party	Objective
Forest Statistics Information System of Guatemala (SIFGUA) ⁷⁵	INAB	A computerized platform that consolidates, analyzes, and disseminates information generated for the country's main forest activities on the market, marketing, and transparency of activities in the sector, and cooperates in decision-making on forests.
Electronic Information System on Forest Enterprises (SEINEF) ⁷⁶	INAB	A platform to improve efficiency in forest management to guarantee the legal origin of forest products from companies registered in the sector, strengthening competitiveness and protecting the licit companies by using documents with high

⁷⁴ Decision 1/CP.16, appendix I, paragraph 2, page 28 <http://unfccc.int/resource/docs/2010/cop16/spa/07a01s.pdf>

⁷⁵ SIFGUA of INAB <http://www.sifgua.org.gt/>

⁷⁶ SEINEF of INAB: <http://seinef.inab.gob.gt/>

Existing information system	Responsible party	Objective
		degree of security and cutting edge technology. The SEINEF is a tool that will strengthen the combat against illegal cutting and marketing of forest products in the country.
Forest Management System (SEGEFOR), which is under construction ⁷⁷	INAB	An on-line platform for users of the different instruments of the forest law (permits for forest management, change of use, forest incentives, etc.), to replace the use of paper and notifications with this platform on which users can check on the status of their respective issues.
Portal of the Guatemalan System of Protected Areas (SIGAP) ⁷⁸	CONAP	An electronic platform with information on the country's protected areas, such as master plans, management categories, and other aspects.
Clearing House Mechanism (CHM) ⁷⁹	CONAP	Mechanism for exchange of information on biological diversity.
Center for Monitoring and Evaluation of Petén (CEMEC)	CONAP	Specific monitoring and evaluation center for Petén.
Specific web site of the Directorate for Geographical and Strategic Information and Risk Management (DIGEGR) ⁸⁰	MAGA	A web site for the exchange of basic cartographic information and digital topics, as well as documents generated by the Geographical Information Laboratory of the MAGA.
National Climate Change Information System (SNICC) ⁸¹	MARN	A monitoring system created under Article 9 of the Climate Change Framework Agreement. It is expected that for REDD+ matters it will involve other information systems of the GCI.

Table No. 13 Monitoring systems of the institutions of the GCI

a. Integration of subcomponents 4a and 4b of the preparatory phase of REDD+ in Guatemala: Through the multisector coordination mechanisms (GCI, GIMBUT, CNMSREDD+, GIRED+), and others), Guatemala decided to integrate the two monitoring and information systems called for in component 4 (in accordance with the preparation guide of the FCPF⁸²), i.e., subcomponent 4a. "National forest monitoring system and information on safeguards", and subcomponent 4b. "Information systems for multiple benefits, other impacts, management, and safeguards."

Both systems have been combined in a single system to facilitate the interrelationship of the four components of the National REDD+ Strategy, prevent high costs for design and maintenance, improve and facilitate management and coordination of systems among the institutions of the GCI, and to facilitate access to and dissemination of the information to multiple interested parties. Guatemala has decided to call this integrated system "*The System for Monitoring of and Information on GHG emissions, multiple benefits, other impacts, management, and safeguards (hereafter National MRV System)*".

A consultant firm is now being hired to support the design of this National MRV System, using as a base the abovementioned existing institutional platforms. The contracting process was published in Development Business.

⁷⁷ SEGEFOR of INAB: <http://segefor.inab.gob.gt/>

⁷⁸ SIGAP of CONAP: <http://www.conap.gob.gt/index.php/sigap.html>

⁷⁹ Clearing House Mechanism (CHM) of CONAP: <http://www.chmguatemala.gob.gt/>

⁸⁰ Web page of the Directorate for Geographical and Strategic Information and Risk Management (DIGEGR) <http://web.maga.gob.gt/sigmaga/>

⁸¹ National Climate Change Information System (SNICC, called UIACC) <http://www.sia.marn.gob.gt/About.aspx>

⁸² Page 21 "Guidance notes"

This National MRV System will deal with questions related to GHG emissions, multiple benefits, other impacts, management, and REDD+ safeguards, and will be designed in coordination with the GCI, GIMBUT, and other stakeholders, to ensure that the institutions approve and accept it. The National MRV System will be the responsibility of the GCI; below is a description of preliminary identification of the possible roles and institutional responsibilities for its implementation.

Progress Indicator 29: Documentation of the monitoring approach

During the design of the National MRV System there will be analytical justification of the selection of the methodology and its improvement over time, through the combination of systems of tele-observation and inventories, resolution, coverage, and fine-tuning of the systems, among others. Insofar as possible, potential sources of uncertainty will be identified.

Progress Indicator 30: Demonstration of the early execution of the system

This system is expected to monitor the activities that have been assigned priority in the National REDD+ Strategy, to identify and evaluate displacements of emissions and permit easy comparison of the changes in area and carbon content of the forests and GHG emissions, based on estimates of the baselines of the five REDD+ regions.

For this system, the interested parties will be asked if they would be willing to participate in data gathering at the local level and possible verification of results. Existing community monitoring experiences could be tied in with the National MRV System, ensuring a transparent method for publicly sharing data on forests, emissions, and non-carbon variables. .

Progress Indicator 31: Institutional mechanisms and capacities

a. Institutional responsibilities:

The GIMBUT and CNMSREDD+, with the support of the University of the Valley in the USAID/CNCG project, have prepared a preliminary proposal for the governance structure of the National MRV System.⁸³ The proposal reflects agreement on the monitoring and information responsibilities of the GCI institutions in accordance with their specialization and thematic competence.

The proposal for governance at the policy, technical, and local levels is divided into three parts: (i) Institutional (relations between institutions and participation of interested parties), (ii) Operational-technical (operational responsibilities based on their specialization and thematic competence), and (iii) Financial (needs and requirements for equipment, human resources, software, and hardware, among others).

At the policy level the Board of Directors of the GIMBUT and the GCI will be responsible for directing the activities and decision making for the management of the National MRV System. At the technical level, the GIMBUT and GCI will be responsible for generating information, documenting technical processes, generating methodologies and research, processing of images, field verifications, and collection of forest and carbon inventories.

At the level of participation of interested parties, there will be involvement of support organizations such as: local communities, indigenous peoples, NGOs, and others, that will support the local forest monitoring process through: financial and logistical support, field verifications, collecting forest inventories and carbon data, and other ways. There are already various community forest monitoring experiences for which a relationship with the National MRV System is being explored. For example, a pilot activity directed

⁸³ Proposal of the Governance Scheme of the National MRV System under construction.

by the Copan Chortí Commonwealth in the region of the country's dry corridor already has its own system for monitoring and evaluation of multiple non-carbon variables for which a connection with the National MRV System is being studied.

In a coordinated manner the GIMBUT has decided that by virtue of their leadership and institutional mandate INAB, CONAP, and MAGA will be in charge of generation and monitoring of information, while the MARN will collect and systematize it to generate the respective reports. (Table 15)

Institution of the GCI	Institutional roles and responsibilities by thematic competence	Institutional coverage
INAB	<ul style="list-style-type: none"> ▪ Maps of forest coverage at the national level, except for the Northern Lowlands region (TBN) and Sarstún-Motagua (SM). ▪ National Forest Inventory. ▪ Estimates of carbon content for measurement of degradation at the national level from use of firewood and licit and illicit selective cutting of firewood. INAB must coordinate with CONAP to support estimates in the carbon density map. ▪ Estimate of removals for increase in carbon stocks at the national level through forest management and reforestation (management of natural forest, plantations, SAF, forest incentives) and natural regeneration. 	Nine regional offices and 33 subregional offices that cover the entire national territory.
CONAP	<ul style="list-style-type: none"> ▪ Map of carbon densities at the national level for the three REDD+ modalities, based on stratification of forest coverage in areas with similar carbon content. ▪ Estimates of carbon content for the modality of deforestation related to changes in land use and loss of forest coverage. ▪ Estimates of carbon content for the modality of degradation at the national level from fire, for which it will generate data on fire scars and information by emission factors. ▪ Map of Forest Coverage for the Northern Lowlands Region and Sarstún-Motagua. CONAP will transmit the information to INAB to complete the mosaic at the national level. 	Regional offices that it has in the Central Altiplano, Western Altiplano, Las Verapaces, Southern Coast, Northeast, West, Northwest, Petén, and Southeast; also in the Monitoring and Evaluation Center (CEMEC) located in Petén.
MAGA	<ul style="list-style-type: none"> ▪ Maps of Land Use and Post-deforestation Uses, taking into consideration carbon data on crops and agroforestry systems, which will be input for the construction of emission factors. 	It will be supported in departmental offices at the national level and in the National Rural Extension System (SNER), which has offices in all the country's municipalities.
MARN	<ul style="list-style-type: none"> ▪ INAB, CONAP, and MAGA will integrate all the information on REDD+ activities in their area of responsibility in accordance with their thematic competence. ▪ Assign the more technical activities to MARN. Speak about this with Kenset. 	It will rely on the Department of Science and Metrics and the Department of Mitigation of the

Institution of the GCI	Institutional roles and responsibilities by thematic competence	Institutional coverage
	<ul style="list-style-type: none"> ▪ All information already digested will be transferred to MARN to integrate and systematize it in a report so be submitted to the UNFCCC. <p>In addition, MARN will:</p> <ul style="list-style-type: none"> ▪ Standardize and ensure consistency in the data presented in the GHG inventories, the emissions baselines for the USCUS sector, the national communications, and the Registry of Carbon Market Activities. ▪ As the chief organ for the climate change law, it must ensure compliance with Articles 19, 20, and 22 of the Climate Change Framework Law. ▪ MARN must have the technical capacities to manage the data from each of the specialized institutions in the monitoring activities. 	Climate Change Unit, as well as the Unit for Environmental Information and Climate Change.
GIMBUT	Advisor: It will be responsible for discussing, reviewing, and getting consensus on the results generated by each of the GCI institutions for the monitoring activities in accordance with what was presented previously, and for the reports prior to their submission.	

Table No. 14 Institutional roles and responsibilities for monitoring and information

In the framework of the previously mentioned governance proposal, the GIMBUT has defined in a preliminary manner the monitoring activities in accordance with the REDD+ measures and sources of emissions or removal, the frequency of generation and reporting of information (Annex VIII).

b. Access to information:

Through the GCI information systems mentioned above (SIFGUA, CEMEC, SNICC, etc.), the information related to National Forest Incentive Programs and activities in protected areas, among others, is publicly shared, in accordance with institutional specialty area.

These systems are the current access to information arrangements that facilitate the public sharing of information, in a transparent manner, related to the activities proposed in the context of the economic incentives of the Forestry Act and SIGAP. The MRV National System will be designed on the basis of these institutional systems so that information on forests and emissions, multiple benefits, other impacts, governance, and safeguards can be published in a transparent manner.

In the context of the multisectoral coordination mechanisms (GCI, GIMBUT, and CNMSREDD), it is expected that, in addition to addressing in a transparent manner the information-sharing criteria required by the FCPF and Carbon Fund, the MRV National System will, at a minimum, follow the guidelines listed below:

- Provide transparent and consistent information, accessible to all interested parties, and update this information on a regular basis.
- Be transparent and flexible in order to facilitate improvements over time.
- Describe the role of the interested parties in the MRV National System through community monitoring and information systems or the verification of results.

c. Identification of technical and financial needs

The proposed governance scheme mentioned above identifies, on a preliminary basis, the technical and financial needs for the monitoring of the quantitative and qualitative variables related to GHG monitoring

and reporting, multiple benefits, other impacts, governance, and safeguards.⁸⁴ Development of this exercise is ongoing, both with respect to GHG emissions and non-carbon variables.

Progress Indicator 32: Identification of relevant non-carbon aspects and social and environmental issues

At the moment, monitoring is being carried out and information generated on non-carbon socioeconomic aspects such as the type and number of beneficiaries (men and women), the number of direct and indirect jobs created, the increase in forest cover (hectares), infrastructure for monitoring and surveillance, and access and infrastructure for health and education, among others, in the context of Forest Incentive Programs and activities in protected areas involving GCI institutions, through the previously mentioned institutional information monitoring systems.⁸⁵

It is expected that these socioeconomic aspects subject to monitoring will serve as the basis for monitoring non-carbon variables linked to REDD+ activities. The results of the preparatory phase and the phase following implementation, such as the SESA, ESMF, and GRM results, mechanisms for the distribution of benefits, safeguards, and the institutional framework, among others, represent an estimate of the pertinent non-carbon aspects and the social and environmental issues to be included in the MRV National System.

In addition, during the national consultation and participation process, the qualitative and quantitative variables linked to improved subsistence means for the rural population and actors that rely directly on the forests, biodiversity conservation, the provision of ecosystem services, key management factors directly related to REDD+ execution, and other impacts will be identified and prioritized.

Progress Indicator 33: Monitoring, reporting, and information sharing

Although Guatemala has not yet designed its MRV National System, in the context of the GCI, GIMBUT, and CNMREDD+, the terms of reference for this system have been drafted and a consulting firm is being hired to assist the Government with this process.

It is expected that the MRV National System will make it possible to provide information periodically on qualitative and quantitative variables related to GHG emissions, multiple benefits, other impacts, governance, and safeguards applicable to REDD+ measures in a transparent manner and linked to the Environmental and Social Management Framework (ESMF).

Information will also be shared through multisectoral coordination arrangements and forest governance platforms and during the consultation and participation process. This process will, inter alia, facilitate strengthening of the role of the interested parties through community monitoring, by improving community organization and forest governance. (Annex IX)

Progress indicator 34: Institutional arrangements and capacities

As mentioned earlier, the roles and responsibilities for generating and monitoring information on REDD+ measures are being outlined in the proposed governance scheme for the MRV National System based on specialty and thematic expertise, while conducting the tasks related to GHG emissions, multiple benefits, other impacts, governance, and safeguards.

⁸⁴ Proposed governance scheme for the MRV National System is under design.

⁸⁵ INAB (Annex VI) Statistical Bulletin and MBR Governance Monitoring Report
http://www.conap.gob.gt/images/doc/Informe_Gobernabilidad%20RBM_20150406.pdf

Moreover, this proposal identifies the needs associated with physical and financial resources, computer programs, physical space, and software and hardware that will be used for monitoring and reporting, in accordance with the prioritization of non-carbon variables identified.

Next steps

Through the financing of FCPF preparation (US\$3.8 million), a consulting firm is being hired to assist with the design of the MRV National System, using as a basis the current information systems of GCI institutions, as they are responsible for REDD+ topics in the country.

In the context of the Country Approach to Safeguards and multisectoral coordination arrangements, the identification of compliance indicators for multiple benefits, other impacts, governance, and safeguards will continue.

Other significant work

As mentioned earlier, the proposed governance scheme for the MRV National System is being prepared in conjunction with the GCI, GIMBUT, and the CNMREDD+, with assistance from the *Universidad del Valle* of Guatemala, under the USAID/CNCG project. It is hoped that this proposal will be finalized during the second half of 2016 by outlining institutional responsibilities and technical and financial needs for monitoring and reporting on GHG emissions, multiple benefits, other impacts, governance, and safeguards.

Request for additional funds

Additional FCPF financing is required to strengthen the institutional, technical, financial, physical, and equipment-related institutional capacities to operate the MRV National System. Currently, needs associated with these institutional arrangements and capacities for monitoring and information are being identified in the framework for the proposed governance scheme.

With these additional funds, plans have also been made to replicate this successful experience in the other REDD+ regions, in addition to strengthening the current capacities of the *Tierras Bajas del Norte* (TBN) CEMEC.

In addition, the INAB is conducting monitoring activities in the context of implementation of forestry incentives. With recent approval of the PROBOSQUE Act, there are plans to expand that coverage. This monitoring process includes the participation of community groups and local governments. The monitoring of GHG emissions and non-carbon variables, considered under the REDD+ national strategy, is being integrated into these platforms and additional resources will, in part, be channeled toward the strengthening of these platforms.

It is important to stress that these additional funds will cover monitoring and information on GHG emissions, multiple benefits, other impacts, governance, and safeguards, as well as the REDD+ register. The cost of this is estimated at roughly US\$1 million.⁸⁶

1. An analysis of progress achieved in those activities funded by the FCPF Readiness Preparation Grant

⁸⁶ Preliminary proposal of technical and financial needs for the MRV system under design.

The Country outlines progress made as well as identifies any delays in the implementation of the activities financed by the Grant and proposed actions to address the causes of the delays.

R-PP Components, Sub-components, and Progress Indicators		Level of Progress
Component 1: Readiness Organization and Consultation		
Sub-component 1a: National REDD+ Management Arrangements		
1. Accountability and transparency		Yellow
2. Operating mandate and budget		Green
3. Multi-sector coordination mechanisms and cross-sector collaboration		Green
4. Technical supervision capacity		Green
5. Funds management capacity		Green
6. Information sharing mechanism		Yellow
Sub-component 1b: Consultation, Participation, and Outreach		
7. Participation and engagement of key stakeholders		Green
8. Consultation process		Yellow
9. Information sharing and accessibility		Green
10. Implementation and public disclosure of consultation outcomes		Yellow
Component 2: REDD+ Strategy Preparation		
Sub-component 2a: Assessment of Land Use, Land Use Change Drivers, Forest Law, Policy and Governance		
11. Assessment and analysis		Yellow
12. Prioritization of direct and indirect drivers/barriers to enhancement of forest carbon stocks		Yellow
13. Links between drivers/barriers and REDD+ activities		Yellow
14. Action plans to address natural resource rights, land tenure, and governance		Green
15. Implications for forest law and policy		Yellow
Sub-component 2b: REDD+ Strategy Options		
16. Selection and prioritization of REDD+ strategy options		Green
17. Feasibility assessment		Green
18. Implications for strategy options on existing sectoral policies		Yellow
Sub-component 2c: Implementation Framework		
19. Adoption and implementation of legislation/regulations		Green
20. Guidelines for implementation		Green
21. Benefit sharing mechanism		Yellow
22. National REDD+ registry and REDD+ monitoring system activities		Yellow
Sub-component 2d: Social and Environmental Impacts		
23. Analysis of social and environmental safeguard issues		Yellow
24. REDD+ strategy design with regard to impacts		Yellow
25. Environmental and Social Management Framework		Yellow
Component 3: REL/RL		
26. Demonstration of methodology		Green
27. Use of historical data, adjusted for national circumstances		Green
28. Technical feasibility of the methodological approach, and consistency with UNFCCC and IPCC guidance and guidelines		Yellow
Component 4: Monitoring Systems for Forests and Safeguards		
Sub-component 4a: National Forest Monitoring System		
29. Documentation of monitoring approach		Orange
30. Demonstration of early implementation		Orange
31. Institutional arrangements and capacities		Yellow
Sub-component 4b: Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards		
32. Identification of relevant non-carbon aspects, and social and environmental issues		Orange
33. Monitoring, reporting, and information sharing		Red
34. Institutional arrangements and capacities		Yellow

2. A review of the REDD Country Participant's compliance with the Common Approach

The Country reports on actions taken to comply with the various aspects of the Common Approach:

- *the Delivery Partner's environmental and social safeguards, including the SESA/ESMF*
- *stakeholder engagement*
- *disclosure of information, and*
- *grievance and accountability.*

With regard to the FCPF Common Approach to Environmental and Social Safeguards, the IADB is working with the FMT to prepare the terms of reference of the GRM, SESA, ESMA, and others, so as to guarantee consistency in implementation under the terms set forth in the Common Approach. The specific areas involving potential gaps between IADB and World Bank policies are limited and specific and none has arisen in the actual operating context of FCPF activities in Guatemala handled by the IADB.

3. An updated financing plan for the overall Readiness preparation activities, including funds pledged by, and a brief description of activities supported by, other development partners

The Country provides an updated financial plan for the overall Readiness preparation activities, including reporting on the uses and sources of funds allocated for the R-PP implementation (both by the FCPF and other development partners), by R-PP component, using the table below (the model contains a hypothetical numeric example). This table could also be used if the country is requesting additional funding from the FCPF (see right-most column).

Table 15. Financial Resources Used

Funds Used (US\$)							
R-PP Component	Total required (A) ⁸⁷	Total Funds per component (B) ⁸⁸	Allocated Funds ⁸⁹		Funds Available (= B - C) ⁹⁰	Financing gap (= A - B) ⁹¹	Request for FCPF funds ⁹² (if any)
			Committed (C)	Disbursed			
Component 1: Organization and consultation	1,247,250.00	747,250.00	76,630.49	35,353.89	670,619.52	500,000.00	500,000.00
<i>Subcomponent 1a: National REDD+ management arrangements</i>	347,250.00	225,000.00	0.00	0.00	225,000.00	122,250.00	122,250.00
<i>Subcomponent 1b: Consultation, participation, and outreach</i>	900,000.00	522,250.00	76,630.49	35,353.89	445,619.52	377,750.00	377,750.00
Component 2: REDD+ strategy preparation	4,688,250.00	1,188,250.00	380,716.67	330,611.95	807,533.33	3,500,000.00	3,500,000.00
<i>Subcomponent 2a: Assessment of land use, land-use change drivers, forest law, policy, and governance</i>	1,200,000.00	171,000.00	15,000.00	0	156,000.00	1,029,000.00	1,029,000.00
<i>Subcomponent 2b: REDD+ strategy options</i>	1,675,000.00	464,250.00	90,309.95	138,656.92	373,940.05	1,210,750.00	1,210,750.00
<i>Subcomponent 2c: Implementation framework</i>	947,250.00	300,000.00	157,906.72	109,455.03	142,093.28	647,250.00	647,250.00

⁸⁷ Total needed is the amount of resources necessary to complete a given component. All numbers in this table should be the latest numbers, which may not necessarily match the numbers in the original R-PP that was presented to the PC.

⁸⁸ Funds pledged encompass the amount of funds promised by different donors and / or the national government to fund a specific component and available to the country.

⁸⁹ Funds used refer to the amount of funds committed in signed contracts, and the portion of the funds committed that has already been disbursed.

⁹⁰ Available funds equal pledges minus commitments.

⁹¹ Financing gap equals total needed minus pledged funds.

⁹² Request for additional funding from the FCPF (up to US\$ 5 million, subject to conditions set by Resolution PC/10/2011/1.rev being met).

Subcomponent 2d: Social and environmental impacts	866,000.00	253,000.00	117,500.00	82,500.00	135,500.00	613,000.00	613,000.00
Component 3: Reference emission level/reference levels	1,099,250.00	1,099,250.00	369,125.33	392,359.05	730,124.68	0.00	0.00
Component 4: Monitoring systems for forests and safeguards	1,765,250.00	765,250.00	322,461.12	107,522.66	442,788.89	1,000,000.00	1,000,000.00
Subcomponent 4a: National forest monitoring system	875,000.00	300,000.00	122,461.12	107,522.66	177,538.89	575,000.00	575,000.00
Subcomponent 4b: Information system for multiple benefits, other impacts, governance, and safeguards	890,250.00	465,250.00	200,000.00	0.00	265,250.00	425,000.00	425,000.00
TOTAL (US\$)	8,800,000	3,800,000	1,148,934	865,848	2,651,066	5,000,000	5,000,000

Other sources of financing already executed (US\$)				
CNCG	0	0	2,195,000.00	0
Regional Climate Change Program	0	25,000.00	445,852.52	0
International Union for Conservation of Nature	0	0	235,564.36*	0
United Nations Food and Agriculture Organization (Guatemala)	0	0	93,500.00	0
United Nations Development Program (Guatemala)	0	0	40,221.00	0
Forest Investment Program (FIP): *only financing pending execution	0	28,000,000	0	0
TOTAL (US\$)	0	28,025,000	3,010,137.88	0

4. Grant Reporting and Monitoring report (GRM)⁹³ (or equivalent Delivery Partner report, as per Delivery Partner's standard operational policies and procedures)

The Delivery Partner prepares a mid-term GRM or equivalent grant monitoring report, which provides a qualitative report on the progress and results of FCPF-financed activities from the Delivery Partner's perspective, and the Delivery Partner's assessment of overall Readiness progress, and should be annexed to the mid-term progress report.

5. Summary statement of request for additional funding to the FCPF

If the Country is requesting additional funding, it presents a summary statement of total additional funding requested from the FCPF to justify the numbers presented in the table on uses and sources of funds, including an explanation of the proposed activities to be financed by the additional funding.

The following table provides a summary of the financing needed to supplement national REDD+ Strategy preparation efforts. As indicated above, an additional US\$500,000 is required for Component 1 in order to be able to continue the process of outreach and dissemination to a host of interested parties. For Component 2, an additional US\$3.5 million is required to support the initial phase of operationalization of the PROBOSQUE Act. For Component 4, an additional US\$1 million is required to support capacity building of GCI institutions in order to monitor carbon and non-carbon variables, and to strengthen community monitoring and its linkage with the national framework.

⁹³ Grant Reporting and Monitoring is the format and system that is used for reporting on FCPF activities where the World Bank is the Delivery Partner.

No	Financing Requirement	Approximate amount (US\$)
1	Component 1: Organization and consultation	500,000
2	Component 2: REDD+ strategy	3,500,000
3	Component 4: MRV National System	1,000,000
TOTAL (US\$)		5 million

Table No. 15 Summary of request for additional financing

ANEXOS

Anexo No. I Ley PROBOSQUE

Ley PROBOSQUE <http://www.marn.gob.gt/Multimedios/2604.pdf>

Anexo No. II Términos de referencia Mecanismo de Atención a Reclamos (MAR), Evaluación Estratégica Social y Ambiental (SESA) y Marco de Gestión Social y Ambiental (ESMF)

GUATEMALA

PREPARACIÓN DE: EVALUACIÓN SOCIAL Y AMBIENTAL ESTRATÉGICA (SESA), MARCO DE GESTIÓN SOCIAL Y AMBIENTAL (ESMF) Y EL MECANISMO DE ATENCIÓN A RECLAMOS (MAR) PARA LA ESTRATEGIA NACIONAL REDD+ EN GUATEMALA

GU-T1194

TERMINOS DE REFERENCIA

1 ANTECEDENTES

- 1.1 En el año 2008 se creó el Fondo Colaborativo para el Carbono Forestal (FCPF, por sus siglas en inglés –*Forest Carbon Partnership Facility*) para financiar actividades preparatorias, como una alternativa de financiamiento para que los países desarrollen condiciones mínimas para reducir y demostrar la disminución de gases de efecto invernadero (GEI) en este sector, y con ello poder acceder a incentivos económicos. Para poder acceder al fondo preparatorio FCPF, los países deben presentar propuestas, las cuales deben identificar los principales factores de la deforestación en su contexto nacional y describir las actividades propuestas para formular políticas y sistemas necesarios a fin de abordarlos, adoptar las estrategias nacionales para la Reducción de Emisiones por Deforestación Evitada y Degrado de Bosques (REDD+), determinar los niveles de emisión de referencia y diseñar sistemas de seguimiento, entre otras acciones. Las actividades de preparación deben incluir un alto grado de consulta con la sociedad civil y las organizaciones de pueblos indígenas.
- 1.2 Guatemala no cuenta con un sistema institucionalizado de consultas, por lo que el desarrollo de la estrategia implica un riesgo muy alto de generación de conflictos sociales⁹⁴. El acuerdo entre los países miembros de la Convención Marco de las Naciones Unidas para el Cambio Climático –UNFCCC por sus siglas en inglés, indica que las estrategias REDD+, deben ser consultadas y consensuadas con los grupos vulnerables que potencialmente serían impactados de forma negativa por la implementación de la estrategia.
- 1.3 Dada la estrecha relación entre comunidades rurales, comunidades indígenas y empresas agroindustriales con el uso de recursos del bosque o su conversión a otros usos, cualquier actividad que se quiera implementar para reducir la deforestación y/o la degradación, necesariamente deberá incorporar las opiniones y demandas de estos grupos. Para implementar la agenda REDD+ será necesario que los diferentes grupos encuentren puntos de consenso, lo cual solamente será posible a través de actividades de capacitación, diálogo y análisis. Cada municipio del país cuenta con organizaciones campesinas y del sector privado. Del total de 333 municipios que existen en Guatemala,

⁹⁴ La Secretaría de Asuntos Agrarios, reporta más de 1,336 conflictos abiertos en 2012, con una extensión en disputa de 477,992 Ha, e involucrando a 1,100,085 personas, resultado de falta de consensos entre los diferentes usuarios de los recursos naturales.

66 concentran tasas de deforestación por encima del promedio nacional para el quinquenio 2006-2010. Estos dos grupos de municipios representan más de 800,000 unidades productivas menores a 7 hectáreas. Es muy importante trabajar con todos estos grupos para que REDD+ tenga el apoyo necesario durante su implementación.

2 OBJETIVOS

- 2.1 Realizar la Evaluación Social y Ambiental Estratégica (SESA) y preparar el Marco de Gestión Ambiental y Social (ESMF) para las opciones de la Estrategia REDD+ en Guatemala, de acuerdo al *Common Approach* del FCPF.
- 3.1 Diseñar el Mecanismo de Atención a Reclamos (MAR), que establezca de forma clara y efectiva, la forma de manejar quejas o conflictos que podrían generarse por la preparación e implementación de la Estrategia Nacional REDD+.

3 ACTIVIDADES

- 3.1 Elaboración y presentación del plan de trabajo de la consultoría, el cual debe de ser consensuado y validado a través de un taller a nivel nacional o sub-nacional, con los múltiples actores involucrados, el Grupo de Coordinación Interinstitucional –GCI- (nivel técnico) y aprobado por la Unidad Ejecutora del Proyecto.
- 3.2 Revisar y analizar los resultados de diferentes consultorías realizadas en Guatemala relacionadas al marco institucional y legal de salvaguardas para REDD+ y otra información existente relacionada al marco de salvaguardas establecido en el *Common Approach* del FCPF y salvaguardas para REDD+ establecidas por la CMNUCC.
- 3.3 Revisión y análisis de las opciones de estrategia para REDD+ propuestas dentro de la R-PP y el ER-PIN.
 - i. Ubicarlas espacialmente dentro del territorio.
 - ii. Identificar y describir la institucionalidad vinculada a esas acciones: analizar las debilidades y fortalezas institucionales, opciones de participación de comunidades rurales e indígenas en los mecanismos institucionales existentes, gestión de conflictos, desafíos a superar para la institucionalidad en el ámbito forestación en el ámbito de gestión del recurso silvícola o de corrupción, entre otros.
 - iii. Identificar qué entidades institucionales de Gobierno competentes serán responsables de la implementación y supervisión de SESA y ESMF respectivamente, y consensuar con ellos el proceso de supervisión.

PARA SESA y ESMF:

- 3.4 Analizar la potencial vinculación del SESA, bajo el *Common Approach* y procedimientos y/o herramientas análogas del país, por ejemplo: el proceso local de Evaluación Ambiental Estratégica de la normativa Nacional.

- 3.5 Identificar las deficiencias legales/regulatorias y de aplicación de políticas, institucionales y de capacidad existentes para mitigar las prioridades definidas previamente, y realizar recomendaciones viables para subsanar las mismas.
- 3.6 Identificar las políticas de salvaguardas a activar del *Common Approach* e indicar cuáles serán los instrumentos asociados respectivos que serán incorporados en el ESMF. Entre ellas incluir las salvaguardas más relevantes y sus objetivos:
- **Evaluación ambiental:** para ayudar a asegurar la solidez y sostenibilidad de la inversión de los proyectos/estrategias ambientales y sociales y de apoyo a la integración de los aspectos ambientales y sociales de proyectos/estrategias en el proceso de toma de decisiones.
 - **Hábitats Naturales:** Promover el desarrollo sostenible del medio ambiente mediante el apoyo a la protección, conservación, mantenimiento y rehabilitación de los hábitats naturales y sus funciones.
 - **Bosques:** Para aprovechar todo el potencial de los bosques para reducir la pobreza de manera sostenible, integrar los bosques de manera efectiva en el desarrollo económico sostenible y proteger los servicios locales y globales vitales ambientales y los valores de los bosques.
 - **Reasentamiento Involuntario:** Para evitar o minimizar el reasentamiento involuntario y, cuando esto no sea posible, para ayudar a las personas desplazadas en la mejora o al menos la restauración de sus medios de vida y estándares de vida en términos reales respecto a los niveles previos al desplazamiento o a niveles vigentes antes del comienzo de los proyectos/implementación de la estrategia, el que sea mayor.
 - **Pueblos indígenas:** Diseñar e implementar proyectos/estrategias con la participación plena y efectiva de los Pueblos Indígenas de una manera que promueva el respeto hacia la dignidad de los Pueblos Indígenas, sus derechos humanos, sus conocimientos tradicionales y la singularidad cultural y de la diversidad y de manera que: i) reciban culturalmente beneficios sociales y económicos compatibles, y ii) no sufran efectos adversos durante el proceso de desarrollo.
 - **Recursos físicos y Culturales:** Para ayudar en la preservación de los recursos culturales físicos y evitando su destrucción o daños. Esto incluye los recursos de importancia cultural arqueológico, paleontológico, histórico, arquitectónico, religioso (incluyendo cementerios y lugares de enterramiento), estético u otro.
- 3.7 Identificar y evaluar las plataformas existentes para la identificación y mitigación de impactos ambientales y sociales de las instituciones vinculadas a REDD+. En caso de existir, utilizarlas y proponer un plan de acción para potencializarlas y hacer una adaptación para REDD+.
- 3.8 Identificar los mecanismos específicos de divulgación, comunicación y consulta del SESA y ESMF, revisando la composición intersectorial a nivel nacional, de los grupos de trabajo para REDD+.
- 3.9 Realizar un mapeo de actores para el SESA:

- i. Identificación de las partes interesadas de las opciones de la Estrategia REDD+ en Guatemala.
 - ii. Describir el rol de los actores para la implementación de las acciones de Estrategia REDD+ en Guatemala
 - iii. Identificar los intereses y desafíos que enfrentan los actores en el contexto de REDD+.
 - iv. **Análisis de los aspectos relacionados a la situación de derechos y gestión de tierras, particularmente para los actores rurales campesino e indígena: acceso a la titularidad de la tierra de hombres y mujeres, dificultades para mantener y gestionar las concesiones comunitarias, entre otros.**
 - v. **Análisis de los derechos consuetudinarios y formales a la tierra y recursos, especialmente de las comunidades rurales y pueblos indígenas.**
 - vi. Identificar aspectos relacionados a los matices entre los grandes grupos de actores: diferentes tipos de productos en el sector forestal y silvícola, distintas prioridades de los diferentes pueblos indígenas según su contexto de titularidad y gestión de la tierra, entre otros.
 - vii. Identificar los desafíos que son importantes en relación a las salvaguardas del BID aplicables.
 - viii. Identificar plataformas de consulta existentes de las actividades REDD+ (partes interesadas como: Red de Beneficiarios del PINPEP, Grupo de Implementadores REDD+, Alianza de Organizaciones Forestales, Concesionarios Forestales, Mesas de Coadministración Forestal, Mesas de Concertación Forestal, Mesa Nacional de Cambio Climático, Mesa Indígena de Cambio Climático, entre otros), y los grupos que acompañan el proceso REDD+ en el país como el GBByCC, CNSAS, GIMBOT, entre otros.
 - ix. Identificar vacíos dentro de las plataformas de participación y consulta que requieran ser fortalecidos para poder aplicadas para REDD+.
 - x. Identificar actores enlace clave para desarrollar el proceso y consulta (líderes y lideresas).
- 3.10 Identificar, describir y analizar los impactos sociales, ambientales positivos y negativos para cada opción de la Estrategia Nacional REDD+.
- 3.11 Realizar un proceso de consulta, validación y priorización de los impactos sociales y ambientales, positivos y negativos para cada opción de la Estrategia Nacional REDD+, con las partes interesadas en un taller nacional (o talleres a nivel sub-nacional) de consulta y validación:
- Este proceso debe ser vinculado al proceso Nacional de Consulta y Participación, para el cual se están realizando importantes esfuerzos de coordinación para garantizar que ambos procesos avancen de forma conjunta. Además, debe ir a nivel nacional asegurando se incluyan a las comunidades de base con énfasis en las

zonas incluidas en el programa de reducción de emisiones descrito en el ER-PIN de Guatemala.

- En los procesos de consulta y participación se deben tener consideraciones especiales respecto a las comunidades rurales, pueblos indígenas y grupos vulnerables, con el fin de incorporarlas apropiadamente con una participación continua a lo largo de la consulta para asegurar el proceso sea efectivo.
 - Como parte del fortalecimiento de capacidades para cumplir con los objetivos de mitigación de impactos sociales, económicos y ambientales, **realizar un proceso de capacitación para los distintos actores** (a nivel institucional, no gubernamental, comunidades rurales, pueblos indígenas, entre otros) **sobre qué temas versaría y de qué forma acompañaría al SESA, así como quién o quiénes tendrán un rol de responsabilidad, entre otros.**
- 3.12 Evaluar los riesgos sociales y ambientales ya identificados, consensuados y priorizados en el taller nacional SESA, de acuerdo a los requerimientos del *R-Package*, establecidos por el FCPF.
- 3.13 Marco de Gestión Ambiental y Social (ESMF): como resultado del SESA, este deberá establecer los principios, directrices y procedimientos para evaluar y priorizar los riesgos ambientales y sociales, y propondrá medidas para reducir, mitigar o contrarrestar los impactos ambientales y sociales adversos, y para mejorar los impactos positivos y las oportunidades de proyectos, actividades, políticas o reglamentaciones asociados con la futura implementación de la Estrategia Nacional REDD+. Además, su diseño deberá integrarse al proceso de consultas e identificará cualquier consulta adicional necesaria en el campo de trabajo:
- Identificar y priorizar los riesgos y oportunidades más importantes encontrados de manera consensuada con las partes interesadas en el SESA.
 - Describir las medidas de mitigación de los impactos negativos de las opciones de la Estrategia Nacional REDD+, en concordancia a los mecanismos de gestión de riesgos ya establecidos dentro de las opciones de la Estrategia Nacional.
 - Describir cómo se evaluarán y utilizarán las plataformas de consulta y participación existentes y potenciales de las opciones de la Estrategia Nacional REDD+ para la gestión de riesgos; y en caso de que estas plataformas no funcionen, proponer opciones de fortalecimiento de las mismas u otras plataformas que se pueden usar.
 - Definir y consensuar con las partes interesadas cómo potencializar los impactos positivos identificados en las opciones de la Estrategia Nacional REDD+.
 - Validar las propuestas de mitigación y potenciación con las partes interesadas de las actividades REDD+ en el marco de la Estrategia Nacional.
 - **Además, el documento del ESMF deberá incluir secciones o capítulos independientes y según corresponda, sobre los siguientes elementos: i) Evaluación y gestión de temas ambientales y sociales, ii) Pueblos Indígenas, iii) Reasentamiento involuntario y/o restricción o pérdida de acceso a los**

recursos naturales, iv) Involucramiento de los actores, y v) Resolución de disputas.

- 3.14 Preparar un resumen de las actividades y resultados del SESA y ESMF para que sean incorporados en el *R-Package*: esto con el fin de presentar avances sustanciales en la elaboración e implementación de estas herramientas.
- 3.15 Preparar el informe de resultados de la Evaluación Social y Ambiental Estratégica (SESA) y el Marco de Gestión Ambiental y Social (ESMF), y presentarlo ante los actores clave, así como a las instituciones participantes en el proceso, en un taller a nivel nacional o sub-nacional, incluyendo las observaciones, comentarios y/o modificaciones a realizar en dicha plataforma de evaluación.
- 3.16 Presentación del informe final del SESA y ESMF al GCI para su validación.
- 3.17 Documentar cada una de las reuniones llevadas a cabo con las partes interesadas, los actores clave y grupos vulnerables (actores directos e indirectos, GCI, Comité Nacional de Salvaguardias -CNAS, Grupo de Bosques Biodiversidad y Cambio Climático – GBByCC-, GIMBOT, entre otros).
- 3.18 Todo el proceso debe ser realizado en coordinación con el GCI y las plataformas de apoyo como el CNSAS y el grupo de implementadores REDD+, GIMBOT, incluyendo la Unidad Ejecutora del Proyecto, etc.

Para MAR:

- 3.19 Revisar los objetivos y principios del FCPF para MAR, identificar las políticas, procedimientos y acciones de las opciones de la Estrategia que puedan resultar contradictorios.
- 3.20 Determinar qué entidades serán responsables de la implementación y supervisión del o los mecanismos de atención a reclamos, así como las áreas a cubrir de acuerdo a los territorios priorizados para REDD+.
- 3.21 Analizar la potencial vinculación del MAR bajo el *Common Approach* y procedimientos y/o herramientas análogas del país, por ejemplo: los mecanismos de reclamos de los programas de incentivos forestales y/o proyectos piloto REDD+ existentes.
- 3.22 Analizar las plataformas de atención a reclamos existentes y/o vinculadas a las opciones de la Estrategia REDD+, identificar sus fortalezas y debilidades, y hacer un plan de acción para adaptarlas a REDD+. Priorizar el uso de las plataformas existentes para ser la base del MAR.
- 3.23 Revisar y analizar el contexto histórico y actual de las reclamaciones en el sector forestal, y caracterizar los patrones y tendencias actuales de reclamaciones. Por ejemplo: Los mecanismos de atención a reclamos del INAB y CONAP, los casos de: FONAPAZ, la SAA, COPREDEH, la SAAE el Sistema de Diálogo Nacional, y aquellos utilizados por las autoridades locales y/o Pueblos Indígenas entre otros.
- 3.24 Diagnosticar la capacidad actual de las instituciones locales y nacionales para responder y resolver conflictos potenciales debidos a la preparación e implementación de la

Estrategia Nacional REDD+, incluyendo la identificación de las actuales fortalezas y deficiencias institucionales respecto a MAR.

- 3.24.1.1 Análisis que defina la estructura, funcionamiento y gobernanza de los mecanismos de resolución o atención a reclamos existentes en el marco de las opciones de estrategia REDD+. Este debe incluir los pasos para adaptarlos al MAR incluyendo el diálogo público, los procesos de consulta con las partes interesadas, medios de retroalimentación de parte de las partes interesadas (solicitando información, clarificación, reportando problemas en cuanto a la implementación de las actividades REDD+, entre otros).
- 3.25 Desarrollar un plan de acción conjunto con las instituciones de gobierno del GCI para fortalecer la capacidad institucional existente de resolución de reclamaciones existentes para las Opciones de la Estrategia REDD+; y adaptar dichas plataformas a los principios y componentes de los MAR o GRM propuestos por el FCPF:
- 3.25.1.1 Legitimidad.
 - 3.25.1.2 Accesibilidad.
 - 3.25.1.3 Previsibilidad.
 - 3.25.1.4 Equitativo.
 - 3.25.1.5 Transparencia.
 - 3.25.1.6 Compatibilidad con los derechos de Pueblos Indígenas (normas nacionales e internacionales relevantes).
 - 3.25.1.7 Facilita el aprendizaje continuo.
 - 3.25.1.8 Basado en la participación y diálogo.
- 3.26 La adaptación de las plataformas de resolución de conflictos y/o reclamaciones existentes en el marco de las opciones de la Estrategia REDD+, deberán incluir al menos los siguientes componentes prioritarios:
- 3.26.1.1 Recepción y registro de reclamaciones.
 - 3.26.1.2 Reconocimiento y evaluación de los conflictos presentados, y la asignación de responsabilidad Institucional.
 - 3.26.1.3 Formulación de respuesta de acuerdo al enfoque.
 - 3.26.1.4 Comunicación de la respuesta propuesta al demandante y acuerdo sobre la misma.
 - 3.26.1.5 Implementación de la respuesta propuesta para resolver la reclamación.
 - 3.26.1.6 Resolución, evaluación y sistematización de resultados.
 - 3.26.1.7 Enfoque de tratamiento del conflicto existente o que pueda surgir según el tipo de actor.
 - 3.26.1.8 Verificación, investigación y acción.
 - 3.26.1.9 Monitoreo y evaluación.

- 3.27 En caso de no existir alguna plataforma existente para el mecanismo de atención de reclamos para las actividades REDD+, diseñar el MAR y su ruta de implementación, orientando su diseño a los principios de los GRM propuestos por el FCPF y deberá incluir al menos los componentes prioritarios que se mencionan en la actividad 3.24
- 3.28 Coordinar con la consultoría de SESA y ESMF los aspectos asociados al proceso de consulta y participación, y la revisión y análisis de la información recolectada por estas herramientas que permita la identificación de los grupos vulnerables así como los posibles conflictos debidos a la preparación e implementación de la Estrategia Nacional REDD+, entre otros.
 - 3.28.1.1 El proceso de consulta debe estar estrechamente vinculado con el proceso que se realice para el SESA y ESMF, con el fin de consensuar el MARN de la Estrategia Nacional REDD+ con las partes interesadas.
 - 3.28.1.2 Además, vincular los mecanismos específicos de divulgación, comunicación y consulta del SESA y ESMF, revisando la composición intersectorial a nivel nacional, de los grupos de trabajo para REDD+.
- 3.29 Sistematización de posibles reclamos, conflictos, etc., que surjan como parte de la información recolectada por el SESA, ESMF y el proceso de consulta.
- 3.30 Preparar la versión preliminar del informe de resultados del diseño del Mecanismo de Atención a Reclamos, el fortalecimiento de los Mecanismos de Atención a Reclamos existentes incluyendo una ruta de implementación que contemple los costos de implementación, y presentarlo ante el GCI y partes interesadas, incluyendo sus respectivas observaciones, comentarios y/o modificaciones a realizar para dichas plataformas.
- 3.31 Presentación del informe final del MAR al GCI y partes interesadas para su validación.
- 3.32 Documentar cada una de las reuniones llevadas a cabo con las partes interesadas, los actores clave y grupos vulnerables (actores directos e indirectos, GCI, Comité Nacional de Salvaguardas -CNAS, Grupo de Bosques Biodiversidad y Cambio Climático – GBByCC-, GMFUT, entre otros).
- 3.33 Todo el proceso debe ser realizado en coordinación con el GCI y las plataformas de apoyo como el CNSAS y el grupo de implementadores REDD+.

4 PRODUCTOS

- 4.1 Plan de trabajo aprobado por la Unidad Ejecutora.

Para el SESA y ESMF:

- 4.2 Informe del análisis de la potencial vinculación del SESA, bajo el *Common Approach* y procedimientos y/o herramientas análogas del país, por ejemplo: el proceso local de Evaluación Ambiental Estratégica de la normativa Nacional.
- 4.3 Reporte de las deficiencias legales/regulatorias y aplicación de políticas, institucionales y de capacidades existentes vinculadas a los impactos sociales y ambientales, y las recomendaciones para subsanar las mismas.

- 4.4 Documento con el reporte y análisis de la revisión de las opciones de la Estrategia REDD+ propuestas dentro de la R-PP y el ER-PIN, incluyendo su espacialización y la descripción de la institucionalidad vinculada a esas acciones.
- 4.5 Informe con la identificación de las políticas de salvaguardas a activar del Common Approach indicando cuáles serán los instrumentos asociados respectivos que serán incorporados en el ESMF.
- 4.6 Documento con la propuesta de las entidades institucionales de Gobierno responsables de la implementación y supervisión del SESA y ESMF, incluyendo arreglos institucionales para manejar y supervisar el SESA y ESMF contemplando la normativa del país relacionada con REDD+.
- 4.7 Reporte del análisis de las plataformas y/o estructuras de gobernanza existentes de las actividades REDD+, para la identificación y mitigación de impactos ambientales y sociales vinculados a REDD+; incluyendo la propuesta del plan de acción para potencializarlas y/o hacer una adaptación para REDD+.
- 4.8 Reporte de los mecanismos específicos de divulgación, comunicación y consulta del SESA y ESMF.
- 4.9 Informe con el mapeo de actores para SESA solicitado en la actividad 3.9 pero incluir por separado:
- 4.9.1.1 Documento con el Análisis de los aspectos relacionados a la situación de derechos y gestión de tierras, particularmente para los actores rurales campesino e indígena: acceso a la titularidad de la tierra de hombres y mujeres, dificultades para mantener y gestionar las concesiones comunitarias, entre otros.**
 - 4.9.1.2 Documento con el análisis de los derechos consuetudinarios y formales a la tierra y recursos, especialmente de las comunidades rurales y pueblos indígenas.**
- 4.10 Informe de la identificación, descripción, evaluación y priorización conjunta (de acuerdo a los requerimientos del *R-Package* establecidos por el FCPF), de los impactos sociales y ambientales positivos y negativos de las opciones de la Estrategia Nacional REDD+, identificados y consensuados con las partes interesadas y el GCI.
- 4.10.1.1 Informe del proceso de capacitación para los distintos actores sobre los temas que versaría el proceso de consulta y participación, de qué forma este acompaña el SESA y quiénes tienen un rol de responsabilidad, entre otros.**
 - 4.10.1.2 Evidenciar que el proceso de consulta realizado del SESA y ESMF fue vinculado al proceso Nacional de Consulta y Participación, y que se tuvieron consideraciones especiales respecto a las comunidades rurales, pueblos indígenas y grupos vulnerables.**
 - 4.10.1.3 Evidenciar que este proceso de consulta se realizó a diferentes niveles llegando a comunidades de base con énfasis en las zonas incluidas**

en el programa de reducción de emisiones descrito en el ER-PIN de Guatemala.

- 4.11 Informe del Marco de Gestión Ambiental y Social (ESMF): el documento del ESMF deberá incluir secciones o capítulos independientes y según corresponda, sobre los siguientes elementos: i) Evaluación y gestión de temas ambientales y sociales, ii) Pueblos Indígenas, iii) Reasentamiento involuntario y/o restricción o pérdida de acceso a los recursos naturales, iv) Involucramiento de los actores, y v) Resolución de disputas. Además, incluir:
- 4.11.1.1 Reporte de la identificación y priorización de los riesgos y oportunidades más importantes encontradas de manera consensuada con las partes interesadas en el SESA.
 - 4.11.1.2 Plan de mitigación consensuado y validado con las partes interesadas y GCI, sobre los impactos negativos de las opciones de la Estrategia y/o programas de reducción de emisiones, en concordancia a los mecanismos de gestión de riesgos ya establecidos dentro de las opciones de la Estrategia y/o programas de reducción de emisiones.
 - 4.11.1.3 Informe con la descripción y evaluación de las plataformas de participación y consulta existentes de las opciones de la Estrategia y/o programas de reducción de emisiones, incluyendo vacíos y cómo éstas se pueden fortalecer para participar en la mitigación y monitoreo de los riesgos.
 - 4.11.1.4 Plan de acción consensuado y validado con las partes interesadas sobre cómo potencializar los impactos positivos identificados en las opciones de la Estrategia y/o programas de reducción de emisiones.
- 4.12 Resumen del avances de las actividades y resultados del SESA y ESMF a ser incorporados en el *R-Package*. Esto con el fin de presentar avances sustanciales en la elaboración e implementación de estas herramientas.
- 4.13 Informe final de los resultados de la Evaluación Social y Ambiental Estratégica (SESA) y Marco de Gestión Ambiental y Social (ESMF) para el manejo de los impactos sociales y ambientales, positivos y negativos, para las acciones específicas REDD+.
- 4.14 Sistematización del proceso de consultas y participación que se llevó a cabo.

Para MAR:

- 4.15 Reporte de la revisión de los objetivos y principios del FCPF para MAR, identificación de las políticas, procedimientos y acciones de las Opciones de la Estrategia REDD+ que puedan resultar contradictorios.
- 4.16 Informe con la propuesta de las entidades responsables de la implementación y supervisión del Mecanismo de Atención a Reclamos, y las potenciales áreas a cubrir, incluyendo el análisis de la potencial vinculación del MAR bajo el *Common Approach* y los procedimientos y/o herramientas análogas del país, por ejemplo: los mecanismos de reclamos de los programas de incentivos forestales y/o proyectos piloto REDD+ existentes, entre otros.

- 4.17 Informe del análisis de las plataformas de atención a reclamos existentes de las Opciones de la Estrategia REDD+, incluyendo el plan de acción para adaptarlas a REDD+ y evidenciar que se están siendo utilizadas para la base del MAR para REDD+.
- 4.18 Informe de la revisión y análisis del contexto histórico y actual de las reclamaciones en el sector forestal, incluyendo la caracterización de los patrones y tendencias actuales de reclamaciones. Además incluir el diagnóstico de la capacidad de las Instituciones locales y nacionales para responder a conflictos potenciales debido a la preparación e implementación de la Estrategia Nacional REDD+, incluyendo las fortalezas y deficiencias institucionales respecto a MAR, y un plan de acción.
- 4.18.1.1 Incluir además el análisis que defina la estructura, funcionamiento y gobernanza de los mecanismos o esquemas de resolución o atención a reclamos existentes en el marco de las opciones de estrategia REDD+. Este debe incluir los pasos para adaptarlos al MAR incluyendo el diálogo público, los procesos de consulta con las partes interesadas, medios de retroalimentación de parte de las partes interesadas (solicitando información, clarificación, reportando problemas en cuanto a la implementación de las actividades REDD+, entre otros).
- 4.19 Plan de acción conjunto con el GCI para fortalecer la capacidad institucional existente de resolución de reclamos existentes para las Opciones de la Estrategia REDD+, orientadas a los principios de los GRM propuestos por el FCPF y con al menos los componentes prioritarios de la actividad 3.24.
- 4.20 Informe del MAR y su ruta de implementación para aquellas actividades REDD+ que no cuentan con una plataforma existente. Esta debe estar orientado a los principios de los GRM del FCPF y deberá incluir al menos los componentes prioritarios que se mencionan en la actividad 3.24.
- 4.21 Informe evidenciando la vinculación del MAR con el proceso de consulta de SESA y ESMF:
- 4.21.1.1 Informe de la revisión y análisis de la información recolectada por dichas herramientas identificando los conflictos debidos a la preparación y/o implementación de la Estrategia Nacional REDD+, los grupos vulnerables involucrados, y cómo estos deben ser abordados respecto a los principios y criterios del FCPF para MAR.
- 4.21.1.2 Sistematización del proceso de consulta realizado en el marco del MAR.
- 4.21.1.3 Sistematización de los posibles conflictos y grupos vulnerables involucrados vinculados a la preparación y/o implementación de las opciones de Estrategia REDD+, incluyendo el proceso de respuesta y mitigación.
- 4.21.1.4 Vinculación de los mecanismos específicos de divulgación, comunicación y consulta del SESA y ESMF, revisando la composición intersectorial a nivel nacional, de los grupos de trabajo para REDD+.
- 4.22 Informe final del Mecanismo de Atención a Reclamos (MAR) y su ruta de implementación estimando costos, consensuado y validado por el GCI y partes interesadas.

- 4.23 Sistematización del proceso de consulta y participación que se llevó a cabo.
- 4.24 Todo el trabajo será manejado en medios magnéticos, de tal forma que se tenga un acceso fácil a la información.
- 4.25 Los documentos se presentarán en idioma español y en archivo electrónico que pueda ser editado (Microsoft Word y Microsoft Excel).

5 DOCUMENTOS DE REFERENCIA

- Readiness Preparation Proposal de Guatemala (R-PP) y el Emission Reductions Project Idea Note de Guatemala (ER-PIN).
- Guia para el Marco de Evaluacion de la Preparacion del FCPF
- Consultorías sobre mapeo de actores e implementación de la consulta y participación social para opciones REDD+.
- Políticas de Salvaguardas para REDD+ de la CMNUCC, del BID y el BM.
- Common Approach del FCPF.
- Ley Marco de Cambio Climático incluyendo la normativa y reglamentos pertinentes
- Ley Forestal
- Ley de Areas Protegidas
- Política de Desarrollo Rural Integral (PNDRI)
- Plan Katún 2032
- Resultados de la consultoría Armonización de competencias institucionales en fases y procesos REDD+ (a ser proporcionada por el Coordinador REDD+).

6 FORMA DE PAGO

- 5.1 El presupuesto de la consultoría incluye los honorarios y los costos de traslado (viaje y viáticos) nacional/internacional y al interior del país, y de los talleres de consulta (salones, alimentación y logística).
- 5.2 Los servicios de consultoría se contratarán por suma alzada y se pagarán de la siguiente manera:
 - a. Primer pago equivalente al 20% del monto total del contrato, a la firma del contrato.
 - b. Segundo pago equivalente al 15% del monto total de contrato, contra la entrega del borrador de avance del MAR y SESA.
 - c. Tercer pago equivalente al 20% del monto total del contrato, contra la entrega del informe final del MAR y borrador de avance del SESA.
 - d. Cuarto pago equivalente al 30% del monto total del contrato, contra la entrega del informe final del SESA y borrador de avance del ESMF.
 - e. Quinto pago equivalente al 15% del monto total del contrato, contra la entrega del informe final del ESMF.

7 SUPERVISIÓN

- 6.1 La coordinación de las labores de la firma consultora estarán a cargo del Especialista de Cambio Climático del BID. Asimismo, el consultor deberá mantener estrecha coordinación con la firma que coordinara el proceso de consulta y participación para REDD+ a nivel nacional, así como con los miembros del comité Nacional de salvaguardas y el GCI técnico.

8 CARACTERÍSTICAS DE LA CONSULTORÍA

- 8.1 **Tipo de Consultoría:** Firma Consultora.
- 8.2 **Duración del contrato:** La consultoría tendrá una duración total de 18 meses de trabajo.
- 8.3 **Lugar de trabajo:** Guatemala (todo el país dependiendo de las áreas priorizadas para las acciones REDD+).
- 8.4 **Presencia en el país:** La firma deberá demostrar su compromiso para asignar personal con experiencia y conocimiento de la base organizativa, institucionalidad y marco jurídico del país, vinculado a las actividades REDD+.
- 8.5 **Viajes:** el consultor realizará distintos viajes a cada una de las regiones de acuerdo al proceso de consulta con las partes interesadas de actividades REDD+.
- 8.6 **Socio local:** Se recomienda que la firma consultora considere un socio local que apoye todo el proceso de evaluación social y ambiental.
- 8.7 **Instrumentos de Evaluación Ambiental:** La firma consultora deberá analizar la potencial vinculación del SESA bajo el *Common Approach* y procedimientos y/o herramientas análogas del país, por ejemplo, el proceso local de Evaluación Ambiental Estratégica de la normativa Nacional.

9 CALIFICACIONES

Experiencia comprobada en trabajo de coordinación de consultas relacionadas con temas de impacto social, salvaguardas, resolución, negociación y transformación de conflictos en temas sociales y/o ambientales, o temas similares. Conocimiento y experiencia del mecanismo REDD+, así como de sus salvaguardas, y de la aplicación de salvaguardas de organismos multilaterales. La firma o consorcio deberá contar como mínimo con cinco (5) años de experiencia de trabajo en procesos de socialización o consultas con grupos vulnerables. **La firma deberá contar con personal con experiencia en sociología, antropología, ambiente, economía, recursos naturales, legislación, ciencias jurídicas o áreas relacionadas.** Se valorará de forma especial la experiencia práctica de la firma consultora en evaluaciones similares características en la región. Se requiere el dominio del idioma español, y de preferencia manejo de 1 o más idiomas de los Pueblos Indígenas.

La firma consultora debe contar mínimo con especialistas que cumplan al menos el siguiente expertise:

1. **SESA:** consultor(es) con conocimiento en procesos de evaluación social y ambiental, de preferencia con experiencia en coordinación de estos procesos con organismos multilaterales.

2. **ESMF:** consultor(es) con experiencia en temas de elaboración de marcos de gestión de riesgos y conocimiento de metodologías de monitoreo y gestión de impactos sociales y ambientales.
3. **MAR:** consultor(es) con experiencia en negociación y resolución de conflictos en temas sociales y ambientales, y experiencia en coordinación de este proceso con organismos multilaterales.

Anexo No. III Términos de referencia proceso nacional de consulta y participación con pertinencia cultura y enfoque de género

GUATEMALA

DISEÑO E IMPLEMENTACIÓN DEL PROCESO NACIONAL DE CONSULTA CON LAS PARTES INTERESADAS⁹⁵ DE LA ESTRATEGIA NACIONAL REDD+, CON PERTINENCIA CULTURAL Y ENFOQUE DE GÉNERO.

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TERMINOS DE REFERENCIA

10 ANTECEDENTES

- 10.1 Con el respaldo de las Naciones Unidas, se creó en el año 2008 el Fondo Colaborativo para el Carbono Forestal (FCPF, por sus siglas en inglés –ForestCarbonPartnershipFacility) para financiar actividades preparatorias, como una alternativa de financiamiento para que los países desarrollen condiciones mínimas para reducir y demostrar la disminución de gases de efecto invernadero (GEI) en este sector, y con ello poder acceder a incentivos económicos. Para poder acceder al fondo preparatorio FCPF, los países deben presentar propuestas, las cuales deben identificar los principales factores de la deforestación en su contexto nacional y describir las actividades propuestas para formular políticas y sistemas necesarios a fin de abordarlos, adoptar las estrategias nacionales para la Reducción de Emisiones por Deforestación Evitada y Degrado de Bosques (REDD+), determinar los niveles de emisión de referencia, diseñar sistemas de seguimiento, entre otras acciones. Las actividades de preparación deben incluir un alto grado de consulta con la sociedad civil y las organizaciones de pueblos indígenas.
- 10.2 Guatemala no cuenta con un sistema institucionalizado de consultas, por lo que el desarrollo de la estrategia implica un riesgo muy alto de generación de conflictos sociales⁹⁶. El acuerdo entre los países miembros de la Convención Marco de las Naciones Unidas para el Cambio Climático –UNFCCC por sus siglas en inglés, indica que las estrategias REDD+, deben ser consultadas y consensuadas con los grupos vulnerables que potencialmente serían impactados de forma negativa por la implementación de la estrategia.
- 10.3 Dada la estrecha relación entre comunidades rurales, comunidades indígenas y empresas agroindustriales con el uso de recursos del bosque o su conversión a otros usos, cualquier actividad que se quiera implementar para reducir la deforestación y/o la degradación, necesariamente deberá incorporar las opiniones y demandas de estos grupos. Para implementar

⁹⁵ **Partes Interesadas:** todos aquellos actores involucrados en las actividades REDD+, incluyendo titulares de derecho.

⁹⁶ La Secretaría de Asuntos Agrarios, reporta más de 1,336 conflictos abiertos en 2012, con una extensión en disputa de 477,992 Ha, e involucrando a 1,100,085 personas, resultado de falta de consensos entre los diferentes usuarios de los recursos naturales.

la plataforma REDD+ será necesario que los diferentes grupos encuentren puntos de consenso, lo cual solamente será posible a través de actividades de capacitación, diálogo y generación de confianza. Cada municipio del país cuenta con organizaciones campesinas y del sector privado. Del total de 333 municipios que existen en Guatemala, 66 concentran tasas de deforestación por encima del promedio nacional para el quinquenio 2006-2010. Estos dos grupos de municipios representan más de 800,000 unidades productivas menores a 7 hectáreas. Es muy importante trabajar con todos estos grupos para que REDD+ tenga el apoyo necesario durante su implementación.

11 OBJETIVO

- 11.1 Diseñar e implementar el proceso de consulta Nacional libre, previa e informada de la Estrategia Nacional REDD+ con pertinencia cultural y enfoque género.

12 ACTIVIDADES

- 12.1 Elaborar el plan de trabajo de la consultoría para aprobación de la Unidad Ejecutora del Proyecto.
- 12.2 Utilizar como referencia la guía metodológica de UNREDD+ para el consentimiento Previo, Libre e Informada (CLIP) “*UN-REDD Programme Guidelines on FPIC*”, y la del Enfoque Común del FCPF para el proceso de consulta y participación a nivel Nacional.
- 12.3 Revisión de las actividades REDD+ propuestas dentro la ER-PIN.
- 12.4 Identificar los territorios de las actividades REDD+ de acuerdo a la propuesta de Reducción de Emisiones aprobadas por el Fondo del Carbono.
- 12.5 Identificar las partes interesadas dentro de los territorios a ser consultados de acuerdo a las actividades REDD+ según la propuesta de Reducción de Emisiones aprobada por el Fondo del Carbono, entre ellos: comunidades indígenas, grupos organizados de mujeres, comunidades locales, organismos gubernamentales pertinentes, usuarios formales o informales de los bosques, entidades del sector privado, pueblos indígenas y otras comunidades cuyo sustento depende de los bosques.
- 12.6 Identificar las plataformas de consulta existentes de las actividades REDD+.
 - 12.6.1.1 Identificar estructura y niveles.
- 12.7 Revisar, analizar y sistematizar los procesos de consulta y participación ex ante realizados para las actividades REDD+, identificar fortalezas y debilidades y proponer un plan para el fortalecimiento de dichos procesos de consulta y participación, y llenar posibles vacíos.
 - 12.7.1.1 Incluir los avances existentes en mecanismos de distribución de beneficios.
- 12.8 Definir la metodología para llevar a cabo el proceso de la consulta Nacional, incluyendo al menos:
 - 12.8.1.1 Primera Fase: plataformas de segundo o tercer nivel que involucran partes interesadas de las actividades REDD+, al menos las siguientes: Alianza Forestal, Red de Beneficiarios del PINPEP, ACOFOP, Mesas de Concertación, entre otros.
 - 12.8.1.2 Metodología a diferentes fases y niveles.
 - 12.8.1.3 La metodología debe utilizar el Enfoque Común del FCPF para el proceso de consulta y participación a nivel Nacional.
 - 12.8.1.4 Evidenciar qué mecanismos ha utilizado el país para facilitar la autoselección para identificar titulares de derecho y partes interesadas.

- 12.8.1.5 Definir el contenido a consultar dependiendo del nivel o fase de consulta: parte conceptual sobre REDD+, actividades REDD+, esquemas de gobernanza, mecanismos de distribución de beneficios, escenarios de referencia, entre otros.
- 12.8.1.6 Métodos de consulta y difusión social: con pertinencia cultural y enfoque de género; que sean públicos, transparentes, incluyentes, representativos y legítimos, verídicos y con objetividad, entre otros.
- 12.8.1.7 Fortalecimiento de la participación de las consultas a través de la capacitación previa sobre la información y conocimientos sobre REDD+ y el proceso *Readiness* del país, con una mediación pedagógica y adecuación cultural de la información.
- 12.8.1.8 Diseño del mecanismo para el monitoreo y verificación de los procesos de consulta y participación para las actividades REDD+.
- 12.8.1.9 Propuesta de mecanismos de seguimiento y comunicación de los acuerdos con las partes interesadas, posterior al proceso de consulta.
- 12.9 Identificar las instituciones y organizaciones en los territorios para coordinar, facilitar y acompañar los procesos de consulta a nivel Nacional.
- 12.10 Utilizar las plataformas de consulta y participación de las actividades REDD+, p.e Mesas de Concertación, Red de Beneficiarios del PINPEP, Red de Autoridades y Organizaciones Indígenas, Alianza Nacional de Organizaciones Forestales Comunitarias, Concesiones forestales, entre otros; para el proceso de consulta y participación de la Estrategia; tomando en cuenta sus diferentes niveles de organización.
- 12.11 Incluir en el proceso de consulta con los diferentes gremios, municipalidades, entidades y grupos organizados del país que tengan incidencia directa sobre las actividades REDD+ y/o programas de reducción de emisiones. La lista también deberá incluir participantes que podrían llegar a considerarse secundarios o tangenciales, pero que serán cruciales a la hora de implementar con éxito la Estrategia.
- 12.12 Implementar el Plan de Consulta Nacional para REDD+ con pertinencia cultural y enfoque de género, incluyendo una propuesta de registro de las consultas y el método de sistematización de las mismas; el plan debe documentar al menos lo siguiente:
 - 12.12.1.1 Resultados de las consultas: este debe ser observado no solamente desde el punto de vista cuantitativo sino también cualitativo y deberá tomar en cuenta la decisión de las partes interesadas consultadas.
 - 12.12.1.2 Partes interesadas afectadas positiva o negativamente por las actividades REDD+.
- 12.13 Alinear el proceso nacional de consulta y participación con la elaboración del SESA, ESMF y MAR.
- 12.14 Establecer contacto con los puntos focales de las instituciones participantes para ponerlos al tanto del proceso e involucrarlos al proceso de consulta.
- 12.15 Establecer programación de tiempo y requerimiento de recursos físicos (materiales de trabajo), humanos y financieros para el desarrollo de la consulta.

13 PRODUCTOS

- 13.1 Plan de trabajo incluyendo un cronograma de tiempo, responsabilidades y requerimiento de recursos físicos (materiales de trabajo), humanos y financieros para el desarrollo de la consulta a nivel Nacional.
- 13.2 Documento con el análisis del contexto de la consulta: territorios, partes interesadas y plataformas de consulta, incluyendo a los actores que podrían llegar a considerarse secundarios o tangenciales, pero que serán cruciales a la hora de implementar con éxito la Estrategia. Además debe incluir la propuesta de las instituciones y organizaciones en los territorios para coordinar, facilitar y acompañar los procesos de consulta a nivel Nacional.
- 13.3 Documento de sistematización de procesos de consulta y participación ex ante, vinculados a las actividades REDD+, p.e. PINPEP, proceso de Concesiones Forestales, PINFOR, proyectos piloto REDD+, entre otros.
- 13.4 Plan de consulta incluyendo la metodología efectiva para llevar a cabo el proceso de consulta Nacional para la Estrategia REDD+. Este debe incluir los principales componentes del plan mencionados en la sección anterior, la propuesta de registro de consultas y el método de sistematización y socialización de las mismas.
- 13.5 Documento de sistematización de cada uno de los procesos de consulta y participación realizados en el marco de la consultoría que cumpla con al menos los siguientes indicadores:
 - 13.5.1.1 Demostrar la participación plena y efectiva de las principales partes interesadas a través de mecanismos institucionales (que documente esfuerzos adicionales para involucrar grupos marginados, entre ellos: pueblos indígenas, comunidades locales dependientes de los bosques, grupos de mujeres, entre otros).
 - 13.5.1.2 Evidenciar que se ha utilizado un proceso de autoselección para identificar titulares de derecho y partes interesadas.
 - 13.5.1.3 Evidenciar que se utilizan las instituciones⁹⁷ y los procesos de toma de decisiones de las partes interesadas para las consultas y participación.
 - 13.5.1.4 Evidenciar que los procesos de consulta toman en cuenta la perspectiva de género y son incluyentes y no discriminatorios.
 - 13.5.1.5 Documentar la forma en la que las instituciones Nacionales de REDD+ y los sistemas de gestión han demostrado un intercambio y una divulgación transparente, coherente y puntual de la información en relación a las actividades de preparación de desarrollo de la Estrategia, Niveles de Referencia y sistemas de seguimiento.
 - 13.5.1.6 Evidenciar que las partes interesadas pueden acceder a la información en un formato y lenguaje que puedan entender.
 - 13.5.1.7 Evidenciar qué canales de comunicación se están utilizando para que las partes interesadas estén bien informadas.
 - 13.5.1.8 Elaborar una propuesta de cómo integrar, incorporar, difundir públicamente y se tienen en cuenta los resultados de las consultas en los sistemas de gestión, el desarrollo de la Estrategia y las actividades técnicamente relacionadas con el desarrollo de los Niveles de Referencia y los sistema de seguimiento e información.

⁹⁷ Instituciones: se entiende aquellas tanto oficiales como aquellas utilizadas por las partes interesadas.

- 13.6 Los productos deberán ser consensuados y validados por el GCI técnico, y aprobado por la Unidad Ejecutora del Proyecto.
- 13.7 Todo el trabajo será manejado en medios magnéticos, de tal forma que se tenga un acceso fácil a la información.
- 13.8 Los documentos se presentarán en idioma español y en archivo electrónico y físico que pueda ser editado (Microsoft Word y Microsoft Excel).

14 FORMA DE PAGO

- 5.1 El presupuesto de la consultoría incluye los honorarios y los costos de traslado (viaje y viáticos) nacional/internacional y al interior del país.
- 5.2 Los servicios de consultoría se contratarán por suma alzada y se pagarán de la siguiente manera:
 - f. Primer pago equivalente al 20% del monto total del contrato, a la firma del contrato.
 - g. Segundo pago equivalente al 25% del monto total de contrato, contra la aprobación del producto 4.2, 4.3 y 4.4
 - h. Tercer pago equivalente al 25% del monto total del contrato, cuando se alcance el 25% del proceso de consulta establecido en el plan de consulta.
 - i. Cuarto pago equivalente al 20% del monto total del contrato, cuando se alcance el 60% del proceso de consulta establecido en el plan de consulta.
 - j. Cuarto pago equivalente al 10% del monto total del contrato, con la presentación del informe final.

15 SUPERVISIÓN

- 6.1 La coordinación de las labores la firma consultora estarán a cargo de la Unidad Ejecutora del Proyecto. Asimismo, el consultor deberá mantener estrecha coordinación con el GCI técnico.

16 CARACTERÍSTICAS DE LA CONSULTORÍA

- 16.1 **Tipo de Consultoría:** Firma Consultora, selección directa. Los servicios de la consultoría se contratarán por suma alzada
- 16.2 **Duración del contrato:** La consultoría tendrá una duración total de ciento (600) días hábiles de trabajo
- 16.3 **Lugar de trabajo:** Ciudad de Guatemala, Guatemala.

17 CALIFICACIONES

Experiencia comprobada en trabajo de coordinación de consultas relacionadas con temas de impacto social, salvaguardas o temas similares. La firma deberá contar como mínimo con cinco (5) años de experiencia de trabajo en procesos de socialización o consultas con grupos vulnerables; experiencia en el desarrollo de instancias de gobernanza o de consulta y participación para REDD+; experiencia en la gestión e implementación de financiamiento multilateral y bilateral en el ámbito forestal y para REDD+, de preferencia vinculado a procesos de consulta y participación. La firma deberá considerar en la propuesta, personal con experiencia en sociología, antropología, conocimientos tradicionales y espiritualidad Maya, economía, ambiental, comunicación, jurídico o áreas relacionadas. Se valorará de

forma especial la experiencia práctica de la firma consultora en proyectos de similares características en la región. Se requiere el dominio del idioma español, y de preferencia manejo de 3 o más idiomas de los Pueblos Indígenas. Que tenga conocimiento de derechos colectivos, pueblos indígenas, multiculturalidad, interculturalidad, legislación ambiental guatemalteca, contexto sociocultural e histórico de Guatemala. Experiencia en trabajo con comunidades indígenas y locales.

La firma consultora debe de contar con un (1) Coordinador y cinco (5) especialistas con las calificaciones que abajo se describen. Además la firma contará con un equipo de facilitadores en campo para tareas operativas, logísticas, talleres, etc. Así mismo la firma coordinará la ejecución del proceso de consulta con diferentes organizaciones con presencia y experiencia en las diferentes áreas.

8.1. Coordinador:

Formación académica mínima:

Licenciatura en áreas sociales, económicas o medio ambientales. De preferencia con estudios de post grado

Experiencia General mínima:

Tres (3) años de experiencia profesional en procesos de participación y consulta con grupos vulnerables o pueblos indígenas. Un (1) año de experiencia en participación en procesos de consulta y salvaguardas para el mecanismo de reducción de emisiones por deforestación evitada y degradación de bosques REDD+. Tres (3) años de experiencia en el diseño e implementación de proyectos de cooperación internacional en temas de apoyo a pueblos indígenas en medio ambiente y recursos naturales

8.2. Consultor especialista en temas jurídicos vinculados a procesos de consulta y participación.

Formación académica mínima:

Licenciatura en ciencias jurídicas y sociales. De preferencia con maestría en temas sociales, economía, gestión de proyectos, derecho agrario, derecho ambiental, derechos humanos, o áreas similares.

Experiencia general mínima:

Tres (3) años de experiencia profesional en temas legales vinculados a pueblos indígenas, mujeres y grupos vulnerables. Con dos (2) años de experiencia en asesoría de temas de procesos de participación y consulta, derechos indígenas o derecho agrario.

8.3. Consultor especialista en legislación ambiental

Formación académica mínima: Licenciatura en ciencias jurídicas y sociales, ambientales, recursos naturales o áreas afines. De preferencia con estudios de maestría y otros estudios en recursos naturales, derecho ambiental, cambio climático o áreas relacionadas

Experiencia General mínima: Cinco (5) años de experiencia profesional en temas relacionados a la legislación ambiental nacional. Con dos (2) años de experiencia en temas relacionados a derechos de pueblos indígenas, tierras comunales, legislación ambiental y capacitación en temas ambientales

8.4. Consultor especialista en metodologías

Formación académica mínima: Licenciatura en áreas sociales, económicas o educación ambiental. De preferencia con maestría en ciencias económicas, sociología, pedagogía o temas relacionados

Experiencia General mínima: Cinco (5) años de experiencia profesional en planeación estratégica- Tres (3) años de experiencia en diseño de metodologías participativas, educación y capacitación de grupos vulnerables. Dos (2) de experiencia en gestión de proyectos socio ambientales o cambio climático.

8.5. Consultor especialista procesos de participación y consulta

Formación académica mínima: Licenciatura en ciencias jurídicas y sociales ambientales o áreas relacionadas. De preferencia con especialización o diplomados en temas vinculados derechos humanos, pueblos indígenas.

Experiencia General mínima: Tres (3) años de experiencia profesional en derechos humanos, experiencia de un (1) año en formulación de políticas, leyes, estudios o desarrollo de consulta y participación.

Anexo No. IV Análisis preliminar de las causas y agentes de la deforestación y degradación de bosques y su relación con las actividades REDD+

Agent ↓ Who is executing the action?	Cause → Why is the agent doing the action?	DIRECT CAUSES			UNDERLYING CAUSES															
		High opportunity cost	Productive factors and market conditions are comparatively present and liquid	Unavailability of financial resources (cash)	Financial market failures	Low supply of rural employment	Plagues	Urban Growth	Economic growth model	High population growth	Poverty	Little harmonization of forest policies	Lack of forest culture	Tenure and land distribution situation	Corruption	Culture of clean crops remains	Institutional weakness to monitor such activities	Lack of access to technical assistance	Intermediary market failures	Failures in public policies
Agriculture and commercial farmers (commodities)	POLICY ACTION (subprogram of REDD+ program)	Land Use change /agriculture/livestock/forest wildfires	Land Use change /agriculture/livestock/forest wildfires	n/a	n/a	n/a	n/a	n/a	Economic growth model	High population growth	Poverty	Little harmonization of forest policies	Lack of forest culture	Tenure and land distribution situation	Corruption	Culture of clean crops remains	Institutional weakness to monitor such activities	Lack of access to technical assistance	Intermediary market failures	Failures in public policies
Subsistence farmers	- Agroforestry, natural forest and forest plantations, - Forest management at indigenous and community based owned lands - Reforestation using tree agroforestry crops and silvopastoral systems, - technical assistance to forest owners and small holders, - Coops and umbrella association based reserves, -Natural Forest Regeneration, - Sustainable natural forest management, - Sustainable forest plantations management.	n/a	n/a	n/a	Land Use change /agriculture/forest wildfire	n/a	n/a	n/a	Land Use change /agriculture/livestock/forest wildfire	n/a	n/a	Land Use change /agriculture/livestock/forest wildfire	n/a	n/a	n/a	n/a	n/a	n/a	n/a	
Large-scale livestock (areas greater than 45ha)	- Multisectorial alliances on protecting and monetizing forests value, - Strengthening governance at forest lands, - Community and industrial sustainable forest management concessions in reserves, - Strengthening timber legality systems, - Technical Assistance and Technology transfer, -Forest / Industry regional cluster development, - Market links and international commerce, - Improvement and enforcement of efficient traceability systems	Land Use change /agriculture/livestock/forest wildfires	Land Use change /agriculture/livestock/forest wildfires	n/a	Land Use change /agriculture/forest wildfire	n/a	n/a	n/a	Land Use change /agriculture/livestock/forest wildfire	n/a	n/a	Land Use change /agriculture/livestock/forest wildfire	n/a	n/a	n/a	n/a	n/a	n/a	n/a	

merryoia y de manejo de tierras y manejo de bosques		merryoia y de manejo de tierras y manejo de bosques		merryoia y de manejo de tierras y manejo de bosques		merryoia y de manejo de tierras y manejo de bosques		merryoia y de manejo de tierras y manejo de bosques		merryoia y de manejo de tierras y manejo de bosques	
merryoia y de manejo de tierras y manejo de bosques		merryoia y de manejo de tierras y manejo de bosques		merryoia y de manejo de tierras y manejo de bosques		merryoia y de manejo de tierras y manejo de bosques		merryoia y de manejo de tierras y manejo de bosques		merryoia y de manejo de tierras y manejo de bosques	
Ganaderos de pequeña escala (menor a 45ha)	- Agroforestry, natural forest and forest plantations, - Forest management at indigenous and community based owned lands - Reforestation using tree agroforestry crops and silvopastoral systems, - technical assistance and technology transfer to forest owners and small holders, - Technical Assistance and Technology transfer, -Forest / Industry regional cluster development, - Market links and international commerce, - Improvement and enforcement of efficient traceability systems, - Natural Forest Regeneration, - Sustainable natural forest management, - Sustainable forest plantations	Illegal logging/forest wildfires	Land Use change /agriculture/ livestock	n/a	Land Use change /agriculture/ livestock	n/a	n/a	Land Use change /agriculture/ livestock	n/a	Land Use change /agriculture/ livestock	n/a
Illegal loggers	- Strengthening patrolling and monitoring, - Improving norms and enforcing policy and law, - technical assistance and technology transfer, - Reforestation using tree agroforestry crops and silvopastoral systems, - Agroforestry, natural forest and forest plantations, - Privately owned reserves, - Coops and umbrella association based reserves	n/a	n/a	n/a	Illegal logging	n/a	n/a	Illegal logging	n/a	Illegal logging	n/a
Lumberjacks	- Improving efficiency in use of fire wood, - Strengthening patrolling and monitoring, - Improving norms and enforcing policy and law, - Improvement and enforcement of efficient traceability systems , - Municipality owned reserves, - State owned reserves, Coops and umbrella association based reserves, - Natural Forest Regeneration, - Sustainable natural forest management, - Sustainable forest plantations management.	n/a	n/a	n/a	Illegal selective logging (for energy purposes)	n/a	n/a	Illegal selective logging (for energy purposes)	n/a	Illegal selective logging (for energy purposes)	n/a

Anexo No. V Términos de referencia evaluación del uso del uso de la tierra, los factores causantes de los cambios en el uso de la tierra, la ley forestal, la política y gestión

GUATEMALA

**EVALUACIÓN SOBRE EL USO DE LA TIERRA, LOS FACTORES CAUSANTES DE LOS CAMBIOS EN
EL USO DE LA TIERRA, LA LEY FORESTAL, LA POLÍTICA Y LA GESTIÓN**

TÉRMINOS DE REFERENCIA

18 ANTECEDENTES

- 18.1 El Fondo Cooperativo del Carbono Forestal (FCPF) es una alianza mundial centrada en la reducción de las emisiones debidas a la deforestación y degradación forestal (REDD+). Fue creado con el respaldo de las Naciones Unidas en el año 2008, habiéndose seleccionado al Banco Mundial (BM) para actuar como fiduciario y como secretaria del FCPF.
- 18.2 El FCPF tiene a su vez dos fondos, el Fondo de Preparación y el Fondo de Carbono.
- 18.3 El Fondo de Preparación financia actividades preparatorias, a efectos de que los países participantes en la alianza para la REDD+ desarrollen condiciones mínimas para reducir y demostrar la disminución de gases de efecto invernadero, y con ello acceder a incentivos económicos. Con fecha 4 de octubre de 2012, el Banco Interamericano de Desarrollo (BID) y el Fondo de Preparación celebraron un *Transfer Agreement* (Contrato de Transferencia), en virtud del cual se aprobó al Banco como socio ejecutor (*Delivery Partner*) de dicho Fondo.
- 18.4 Para poder acceder al financiamiento no reembolsable concedido por el Fondo Preparatorio, por un valor máximo de US\$3.800.000 por país, Guatemala presentó una propuesta utilizando el formato conocido como *Readiness Preparation Proposal* (Propuesta R-PP), en la cual se identificaron los principales factores de la deforestación en su contexto nacional y se describen las actividades propuestas para formular políticas y sistemas necesarios a fin de abordarlos, adoptar estrategias nacionales de REDD+, determinar los niveles de emisión de referencia, diseñar sistemas de seguimiento, presentar informes de verificación, y establecer mecanismos nacionales de gestión de REDD+, incluidas las salvaguardas adecuadas, de manera que incluyan a las partes interesadas clave a nivel nacional. Dicha propuesta fue aprobada por el Comité de Participantes del FCPF con fecha 13 abril de 2013, y a petición del Beneficiario, el Banco desempeñará el rol de socio ejecutor de los recursos asignados al Beneficiario.
- 18.5 En virtud de lo anterior, en marzo de 2014 se firmó un Convenio de Cooperación Técnica para la ejecución de la donación del FCPF para la Preparación de la Estrategia Nacional REDD+ firmada entre el Gobierno de Guatemala y el Banco Interamericano de Desarrollo.
- 18.6 Esta consultoría se enmarca en el proceso del cumplimiento de las acciones estipuladas dentro de la planificación conjunta realizada para el proceso de preparación de la

Estrategia Nacional REDD+, específicamente para el Componente 2 del Marco de Evaluación de la Preparación del FCPF, tomando en cuenta los aspectos sobre el uso de la tierra, los factores causantes de los cambios en el uso de la tierra, la Ley forestal, la política y la gestión.

19 OBJETIVO

General:

- 4.1 Analizar los usos de la tierra, los factores causantes del cambio de uso de la tierra, la legislación forestal, la política y la gestión, en donde se establezca deforestación y degradación de bosques y su respectiva correlación.

Específico:

- a. A través de la documentación que se genere en el marco de la presente consultoría, se debe presentar colectivamente una descripción general de la situación del país en relación con: los principales factores causantes de la deforestación, la degradación de bosques y las actividades de incremento de stocks de carbono; las tendencias en el uso de la tierra, la tenencia de la tierra, los derechos sobre los recursos naturales, la legislación forestal, las cuestiones sobre políticas y gestión, los impactos sociales y ambientales.

20 ACTIVIDADES

- 20.1 Elaborar el plan de trabajo de la consultoría el cual debe ser validado por el Grupo Interinstitucional de Monitoreo de los Bosques y Ordenamiento de la Tierra –GIMBOT- y el Grupo de Coordinación Interinstitucional -GCI-; y aprobado por la Unidad Ejecutora del Proyecto.
 - 20.1.1.1 Esta debe incluir la metodología que será utilizada para los análisis requeridos en estos términos de referencia.
- 20.2 Revisar y comprender las opciones de estrategia para REDD+ propuestas dentro de la ER-PIN y R-PP, ubicarlas dentro del territorio. Es importante realizar una revisión general del contenido de ambos documentos.
- 20.3 Revisar los documentos existentes sobre análisis de causas y motores como por ejemplo el de la deforestación en el marco de la Línea Base de la región REDD+ Tierras Bajas del Norte y los avances que se tengan para REDD+ Sarstún Motagua, los resultados o avances de la evaluación de la tenencia de la tierra en el marco del SESA y ESMF
- 20.4 Analizar las políticas y leyes del sector forestal, agrícola, energía, industria y otros; los aspectos de tenencia de la tierra y derechos de los recursos naturales (incluyendo derechos sobre las reducciones de emisiones)el cambio del uso del suelo, barreras para el mejoramiento de stocks de carbono, etc., y la vinculación de estos aspectos con las opciones de estrategia REDD+ y las causas y agentes de la deforestación y degradación de bosques y mejoramiento de stocks de carbono. Además, identificar los aspectos positivos,debilidades y vacíos en relación a cómo abordar la problemática de

deforestación, degradación y mejoramiento de stocks de carbono a través del marco legal vinculado

- 20.5 Evaluar los instrumentos de política forestal y cambio del uso del suelo en relación a su pertinencia, inclusión, incompatibilidades, contradicciones, eficacia y eficiencia vinculados a las causas y agentes de la deforestación y degradación de bosques e incremento de stocks de carbono, en el corto, mediano y largo plazo.
- 20.6 Analizar el tema de tenencia de la tierra y su impacto en los procesos históricos de deforestación y degradación de tierras e incremento de stocks de carbono, el caso específico de las experiencias de tierras comunales, municipales, concesiones forestales y que incluya análisis de procesos de titulación de tierras en el país y su impacto en el avance de la deforestación, degradación de bosques y/o incremento de stocks de carbono. Este análisis debe contener al menos:
- 20.6.1.1 La gama de derechos de la tierra y la tenencia de recursos y las reducciones de emisiones (incluyendo los derechos legales y consuetudinarios de uso, acceso, la gestión, la propiedad, la exclusión, etc.)
 - 20.6.1.2 Las categorías de titulares de derechos presentes en el Área de Contabilidad (incluidos los pueblos indígenas y otras comunidades pertinentes); la situación jurídica de estos derechos y cualquier ambigüedad o lagunas importantes en el marco jurídico aplicable, incluyendo como pertenece a los derechos en virtud del derecho consuetudinario;
 - 20.6.1.3 Las áreas dentro del Área de Contabilidad que están sujetos a conflictos o disputas significativas relacionadas con reclamos o derechos controvertidos o de la competencia, y si resultan críticos para la implementación exitosa del Programa de ER, de cómo este tipo de conflictos o disputas han sido o están propuestos para ser abordado;
 - 20.6.1.4 Cualquier impacto potencial del programa ER sobre tenencia de la tierra y de los recursos existentes en el área de contabilidad.
- 20.7 Analizar y revisar los derechos sobre los recursos y medios de subsistencia, los derechos colectivos e individuales de los pueblos indígenas y comunidades locales, los acuerdos de paz y los elementos de la cosmovisión maya, y cómo estos han apoyado a evitar o incrementar la deforestación, degradación de bosques e incrementos de stock de carbono, en sistemas de manejo forestal y sistemas actuales en funcionamiento con comunidades y pueblos indígenas.
- 20.8 De acuerdo al análisis legal, la tenencia de la tierra, uso del suelo, barreras para el incremento de stocks de carbono y demás aspectos anteriores, Identificar y luego priorizar en orden de importancia, las principales causas y agentes directos e indirectos que inciden sobre la deforestación y degradación forestal y oportunidades de mejoramiento de los stocks de carbono por cada uno de los estratos o regiones REDD+, y analizar su relación con la tenencia de tierra y la legislación forestal.
- 20.9 Ubicar espacialmente e identificar conexiones sistemáticas de las causas y agentes de la deforestación y degradación forestal e incremento de stocks de carbono, utilizando datos espaciales de detección remota y/o reportes/censos de fuentes confiables.

- 20.10 Análisis sistemático para vincular causas y agentes de la deforestación, degradación forestal y barreras para el incremento de stocks de carbono con actividades REDD+ (ejemplo: analizar cadenas de deforestación).
- 20.11 Realizar una descripción sobre cada agente de la deforestación y degradación forestal que incluya al menos:
- 20.11.1.1 Nombre
 - 20.11.1.2 Descripción del grupo de agente.
 - 20.11.1.3 Evolución probable de la población del grupo de agentes por región REDD+.
 - 20.11.1.4 Estadística sobre la deforestación y degradación histórica atribuible al grupo de agentes durante los últimos 30 años.
 - 20.11.1.5 Variables que explican la cantidad de deforestación y degradación atribuible al grupo de agentes;
 - 20.11.1.6 Variables que explican la localización de la deforestación y degradación atribuible al grupo de agentes.
 - 20.11.1.7 Descripción de la tenencia de la tierra, aplicación de las leyes del sector forestal y cambio de uso del suelo y su vinculación.
 - 20.11.1.8 Para cada uno de los grupos de variables identificar: variables clave, realizar una descripción breve, posible desarrollo de las variables listadas, medidas que se deben de tomar para enfrentar las variables.
- 20.12 Realizar un análisis en cadena sobre los acontecimientos que han conducido a la deforestación y degradación forestal en Guatemala.
- 20.13 Identificar y sistematizar la información de los Planes de acción que aborden la problemática sobre el uso de la tierra, tenencia y titulación de la tierra, derechos sobre los recursos naturales, medios de subsistencia y gestión, de las actividades REDD+ (Por ejemplo: Acciones de Registro de Información Catastral –RIC-, Secretaría de Asuntos Agrarios –SAA-, Fondo de Tierras –FONTIERRA- CONAP, entre otros).
- 20.14 Con base a los planes de acción existentes de la actividad 3.13, elaborar planes de acción para lograr avances a corto, mediano y largo plazo para abordar las cuestiones pertinentes sobre uso de la tierra, tenencia y titulación de tierras, derechos sobre los recursos naturales, medios de subsistencia y gestión, en las regiones prioritarias de las actividades REDD+.
- 20.15 Valoración económica de los patrones asociados al cambio del uso de la tierra, la deforestación y degradación de bosques e incremento de stock de carbono.
- 20.16 Realizar talleres con partes interesadas REDD+ para validar las causas y agentes de la deforestación y degradación forestal y sistematizar aquellos realizados en el marco de la Línea Base de la Tierras Bajas del Norte y Sarstún Motagua. El número de talleres son al menos 6 (uno por región REDD+ (5) y uno a nivel nacional)
- 20.16.1.1 Este y los demás procesos de consulta y participación para la elaboración de las actividades y productos requeridos deben estar articulados

con el proceso nacional de consulta y participación en el marco de la preparación de la Estrategia Nacional REDD+.

- 20.17 Con base en los análisis realizados solicitados en estos términos de referencia, realizar una recomendación sobre cómo deben ser tomados en consideración en el diseño e implementación de la Estrategia Nacional REDD+ y el Programa Nacional de Reducciones de Emisiones (es decir, la identificación de los titulares de derechos de las reducciones de emisiones, diseño de medidas REDD+, diseño de acuerdos de distribución de beneficios, salvaguardas, etc.)

21 PRODUCTOS

- 21.1 Documento de plan de trabajo de la consultoría el cual debe ser validado por el Grupo Interinstitucional de Monitoreo de los Bosques y Ordenamiento de la Tierra –GIMBOT-, Grupo de Coordinación Interinstitucional -GCI-; y aprobado por la Unidad Ejecutora del Proyecto. Actividad 3.1
- 21.2 Documento con sistematización de la información del inciso correspondiente a la actividad 3.3
- 21.3 Documentos con análisis y evaluación requeridos en las actividades 3.4 y 3.5
- 21.4 Documento que contenga el análisis requerido en las actividades 3.6 , 3.7 y 3.8
- 21.5 Documento contenido lo solicitado en las actividades 3.9, 3.10 y 3.11
- 21.6 Documento con lo requerido en las actividades 3.12, 3.13 y 3.14
- 21.7 Documento con la valoración económica de los patrones asociados al cambio del uso de la tierra, la deforestación y degradación de bosques e incremento de stock de carbono. Solicitado en la actividad 3.15
- 21.8 Documento con sistematización de las reuniones de trabajo, socialización, consenso y validación del análisis de las causas y agentes de la deforestación y degradación, análisis de marco de leyes y políticas, acceso a recursos y tenencia de la tierra, cambio de uso del suelo, entre otros, según lo indicado en el inciso 3 de los términos de referencia incluyendo las observaciones, comentarios y/o modificaciones realizadas. Esto de acuerdo a lo requerido en la actividad 3.16
- 21.9 Documento con la recomendación requerida en la actividad 3.17

- 21.10 Los productos que se generen en el marco de la presente consultoría deben cumplir con los requerimientos metodológicos del FCPF y el Fondo del Carbono.
- 21.11 Todo el trabajo será manejado en medios digitales y físicos, de tal forma que se tenga un acceso fácil a la información.
- 21.12 Los documentos se presentarán en idioma español y en archivo electrónico que pueda ser editado (Microsoft Word, Microsoft Excel y formato GIS).

22 FORMA DE PAGO

- 5.1 El presupuesto de la consultoría incluye los honorarios, costos de traslado (gastos de viaje) nacional/internacional y al interior del país y costos de talleres
- 5.2 Los servicios de consultoría se contratarán por suma alzada y se pagarán de la siguiente manera:
 - k. Primer pago equivalente al 20% del monto total del contrato, a la firma del contrato y aprobación del Plan de Trabajo (Producto 4.1).
 - l. Segundo pago equivalente al 15% del monto total del contrato, contra la entrega de los productos 4.2, 4.3 y 4.4 (A los 30 días de la firma del contrato)
 - m. Tercer pago equivalente al 30% del monto total del contrato, contra la entrega de los productos 4.5 y 4.6 (A los 120 días a partir de la firma del contrato)
 - n. Cuarto pago equivalente al 15% del monto total del contrato, contra la entrega del producto 4.7, 4.8 y 4.9 . (A los 150 días a partir de la firma del contrato)
 - o. Quinto pago equivalente al 20% del monto total del contrato, contra la entrega de un informe integrado de los productos, cumpliendo con el requerimiento descrito en el objetivo específico. (A los 180 días a partir de la firma del contrato)

23 SUPERVISIÓN

- 23.1 La coordinación de las labores del consultor estarán a cargo de la Unidad Ejecutora del proyecto. Asimismo, el consultor deberá mantener estrecha coordinación el GCI y el GIMBOT.

24 CARACTERÍSTICAS DE LA CONSULTORÍA

- 24.1 **Tipo de Consultoría:** Firma consultora
- 24.2 **Duración del contrato:** La consultoría tendrá una duración de 6 meses de trabajo a partir de la firma del contrato.
- 24.3 **Lugar de trabajo:** Guatemala.

24.4 **Viajes:** La firma consultora deberá realizar distintos viajes a cada una de las regiones del país de acuerdo a los distintos análisis que realice.

24.5 **Costos de la consultoría:** La consultoría será bajo suma alzada e incluirá honorarios, costos de talleres, traslados, viajes, etc.

25 CALIFICACIONES

- Firma consultora con al menos cinco años de experiencia en temas relacionados a las ramas forestal, agricultura, recursos naturales, economía, legislación forestal, medio ambiente, sistemas de información geográfica y ciencias sociales.
- La firma consultora deberá contar dentro de su equipo con al menos tres profesionales de las ramas siguientes, con las características que abajo se describen.
 - Un profesional de las ramas ambientales o de recursos naturales.
 - Un profesional de las ramas sociales y jurídicas
 - Un profesional de la rama económica
 - Un especialista en sistemas de información geográfica con al menos cinco años de experiencia demostrable.
- Con experiencia en gestión de proyectos forestales y/o recursos naturales; además en el análisis de marco de leyes y políticas forestales, acceso a recursos y tenencia de la tierra, cambio de uso del suelo, entre otros.
- Conocimiento de la temática REDD+

8.1. Profesional de las ramas ambientales o de recursos naturales

Formación Académica Mínima

- Licenciatura en áreas agronómicas, recursos naturales, forestales y/o ambientales De preferencia con estudios de post-grado

Experiencia General Mínima:

- Tres años (3) de experiencia profesional en temas relacionados a la gestión del medio ambiente, recursos naturales y áreas protegidas
- Autoría (individual o colectiva) demostrable de al menos 2 trabajos (consultorías, investigaciones, publicaciones científicas) relacionados con el análisis de problemas de deforestación y degradación forestal en los últimos 7 años desarrollados en Guatemala o Centro América.

8.2. Profesional de las ramas sociales, económicas y jurídicas

Formación Académica Mínima:

- Licenciatura en áreas sociales,Jurídicas y económicas

Experiencia General Mínima:

- Tres años (3) años de experiencia profesional en temas relacionados a procesos de investigación y análisis de instrumentos jurídicos de gestión ambiental y de recursos naturales, y tenencia de la tierra.
- Autoría (individual o colectiva) demostrable de al menos 2 trabajos (consultorías, investigaciones, publicaciones científicas) relacionados con el análisis de aspectos legales y de normatividad vinculados al manejo de recursos naturales, deforestación y degradación forestal, derechos sobre los recursos naturales y tenencia de la tierra en los últimos 7 años desarrollados en Guatemala o Centro América.

8.3. Especialista en sistemas de información geográfica**Formación Académica Mínima**

- Licenciatura en áreas agronómicas, recursos naturales, forestales y/o ambientales

Experiencia General Mínima:

- Al menos tres años (3) en generación de información geoespacial utilizando sistemas de información geográfica, con énfasis en temas de uso y cobertura del suelo.
- Participación en equipos de trabajo multidisciplinarios que hayan realizado al menos 3 trabajos (consultorías, investigaciones, publicaciones científicas) relacionados con el análisis espacial de manejo de recursos naturales, deforestación y degradación forestal en los últimos 7 años desarrollados en Guatemala o Centro América.

Anexo No. VI Boletín estadístico del INAB 2015

- Gobierno de Guatemala. 2015. Departamento de Incentivos: Boletín estadístico 1,998-2015. Instituto Nacional de Bosques (INAB).

Anexo No. VII Convenio de Cooperación Técnica del GIMBUT



CONVENIO DE COOPERACIÓN TÉCNICA PARA LA CONFORMACIÓN DEL GRUPO INTERINSTITUCIONAL DE MONITOREO DE BOSQUES Y USO DE LA TIERRA

En la ciudad de Guatemala, el uno de septiembre de dos mil quince, nosotros, **A) OSCAR ERNESTO MEDINILLA SÁNCHEZ**, de cuarenta y seis años (46) de edad, casado, guatemalteco, Ingeniero Agrónomo, de este domicilio, me identifico con el Documento Personal de Identificación -DPI- con Código Único de Identificación -CUI- número dos mil ciento setenta y nueve setenta y seis mil cuarenta y dos cero ciento uno (2179 76042 0101), extendido por el Registro Nacional de las Personas de la República de Guatemala, actuó en mi calidad de **MINISTRO DE AMBIENTE Y RECURSOS NATURALES -MARN-**, lo que acredito con: Acuerdo Gubernativo de nombramiento número cuarenta y dos guion dos mil quince (42-2015), de fecha veintiséis (26) de mayo de dos mil quince (2015), emitido por el Presidente de la República de Guatemala; acta de Toma de Posesión del Cargo de Ministro de Ambiente y Recursos Naturales, número noventa y cinco guion dos mil quince (95-2015) de fecha veintiséis de mayo de dos mil quince; **B) JOSÉ SEBASTIÁN MARCUCCI RUIZ**, de cincuenta y cinco años (55), casado, guatemalteco, ingeniero agrónomo, domiciliado en la Ciudad de Guatemala, me identifico con el Documento Personal de Identificación -DPI- con Código Único de Identificación -CUI- número mil novecientos cincuenta y cuatro espacio noventa y un mil diecisiete espacio cero ciento uno, (1954 91017 0101) extendido por el Registro Nacional de las Personas -RENAP- de la República de Guatemala, actuó en mi calidad de **MINISTRO DE AGRICULTURA, GANADERÍA Y ALIMENTACIÓN -MAGA-** de la República de Guatemala tal como lo acredito con las certificaciones de los siguientes documentos: a) Acuerdo Gubernativo de mi nombramiento número catorce (14) de fecha doce (12) de febrero de dos mil quince (2015); y b) Acta de toma de posesión número veintisiete guion dos mil quince (27-2015) ~~no coincide lo literal con dato en cifras de fecha doce (12) de febrero de dos mil quince (2015).~~ **C) JOSUÉ IVÁN MORALES DARDÓN**, de cincuenta y un (51) años, soltero, guatemalteco, Ingeniero Agrónomo, de este domicilio, me identifico con el Documento Personal de Identificación -DPI- con Código Único Identificación -CUI- número un mil ochocientos veintiocho, dieciséis mil setecientos diez, cero doscientos siete (1828 16710 0207), emitido por el Registro Nacional de las Personas -RENAP- de la República de Guatemala; actuó en mi calidad de Gerente y Representante Legal del **INSTITUTO NACIONAL DE BOSQUES -INAB-**, lo cual acredito con lo siguiente: a) Certificación de fecha quince de enero de dos mil trece, del Acta de Junta Directiva del Instituto Nacional de Bosques número JD punto cuarenta y cuatro punto dos mil ocho (JD.44.2008), de fecha diecisiete de diciembre del año dos mil ocho, en la que consta mi nombramiento, extendida por el Secretario de la Junta Directiva del INAB; b) Certificación de fecha quince de enero de dos mil trece, del Acta de Junta Directiva del Instituto Nacional de Bosques número JD punto cero tres punto dos mil nueve (JD.03.2009), de fecha veintiocho de enero de dos mil nueve, en la que consta mi toma de posesión, extendida por el Secretario de la Junta Directiva del INAB; c) Certificación de fecha diecisésis de mayo de dos mil trece del Acta de toma de posesión del cargo número cero cero dos guion dos mil nueve (002-2009), de fecha dos de febrero de dos mil nueve, extendida por el Director de Desarrollo Institucional y Recursos Humanos del INAB; y, d) De conformidad con lo establecido en el Artículo diecisésis (16) literal c) de la Ley Forestal, Decreto ciento uno guion noventa y seis (101-96) del Congreso de la República; **D) MANUEL BENEDICTO LUCAS LÓPEZ**, de treinta y cuatro años (34) de edad, casado, guatemalteco, Ingeniero Agrónomo, de este domicilio, me identifico con el Documento Personal de Identificación con Código Único de Identificación -CUI- número dos mil seiscientos once, ochenta y nueve mil trescientos sesenta, mil setecientos doce (2611 89360 1712), extendido por el Registrador Nacional de las Personas -RENAP- de la República de Guatemala; actuó en mi calidad de Secretario Ejecutivo del **CONSEJO NACIONAL DE ÁREAS PROTEGIDAS -CONAP-**, lo cual acredito con copia del Acuerdo Gubernativo número cuarenta y tres (43) de fecha veintiocho de mayo de dos mil trece y con certificación del acta de toma de posesión del cargo número veintiséis guion dos mil trece (26-2013) de fecha veintiocho de mayo de dos mil trece, asentada en el Libro de Actas autorizado por la Contraloría General del Cuentas con número de registro cuarenta y nueve mil quinientos dieciséis (49,517), señalo como lugar para recibir notificaciones la quinta (5^a) avenida número seis guion cero seis (6-06) zona uno (01) de esta Ciudad, Edificio IPM, séptimo (7^o) nivel; institución que en lo sucesivo podrá denominarse CONAP; **E) EDUARDO VALDES BARRIA**, de sesenta y siete (67) años de edad, panameño, soltero, Sacerdote, de este domicilio, me identifico con el Documento Personal de Identificación -DPI-

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con Código Único de Identificación -CUI- número dos mil cuatrocientos noventa y ocho espacio trece mil setecientos veintiséis espacio cero ciento uno (2498 13726 0101) extendido por el Registro Nacional de las Personas de la República de Guatemala, actuando en mi calidad de Rector de la **UNIVERSIDAD RAFAEL LANDÍVAR -URL-**, la que acredito con el acta notarial que contiene mi nombramiento, autorizada en esta ciudad el veintisiete (27) de febrero de dos mil catorce (2014) por el Notario Jorge Alberto Pellecer Way; y F) **ROBERTO MORENO GODOY**, de cincuenta y cuatro (54) años de edad, casado, guatemalteco, Licenciado en Educación, de este domicilio, me identifico con Documento Personal de Identificación -DPI- con Código Único de Identificación -CUI- mil novecientos treinta y seis espacio veintitrés mil setecientos setenta y tres espacio cero ciento uno (1936 23773 0101), extendido por el Registro Nacional de Personas de la República de Guatemala; actuó en mi calidad de Rector y Representante Legal de la **UNIVERSIDAD DEL VALLE DE GUATEMALA -UVG-**, lo cual acredito con el acta notarial de mi nombramiento autorizada en esta ciudad el veintinueve (29) de mayo de dos mil catorce (2014) por la Notaria Irma Yolanda Ruiz Tinti.

Los comparecientes consideramos que las representaciones ejercitadas son suficientes para el otorgamiento del presente Convenio y aseguramos hallarnos en el libre ejercicio de nuestros derechos civiles, ser de los datos de identificación relacionados y exponemos que celebramos el presente **CONVENIO DE COOPERACIÓN TÉCNICA PARA LA CREACIÓN DEL GRUPO INTERINSTITUCIONAL DE MONITOREO DE BOSQUES Y USO DE LA TIERRA**, de acuerdo con las siguientes cláusulas:


PRIMERA: BASE LEGAL. El presente Convenio se celebra con fundamento en lo que establecen los Artículos 2,4,22, 27, inciso c) y f), 29 inciso a) y 29 bis de la Ley del Organismo Ejecutivo, Decreto número ciento catorce guión noventa y siete (Decreto 114-97) del Congreso de la República; Artículo 5 y 6 de la Ley Forestal, Decreto ciento uno guión noventa y seis (Decreto 101-96); Artículo 59 y Artículo 70 y 72 de la Ley de Áreas Protegidas, Decreto cuatro guión ochenta y nueve (Decreto 4-89); así como el Acuerdo Gubernativo No. 338-2010 del Reglamento Orgánico Interno del MAGA; Acuerdo Gubernativo 50-2015 Reglamento Orgánico Interno del MARN. Y en lo que establece el Artículo 20 de la Ley Marco para Regular la Reducción de la Vulnerabilidad, la Adaptación Obligatoria ante los Efectos del Cambio Climático y la Mitigación de Gases de Efecto de Invernadero, Decreto siete guión dos mil trece (Decreto 7-2013) del Congreso de la República.

SEGUNDA: OBJETIVOS GENERALES DEL CONVENIO. Los objetivos generales del presente Convenio de Cooperación Técnica son:

- Conformar el Grupo Interinstitucional de Monitoreo de Bosques y Uso de la Tierra, de aquí en adelante denominado GIMBUT, el cual está integrado por las instituciones firmantes.
- Establecer un marco de coordinación interinstitucional y técnico para la generación y armonización de información digital a nivel de la República sobre la cobertura forestal, otros usos de la tierra y temas afines.
- Fortalecer la institucionalidad pública en un esfuerzo coordinado con las instancias privadas y académicas para mejorar los niveles de seguimiento y evaluación de políticas públicas en materia de bosques y uso de la tierra con base técnica.

TERCERA: COMPROMISOS DEL GIMBUT. El GIMBUT tendrá los siguientes compromisos:

- Generar y sistematizar la información producida en las instituciones, en relación a monitoreo de bosques y uso de la tierra y otros temas afines, en el marco de las competencias y capacidades de cada institución, armonizando la información entre las instituciones que integran el GIMBUT.
- Mantener un marco de acción y de aportes técnicos bajo una visión integral para la generación de información que permita la realización de proyectos de monitoreo forestal y de uso de la tierra y su dinámica.


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- c) Apoyar acciones nacionales y proyectos relacionados con la Estrategia Nacional para la Reducción de Emisiones por Deforestación Evitada y Degrado de Bosques en Guatemala, en el marco de las competencias y capacidades de cada institución.
- d) Coordinar acciones con otras instancias nacionales e internacionales relacionadas con el tema de monitoreo de bosques y uso de la tierra y otros temas afines.

CUARTA: ORGANIZACIÓN. Para la dirección, administración y funcionamiento del GIMBUT, se estructura en el siguiente orden:

I. CONSEJO DIRECTIVO: El Consejo Directivo del GIMBUT, está integrado por las autoridades superiores administrativas de las instituciones partes, quiénes en su ausencia podrán nombrar a un representante ante dicho Consejo. El Consejo, tiene las funciones siguientes:

- a) Evaluar y aprobar las propuestas de trabajo de los Grupos Técnicos, mismas que deberán ser revisadas de forma semestral, o cuando se estime necesario, realizará las modificaciones que se convengan. Brindará las directrices para la implementación y la eficiencia en la ejecución;
- b) Realizar esfuerzos conjuntos para la gestión de financiamiento externo (nacional o internacional) para el desarrollo de acciones, proyectos y programas de monitoreo de bosques y uso de la tierra;
- c) Conocer, evaluar y resolver las solicitudes de incorporación de nuevos miembros;
- d) Representar al GIMBUT ante instancias locales, nacionales o internacionales;
- e) Definir los mecanismos de proyección y/o divulgación de los resultados del GIMBUT;
- f) Crear los Grupos Técnicos que se consideren necesarios, dependiendo de las temáticas de trabajo que se aborden en el marco del GIMBUT.
- g) Definir y aprobar los mecanismos, internos o externos, de asesoría y supervisión de procesos y productos que se establezcan en las propuestas de trabajo de los Grupos Técnicos;
- h) Las instituciones partes aportarán, en la medida de sus posibilidades y de acuerdo a sus competencias legales, los recursos humanos y técnicos existentes en cada institución, cuando sea requerido conforme a las propuestas de trabajo aprobadas;
- i) Definirá los mecanismos para su adecuada operación y funcionamiento;
- j) Conocer y resolver situaciones que surjan durante los procesos técnicos y administrativos, para el cumplimiento de compromisos adquiridos en la ejecución de los programas o proyectos.

II. SECRETARÍA: Para fines de coordinación y seguimiento de las atribuciones del GIMBUT, contará con una Secretaría, que tendrá las siguientes funciones:

- a) Coordinar, facilitar y realizar las convocatorias a las reuniones;
- b) Elaborar la ayuda de memoria de las reuniones y darle seguimiento a los acuerdos.

El Consejo decidirá por consenso la forma idónea de hacer operativa dicha Secretaría.

III. GRUPOS TÉCNICOS. Estos Grupos Técnicos se integrarán por un titular y suplente de las instituciones partes, nombrados por las autoridades administrativas superiores.

Los Grupos Técnicos referidos tienen las funciones de desarrollar los proyectos que se acuerden ejecutar en común, y la generación de la información pertinente que permita aportar a áreas temáticas de interés para los objetivos propuestos. Las actividades que ejecuten, deberán estar en concordancia con los planes operativos de trabajo de cada una de las instituciones partes, según la capacidad y disponibilidad técnica, administrativa y financiera que se establezca.

QUINTA: DERECHOS DE PROPIEDAD INTELECTUAL. Las partes podrán utilizar toda la información intercambiada para generar productos conjuntos, excepto en aquellos casos, en que la institución ~~privada parte~~ establezca

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restricciones o reservas en su uso, publicación o difusión. En caso que se permita el uso de la información intercambiada, se deberán reconocer los derechos de autor correspondientes. La información generada por las instituciones públicas firmantes estará sujeta al cumplimiento de la Ley de Acceso a la Información Pública y a otras leyes específicas que rijan a las instituciones.

SEXTA: RECONOCIMIENTOS. Cada una de las instituciones partes tendrá el reconocimiento correspondiente a su grado de participación de los productos generados y publicados en cualquiera de los medios de comunicación de la información generada, según los lineamientos que serán aprobados por el Consejo Directivo.

SÉPTIMA: AUTONOMÍA INSTITUCIONAL. Las partes mantienen su autonomía institucional, técnica y administrativa conforme a las normas constitucionales y legales.

OCTAVA: CONTROVERSIAS. Cualquier diferencia derivada de la interpretación, administración, ejecución y efectos que pudieran derivarse de la aplicación del presente Convenio y de los acuerdos específicos que se establezcan como consecuencia del mismo, se solventarán de mutuo acuerdo entre las partes y por la vía conciliatoria.

NOVENA: VIGENCIA Y PLAZO. El presente Convenio tiene vigencia por un período de cinco (5) años, contados a partir de la última fecha de las firmas consignadas, y el mismo podrá ser prorrogable mediante la suscripción de una adenda.

DÉCIMA: MODIFICACIONES. Las modificaciones o ampliaciones al presente Convenio, que eventualmente se pudieran necesitar, son realizables de común acuerdo entre las partes, haciéndose constar mediante la adenda correspondiente, la cual pasará a formar parte del Convenio.

DÉCIMA PRIMERA: INCORPORACIÓN DE NUEVOS MIEMBROS. La incorporación de un nuevo miembro al GIMBUT, será mediante solicitud aprobada por el Consejo Directivo. La solicitud aprobada por el Consejo Directivo del GIMBUT, pasará a formar parte del presente Convenio.

Para la integración al GIMBUT, es necesario que la institución interesada, por medio de la máxima autoridad, presente la solicitud por escrito en que manifieste: a) El interés y disposición a contribuir en los procesos que desarrolla el GIMBUT; b) Que posee competencia en los objetivos propuestos en el presente convenio; c) Los aportes específicos en que contribuirá para los alcances del presente convenio. Deberá acreditar las capacidades técnicas.

DÉCIMA SEGUNDA: TERMINACIÓN. El presente Convenio podrá terminar cuando ocurra alguna de las circunstancias siguientes:

- Por vencimiento del plazo;
- Por mutuo acuerdo entre todas las partes;
- Por situaciones de fuerza mayor o caso fortuito.

En cualquiera de los casos anteriores deberá decidirse a nivel del Consejo Directivo, la forma en que se finalizarán las actividades pendientes, si fuera el caso, y se hará constar por escrito.

DÉCIMA TERCERA: TERMINACIÓN DE LA RELACIÓN CON ALGUNA DE LAS PARTES: La relación de una de las instituciones partes, podrá darse por terminada cuando ocurra alguna de las circunstancias siguientes:

- Por decisión unilateral de cualquiera de las partes, debiéndose presentar la solicitud al Consejo Directivo, para conocer y resolver, con treinta días de anticipación a su retiro definitivo;
- Por el incumplimiento de los acuerdos de alguna de las partes. Deberá conocer y resolver el Consejo Directivo;

En cualquiera de los casos anteriores deberá conocer y resolver el Consejo Directivo, la forma en que se finalizarán las actividades asignadas, si fuera el caso, y se hará constar por escrito.



/CUARTA/

DÉCIMO SEPTIMA: ACEPTACIÓN. En los términos y condiciones estipuladas, las instituciones partes, en las calidades en que actuamos, aceptamos el contenido del presente Convenio, el cual es leído íntegramente; y enterados de su contenido, objeto, validez y demás efectos legales, lo ratificamos, aceptamos y firmamos en seis originales, conformados por tres hojas de papel bond tamaño carta, las primeras dos impresas en ambos lados y la presente sólo en su lado anverso, con los logos que identifican a cada una de las instituciones partes.

Testado: no coincide lo literal con dato en cifras. privada parte. Omitase. Tdo: **SEPTIMA.** Omítase. Adición: CUARTA. Leáse.

José Sebastián Marcucci Ruiz

Oscar Ernesto Medinilla Sánchez
Ministro de Ambiente y Recursos Naturales



José Sebastián Marcucci Ruiz
Ministro de Agricultura, Ganadería y
Alimentación



Fecha: 1 de septiembre de 2015

Fecha: 1 de septiembre de 2015



Josué Iván Morales Dardón
Josué Iván Morales Dardón
Gerente Instituto Nacional de Bosques

Manuel Benedicto Lucas López
Manuel Benedicto Lucas López
Secretario Ejecutivo Consejo Nacional de Áreas Protegidas



Fecha: 1 de septiembre de 2015

Fecha: 1 de septiembre de 2015



Educencia que Roberto Moreno Godoy
Roberto Moreno Godoy
Rector Universidad del Valle de Guatemala

Fecha: 1 de septiembre 2015

Eduardo Valdés Barria
Eduardo Valdés Barria
Rector Universidad Rafael Landívar



Fecha: 16 de octubre de 2015

Anexo No. VIII Responsabilidades específicas de monitoreo del GIMBUT de acuerdo a las medidas REDD+ y las Fuentes de emisiones de GEI

Medida REDD+	Fuentes de emisión o remoción de GEI	Actividades de monitoreo para la medición de estas emisiones o remociones	Frecuencia de generación	Frecuencia de reporte
Reducción de emisiones por deforestación evitada	Cambios de uso de la tierra	1.1 Mapeo de Cobertura Forestal, Usos de la Tierra con imágenes de mediana resolución	2 años	Bianual
		1.2 Mapeo de Cambios de Uso de la Tierra con categorías mínimas del IPCC*, con imágenes de mediana resolución.	2 años	
		1.3 Mapeo de Cobertura Forestal, Usos de la Tierra y su Dinámica y de Tipos de Bosque con imágenes de alta resolución.	5 años	
		1.4 Inventario Nacional Forestal	5 años	
		1.5 Cuantificación de Densidades de Carbono (sistematización de bases de datos de parcelas de carbono y mapeo).	2 años	
Reducción de emisiones por degradación evitada	Incendios	Cartografía de cicatrices de fuego	Anual	Bianual
	Leña	Ánalisis y sistematización de bases de datos regionales y ubicación geoespacial.	Anual	
	Madera	Ánalisis y sistematización de bases de datos regionales y ubicación geoespacial.	Anual	
Incremento del almacenamiento de carbono	Manejo forestal y reforestación (Manejo de bosque natural, Plantaciones, SAF, Incentivos forestales)	Trabajo con bases de datos (Parcelas Permanentes de Medición Forestal – PPMF-, programas de incentivos forestales) y análisis de sensores remotos.	Anual	Bianual
	Regeneración natural	Bases de datos de las PPMF y programas de incentivos forestales, análisis de sensores remotos y aplicación de modelos.	Anual	

Tabla No. 16 Actividades a monitorear de acuerdo a las medidas REDD+ y fuentes de emisión de GEI

Anexo No. IX Términos de referencia Sistema Nacional MRV

TÉRMINOS DE REFERENCIA

1. Antecedentes

- 1.1. El Fondo Cooperativo del Carbono Forestal (FCPF) es una alianza mundial centrada en la reducción de las emisiones debidas a la deforestación y degradación forestal (REDD+), que fue creado con el respaldo de las Naciones Unidas en el año 2008, habiéndose seleccionado al Banco Mundial (BM) para actuar como fiduciario y como secretaria del FCPF.
- 1.2. El FCPF tiene a su vez dos fondos: el Fondo de Preparación y el Fondo de Carbono.
- 1.3. El Fondo de Preparación financia actividades preparatorias, a efectos de que los países participantes en la implementación de REDD+ desarrollen condiciones mínimas para reducir y demostrar la disminución de gases de efecto invernadero, y con ello acceder a incentivos económicos. Con fecha 4 de octubre de 2012, el Banco Interamericano de Desarrollo y el Fondo de Preparación celebraron un *Transfer Agreement* (Contrato de Transferencia), en virtud del cual se aprobó al Banco como socio ejecutor (*DeliveryPartner*) de dicho Fondo
- 1.4. Para poder acceder al financiamiento no reembolsable concedido por el Fondo Preparatorio, por un valor máximo de US\$3.800.000 por país. Guatemala presentó una propuesta utilizando el formato conocido como *Readiness Preparation Proposal* (Propuesta R-PP), en la cual se identificaron los principales factores de la deforestación en su contexto nacional y se describieron las actividades propuestas para formular políticas y sistemas necesarios a fin de abordarlos, adoptar estrategias nacionales de REDD+, determinar los niveles de emisión de referencia, diseñar sistemas de medición y seguimiento, presentar información reportes y preparar al país durante procesos de verificación, y establecer mecanismos nacionales de gestión de REDD+, incluidas las salvaguardas, de manera que incluyan a las partes interesadas clave a nivel nacional. Dicha propuesta fue aprobada por el Comité de Participantes del FCPF con fecha 13 abril de 2013, y a petición del Beneficiario, el Banco desempeñará el rol de socio ejecutor de los recursos asignados al Beneficiario.
- 1.5. En virtud de lo anterior, en marzo de 2014 se firmó un Convenio de Cooperación Técnica para la ejecución de la donación del FCPF para la Preparación de la Estrategia Nacional REDD+ firmada entre el Gobierno de Guatemala y el Banco Interamericano de Desarrollo.
- 1.6. Ésta consultoría se enmarca en el proceso del cumplimiento de las acciones estipuladas dentro de la planificación conjunta realizada para el proceso de preparación de la Estrategia Nacional REDD+, específicamente para el componente 4: “Sistemas de seguimiento forestal y de información sobre las salvaguardas”, tomando en cuenta los aspectos clave del Marco de Evaluación de la Preparación del FCPF sobre el desarrollo de un sistema de seguimiento forestal nacional y el sistema de información para múltiples

beneficios, otros impactos, gestión y salvaguardas. Así como los acuerdos de Cancún COP-16 en relación con pueblos indígenas y las consideraciones de género.

- 1.7.** *Guatemala cuenta con el Grupo Interinstitucional de Monitoreo de los bosques y uso de la Tierra (GIMBUT), que actualmente es el responsable de desarrollar el Sistema de Emisiones de GEI del sector Uso de la Tierra, y Silvicultura (UTCUTS), componentes 3 y 4 de la R-PP, por lo tanto la presente consultoría deberá adoptar e incorporar a la Propuesta del Sistema Nacional de Emisiones GEI, múltiples beneficios, otros beneficios, gestión y salvaguardas para REDD+ los avances que dicho grupo tiene específicamente en el Sistema de Emisiones de GEI para el sector UTCUTS, por lo cual deberá mantener una coordinación directa con el GIMBUT para asegurar su adecuada incorporación.*

2. Objetivo(s) del Trabajo

Obtener un Sistema Nacional de Información instalado y en funcionamiento relativo a emisiones de GEI, múltiples beneficios, otros impactos, gestión y salvaguardas REDD+, de acuerdo a los requerimientos del Marco Metodológico del FCPF

3. Actividades /Alcance de los Servicios, y Entregables Previstos

- 3.1. Elaborar el plan de trabajo de la consultoría para validación de la Unidad Ejecutora del Proyecto, GCI, CNSAS REDD+ y el GIMBUT.
- 3.2. Revisar y analizar las opciones de estrategia para REDD+ propuestas dentro de la ER-PIN y ubicarlas espacialmente dentro del territorio.
- 3.3. Revisar y analizar el sistema de monitoreo reporte, verificación y de monitoreo forestal de Guatemala, propuesto para REDD+.
- 3.4. Revisar y analizar el Programa Estratégico Regional para el Manejo de los Ecosistemas Forestales (PERFOR) y la Estrategia Mesoamericana de Sustentabilidad Ambiental (EMSA) de la CCAD.
- 3.5. Revisar y analizar las salvaguardas REDD+, las propuestas de SESA, ESMF y MAR del país y los indicadores propuestos por REDD+/SES, tomando en cuenta las consideraciones de género.
- 3.6. Facilitar con las partes interesadas, la definición y alcance del sistema de información, y una priorización inicial para indicadores o variables cualitativas y cuantitativas:
 - 25.1.1.1 Emisiones de GEI,
 - 25.1.1.2 Múltiples beneficios, otros impactos, gestión y salvaguardas
- 3.7. Revisar y analizar los sistemas de información ambiental existentes de las instancias del GCI (SIFGUA del INAB, CHM del CONAP, entre otros).
 - 25.1.1.1 Identificar y evaluar las plataformas de datos existentes de sistemas de información ambiental, y socioeconómicos, identificando vacíos operativos para que pueda ser compatible con el sistema de información de emisiones de GEI, múltiples beneficios, otros impactos, gestión y salvaguardas REDD+, que se diseñara.

25.1.1.2 Evaluar la funcionalidad, limitaciones, vacíos y alcances para la compilación de información de las diferentes entidades involucradas.

25.1.1.3 Proponer una ruta viable para adaptar y fortalecer los sistemas existentes y su utilidad para REDD+ en el marco del sistema de información de emisiones GEI, múltiples beneficios, otros impactos, gestión y salvaguardas REDD+, que se diseñara.

25.1.1.4 Generar y presentar un prototipo demostrativo de funcionamiento para el sistema de monitoreo de emisiones GEI, múltiples beneficios, otros impactos, gestión y salvaguardas REDD+ (Plataforma electrónica para captura, procesamiento y reporte de la información, operando en una primera fase).

25.1.1.5 Validar prototipo del sistema de monitoreo de emisiones GEI, múltiples beneficios, otros impactos, gestión y salvaguardas REDD+ con el GCI, GIMBUT, CNSAS REDD+.

25.1.1.6 Incorporar insumos del proceso de validación (numeral v del acápite anterior), generar y presentar el producto final correspondiente al sistema de monitoreo de emisiones GEI, múltiples beneficios, otros impactos, gestión y salvaguardas REDD+.

3.8. Elaborar/adoptar una propuesta de institucionalización del sistema de información de emisiones de GEI, múltiples beneficios, otros impactos, gestión y salvaguardas REDD+, de acuerdo a las competencias y responsabilidades directas de las instancias del GCI en el marco de la Estrategia Nacional REDD+, que incluya entre otros:

25.1.1.1 Protocolos para: generar, capturar, compartir, reportar y oficializar la información.

25.1.1.2 Un instrumento viable para la oficialización del sistema.

25.1.1.3 Herramienta de conformación y fortalecimiento de la plataforma de gobernanza inter institucional para el sistema de múltiples beneficios, otros impactos, gestión y salvaguardas REDD+

3.9. Vincular y validar con el Proceso Nacional de Consulta y Participación el diseño del sistema de información de monitoreo de emisiones de GEI, múltiples beneficios, otros impactos, gestión y salvaguardas, asegurando que se incluyan especialmente a las comunidades de base y pueblos indígenas, grupos y organizaciones de mujeres (sectores vulnerables); con el fin de involucrar a las partes interesadas en el desarrollo e implementación temprana y oportuna del sistema. Es necesario consultar y validar al menos los siguientes aspectos:

25.1.1.1 Herramientas metodológicas, priorización de indicadores y/o variables cualitativas y cuantitativas de emisiones de GEI, múltiples beneficios, otros impactos, gestión y salvaguardas.

25.1.1.2 Propuesta de institucionalización y/o oficialización del sistema.

25.1.1.3 Alcance e indicadores del sistema.

25.1.1.4 Propuesta de sostenibilidad técnica y financiera.

25.1.1.5 Consultar e integrar qué partes interesadas tienen la voluntad de participar en la recopilación de datos a nivel local⁹⁸, por ejemplo, el muestreo de bosques gestionados por comunidades locales e indígenas. En el caso de experiencias de bosques comunitarios en donde se realiza algún tipo de monitoreo y generación de información, proponer la integración y en su momento la alineación de los mismos con el sistema de monitoreo de emisiones de GEI, múltiples beneficios, otros impactos, gestión y salvaguardas.

3.10 Desarrollar la metodología de reporte de información siguiendo los lineamientos de las tres convenciones de las Naciones Unidas (Cambio Climático, Diversidad Biológica y Desertificación y Sequía) incluyendo al menos:

25.1.1.1 La adopción e incorporación de los indicadores de emisiones de GEI definidos por el GIMBUT, al sistema que se diseñará.

25.1.1.2 Los criterios para priorizar la selección de indicadores o variables cualitativas y cuantitativas de múltiples beneficios, otros impactos, gestión y salvaguardas para cada una de las actividades REDD+.

25.1.1.3 En el marco del proceso nacional de consulta y participación, validar las variables cualitativas y cuantitativas de múltiples beneficios, otros impactos, gestión y salvaguardas que se hayan priorizados, y que representen el mejoramiento de los medios de subsistencia de la población rural y actores (mujeres y hombres) que dependen directamente de los bosques, la conservación de la biodiversidad, la provisión de servicios de ecosistemas, los factores clave de gestión **directamente pertinentes a la ejecución de REDD+ en el país**, y otros impactos de la estrategia de REDD+ en el sector forestal.

25.1.1.4 La propuesta de un sistema de información de emisiones de GEI, múltiples beneficios, otros impactos, gestión y salvaguardas, que sea transparente y vinculado al Marco de Gestión Ambiental y Social (ESMF), y que permita compartir periódicamente datos sobre aspectos no relacionados con el carbono y salvaguardas, incluyendo la revisión de plataformas actuales y con ello proponer un sistema ad hoc.

25.1.1.5 Diseñar la metodología que incluya consideraciones de género para el levantamiento de la línea de base de múltiples beneficios, otros impactos, gestión y salvaguardas REDD+.

25.1.1.6 Definir las funciones y responsabilidades de las instituciones nacionales en el diseño y la ejecución del Sistema de múltiples beneficios, otros impactos, gestión y salvaguardas REDD+ (intercambio de información, recursos físicos, financieros, capacitaciones, programas informáticos, espacio físico, software y hardware, etc.).

3.11 Diseñar o adaptar el sistema de captura, procesamiento y reporte de la información, el cual debe cumplir con los criterios indicados en la sección **NOTA IMPORTANTE**, y que la plataforma electrónica sea compatible con las plataformas de las

⁹⁸ Según la experiencia en otros países, se requieren compromisos ligados a acuerdos y leyes nacionales que permitan que estas instituciones o entes tengas roles claros en la colecta y transferencia de información o datos. Para el caso de Guatemala, los roles y compromisos institucionales quedarán plasmados en la propuesta de Gobernanza del MRV REDD+.

instituciones involucradas. En caso no haya compatibilidad, diseñar una plataforma viable para su funcionamiento.

25.1.1.1 Evaluar las capacidades institucionales informáticas del Ministerio de Ambiente y Recursos Naturales –MARN-, para operativizar la plataforma, definiendo ajustes para su implementación en caso de ser necesario.

3.12 Diseñar una propuesta de sostenibilidad política, estratégica, técnica y financiera del sistema de información de monitoreo de emisiones de GEI, múltiples beneficios, otros impactos, gestión y salvaguardas REDD+, incluyendo al menos:

- i. Una propuesta para el marco legal, institucional y de mecanismos de cumplimiento
- ii. Un protocolo para el intercambio de información entre las instituciones y componentes de la Estrategia REDD+.
- iii. Una propuesta de implementación del sistema.

3.13 La Firma Consultora deberá tener estrecha comunicación con el GCI, GIMBUT y el CNSAS REDD+, y participar proactivamente en los diferentes talleres de capacitación técnica en el marco del apoyo de REDD/SES y otros.

3.14 La Firma Consultora deberá tener estrecha comunicación con la Firma Consultora que está llevando a cabo el Proceso Nacional de Consulta y Participación para la Estrategia Nacional REDD+.

NOTA IMPORTANTE

El Sistema de monitoreo propuesto deberá cumplir con al menos los siguientes criterios:

- a. Proporcionar información transparente y coherente a la que puedan acceder todas las personas interesadas, que la información sea actualizada con regularidad y compartida públicamente.
- b. Ser seguro, transparente y flexible para permitir mejoras con el paso del tiempo;
- c. Proporcionar información sobre la forma en que se están abordando y respetando todas las salvaguardas y las consideraciones de género expuestas en el apéndice I de la decisión 1/CP.16;
- d. Estar a cargo de las instituciones de gobierno directamente responsables de la operatividad de la Estrategia Nacional REDD+ y aplicarse a nivel nacional con espejos a nivel regional cuando sea posible
- e. Basarse en las capacidades instaladas de los sistemas existentes, si los hubiera;
- f. Prever un enfoque escalonado para poder describir el plazo en el que se desarrollarán las fases y los principales resultados esperados.
- g. Ser diseñado de manera conjunta con las partes interesadas a través del proceso nacional de consulta y participación asegurando especialmente la participación eficaz y adecuada de la sociedad civil, los pueblos indígenas, comunidades locales y otras partes interesadas como las mujeres en situación vulnerable y asociado a sistemas comunitarios y participativos de seguimiento e información;

Para el caso del sistema de monitoreo de GEI debe de considerar:

- a. Que el sistema tenga capacidad para hacer un seguimiento de actividades específicas a las que se ha dado prioridad en la Estrategia Nacional REDD+
- b. El sistema debe identificar y evaluar el desplazamiento de emisiones
- c. El sistema debe permitir identificar posibles fuentes de incertidumbre
- d. El sistema debe permitir comparar fácilmente los cambios en la extensión y el contenido de carbono de los bosques y emisiones de GEI, en función de las estimaciones de línea base de las 5 regiones REDD+

4. Productos/Entregables

- 4.1. Plan de trabajo presentado al GCI, CNSAS REDD+ y el GIMBUT, el cual deberá ser aprobado por la Unidad Ejecutora,
- 4.2. Documento de Informe que contenga:
 - i. Definición y alcance del sistema, y priorización inicial solicitado en la actividad 3.6
 - ii. La revisión de los sistemas de información ambiental y socioeconómico de las instancias del GCI solicitado en la actividad 3.7
 - iii. Sistema de monitoreo de emisiones GEI, múltiples beneficios, otros impactos, gestión y salvaguardas para REDD+ para ser evaluado y aprobado por GCI, CNSAS REDD+ y el GIMBUT
- 4.3. Documento con la propuesta de Institucionalización del Sistema de Información de emisiones de GEI, múltiples beneficios, otros impactos, gestión y salvaguardas para REDD+, solicitadas en la actividad 3.8.
- 4.4. Informe que evidencie la vinculación del diseño del sistema de información de monitoreo de emisiones, múltiples beneficios, otros impactos, gestión y salvaguardas para REDD+ con el proceso nacional de consulta y participación, solicitado en la actividad 3.9.
- 4.5. Informe que incluya la metodología de reporte de información solicitado en la sección 3.10.
- 4.6. Plataforma electrónica para captura, procesamiento y reporte de la información, operando en una primera fase. Este debe cumplir con los criterios indicados en la sección **NOTA IMPORTANTE** y compatible con las plataformas ya existentes de las instituciones involucradas.
- 4.7. Informe que evidencie que el sistema cumpla con los criterios solicitados en la sección **NOTA IMPORTANTE**.

4.8. Propuesta de sostenibilidad del Sistema de Información solicitado en la sección
3.12.

Nota: el servicio no requiere continuidad y la capacitación **SI** es un componente específico del trabajo.

5. Requisitos de Experiencia de la firma consultora

Experiencia comprobada de mínimo cinco (5) años de trabajo en la construcción de sistemas estratégicos de información, monitoreo ambiental (bosques, biodiversidad, emisiones GEI, etc.) y socioeconómico y temas relacionados. De preferencia con experiencia en Salvaguardas REDD+, sistema de monitoreo de bosques, biodiversidad, aspectos socioeconómicos. La firma deberá incluir dentro de su equipo de trabajo con experiencia en ciencias ambientales, sociales, sistemas de información geográfica, económicas, diseño de plataformas electrónicas de información o áreas relacionadas. Se valorará de forma especial la experiencia práctica de la firma consultora en proyectos de similares características en la región. Se requiere el dominio del idioma español.

La firma consultora deberá tener al menos cuatro (**4**) **especialistas** de las siguientes ramas, más un (**1**) **Coordinador General del Equipo**.

- Sistemas de información geográfica (SIG) y sensores remotos, con experiencia en monitoreo de emisiones de GEI
- Salvaguardas Sociales y Ambientales, de preferencia con experiencia en REDD+ y con conocimiento sobre la aplicación del enfoque de género
- Diseño de sistemas e indicadores de monitoreo y reporte para bosques, biodiversidad y co-beneficios
- Informático para bases de datos y desarrollador de servidores SIG

6. Requisitos de Capacidad

- **Coordinador General de Equipo**

Formación Académica

Profesional en áreas sociales, recursos naturales, geomatica. De preferencia con estudios de post grado en recursos naturales

Experiencia General Mínima

Cinco (5) años de experiencia profesional en procesos de coordinación de equipos multidisciplinarios. Tres (3) años de experiencia en procesos de Diseño de Sistemas de Monitoreo de Indicadores. Tres años (3) de experiencia en proyectos de cooperación internacional en temas relacionados con los recursos naturales y REDD+.

- **Especialista en Sistemas de Información Geográfica**

Formación Académica

Profesional en las ramas de recursos naturales, geografía o informatica. De preferencia con estudios de post grado en Sistemas de Informacion Geografica.

Experiencia General Mínima

Cinco (5) años de experiencia profesional en la implementación de sistemas de información geográfica en las ramas de recursos naturales. Al menos un (1) año de experiencia en la temática REDD+.

- **Especialista en Salvaguardas Ambientales y Sociales**

Formación Académica

Profesional en las ramas sociales, jurídicas o de recursos naturales.

Experiencia General Mínima

Tres (3) años de experiencia profesional en temas relacionados a gestión de recursos naturales, legislación ambiental, pueblos indígenas. Con dos (2) años de experiencia en bosques, REDD+, Salvaguardas, Gobernanza., estandares internacionales para el tema de Salvaguardas para REDD+. Dos (2) de experiencia en gestión de proyectos socio ambientales o cambio climático

- **Especialista en Diseño de Sistemas e Indicadores de Monitoreo**

Formación Académica

Profesional en las ramas de recursos naturales, sociales o geoestadística.

Experiencia General Mínima

Cuatro (4) años de experiencia en el diseño de sistemas de indicadores de monitoreo. Con dos (2) años de experiencia en la temática REDD+. Dos (2) de experiencia en gestión de proyectos socio ambientales o cambio climático en el tema específico de monitoreo de indicadores.

- **Especialista en Informática**

Formación Académica

Profesional en las ramas de las ciencias informáticas.

Experiencia General Mínima

Cinco (5) años de experiencia en la implementación de programación de sistemas orientados a la ejecución de sistemas de monitoreo, almacenamiento y análisis de información, base de datos y aplicaciones relacionadas con la temática de recursos naturales.

7. Requisitos de Reporte y Cronograma de los Entregables

Todo el trabajo será manejado en medios físicos y magnéticos, de tal forma que se tenga un acceso fácil a la información.

Los documentos se presentarán en idioma español y en copia dura y archivo electrónico que pueda ser editado (Microsoft Word y Microsoft Excel).

No se cuenta con un cronograma específico de entregables, pero si el orden en que se tienen que entregar los mismos, como a continuación se presenta. Cabe resaltar que la consultoría tendrá una duración de **18 meses calendario** a partir de la firma del contrato.

- p. Documento de Plan de Trabajo.
- q. Documento con los entregables solicitados en la sección 4.2 y 4.3
- r. Documento con los entregables solicitados en la sección 4.4 y 4.5
- s. Documento con los entregables solicitados solicitados en la sección 4.6 y 4.7
- t. Documento con los entregables solicitados en la sección 4.8 y 4.9

Annex No. X Details of additional financing request in US\$

COMPONENT 1: ORGANIZATION AND CONSULTATION

Type of activity	Activity	Objective	Quantity	Unitary cost (US\$)	Total cost (US\$)	Period
Socialization and capacity building	Socialization workshops targeted to the technical staff within the nine regional offices (which cover the country) of the four institutions of GCI.				150000	2017-2018
	Training workshops for extensionists of INAB and CONAP through "training of trainers" program.				200000	2017-2018
	Socialization workshops with stakeholders of the REDD+ modalities				100000	2017-2018
	Socialization and training workshops held by extensionists of INAB and CONAP, targeted to stakeholders.				50000	2017-2018
TOTAL					500,000.00	

COMPONENT 2: REDD+ PROGRAM

Type of activity	Activity	Objective	Quantity	Unitary cost (US\$)	Total cost (US\$)	Period
Capacity building	Training workshops of technical guidelines for ecosystem services compensation mechanisms.		18	650	11700	2017-2018

Training workshops for the identification, distribution and strategic priority sites of forest ecosystems.		18	650	11700	2017-2018
Strengthening technical capacities of professionals responsible for developing forest management plans.	Strengthening the skills of professionals responsible for the development, monitoring and evaluation of forest management plans (for natural forests and plantations for different purposes), subject to the national forest incentives programs (PROBOSQUE).			160000	2017
Regional knowledge exchanges workshops for community based stakeholders about forest management in plantations, natural forest, agroforestry and forest restoration.	Capacity building for sustainable forest management through exchange of experiences with community groups.	18	8900	160200	2017-2018
Regional socialization workshops (PROBOSQUE) for the municipal forest technicians.	Strengthening technical capacities for implementation of PROBOSQUE at the	10	650	6500	2017-2018

	municipal and community level.				
PROBOSQUE Regional workshops socialization of communities, organizations, associations.	Strengthen capacities of community leaders, women leaders and youth to implement activities at the community level.	10	650	6500	2017-2018
Regional workshops for socialization PROBOSQUE to Municipal Offices for Women.	Promote and strengthen the participation of women in PROBOSQUE.	10	650	6500	2017-2018
National Meeting of local authorities (Municipal authorities) for socializing and sharing experiences with PROBOSQUE.	Encourage the engagement of local authorities in the implementation of PROBOSQUE.	1	26143	26143	Oct-18
Workshops for promotion, dissemination and monitoring of the PROBOSQUE law in the Garifuna communities.	Encourage the participation of the Garifuna people in the national forest incentive programs, to improve the livelihoods of their communities.	5	650	3250	2017
Workshops for promotion, dissemination and monitoring of the PROBOSQUE law in the Garifuna communities.	Encourage the participation of the Xinca people in the national forest incentive programs, to improve the livelihoods of their communities.	5	650	3250	2017

National Meeting with national community organizations and indigenous peoples, for the socialization and experiences exchange.	Encourage the involvement and engagement of local communities and indigenous people in PROBOSQUE	1	19607	19607	2018
Capacity building workshops for delegates of the Department of Municipal and Community Forestry Strengthening (DFFMC, by its acronym in Spanish), on issues of forest management (3 days per workshop).	Capacity building for the necessary mechanisms for proper socialization and implementation of PROBOSQUE	4	2600	10400	2018
Regional forestry fairs	Promote sustainable use of forests through the economy improvement of rural families.	5	5000	25000	2018
Training workshops for regional staff for the use of unmanned aerial vehicles (UAVs)	Conduct training for staff in charge of certifying and monitoring forest incentive activities	40	650	26000	2017
Field trips to promote the establishment of pilot areas and demonstration plots with different types of PROBOSQUE incentive modalities.	Having demonstration sites for field trips for the exchange experiences process.	18	650	11700	2017
Conducting diffusion and promotion of marketing of forest	2 workshops for domestic business.	1	115000	115000	2017-2018

<p>products from the national incentive forest programs (PINFOR, PINPEP, PROBOSQUE)</p>	<p>2 workshops for international business.</p> <p>2 pinabete (<i>Abies guatemalensis</i>) fairs for incentivized producers.</p> <p>2 local fairs for Micro, Small and Medium Enterprise Loans (MSMEs)</p> <p>3 consulting services for developing business plans of forest for MSMEs to participate in trade events and increased added value of incentivized forests (6 months each)</p> <p>2 consulting services to implement promotional campaigns of forestry products from the national forest incentive programs (PINPEP, PINFOR y PROBOSQUE).</p> <p>Update the systems of promoting trade of forest products from the national incentives programs (E - COMMERCE FOREST)</p>			
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SUBTOTAL					600200	
Studies/analysis	Floristic characterization of strategic forest ecosystems.	Identify the direct involvement in restoration activities, water protection and hydric recharge.	6	30000	180000	2017-2018
	Determination of economic valuation of forest fires damage in Guatemala.	Specific values in currency losses in natural forests and plantations, for damages caused by forest fires in different ecosystems of Guatemala. These will be useful for monitoring criminal proceedings and others who are required by the various competent authorities.	1	15000	15000	2017-2018
	Assessment of chemical insecticides to control Hipsiphylla grandela in forest plantations.	Evaluation of chemical insecticides against the larvae of this Lepidoptera, causing economic losses by deformation of the main apex of young trees.	1	10000	10000	2017-2018
	Evaluation of integrated pest management of sawfly in forest plantations.	Evaluation of IPM against larva of this hymenoptera because the economic lost for the death of trees at young age.	1	12000	12000	2017-2018
	Evaluation of pheromonal attractant for pine beetle in Guatemala.	Evaluation of the presence of pine weevil nationwide, elaboration of	1	18000	18000	2017-2018

		appearance calendar in the coverage areas of pine.				
	Characterization of agroforestry systems used in Guatemala, specifically in the various Forest Regions of the country.	For this, 18 consultation workshops would be needed (at least 2 per region). Manual design of the technical specifications of the different agroforestry systems characterized.	1	80000	80000	2017-2018
	Processing databases of PINFOR and now PROBOSQUE (systematization of geospatial data bases)	Strengthen capacities of the Forest Information System technical team, linked to forestry incentive programs, computer equipment, high-capacity server memory to link this system with all the central and regional INAB systems.	1	20000	20000	2017
	Design of the PROBOSQUE Monitoring System (monitoring, certification through UAVs)	Operating system and monitoring equipment with UAVs	1	40000	40000	2017-2018
	Update of the National Strategy for Linking Forest - Industry - Market for promoting industrialization and comercialización of forest products from incentive forests (PINFOR, PINPEP and PROBOSQUE).	Update studies for the strategy.	1	18000	18000	2017-2018

	Updating the Strategy for Sustainable Production and Efficient Use of Wood for reducing forest degradation.		1	18000	18000	2017-2018
	Estimation of the recovery of water and soil in potential areas for forest landscape restoration.		1	15000	15000	2017
	Consultancy services to support approval and certification new incentive territories.	Support certification process (25 consultants * 2 years 12 months) (7.6 exchange rate) (9,000 salary including per diem)	25	28421	710525	2017-2018
	Hiring consultants to promote and support the new incentivized areas with PROBOSQUE	Increase the number of people who know about PROBOSQUE, as well as the number of activities entered by communities with poverty and extreme poverty conditions (1 technician per region)	9	28421	255789	2017-2018
SUBTOTAL					1392314	
Material design and dissemination, printing, etc.	Design and reproduction of extensión materials (natural forest, forest fires, forest pests, good forest management practices, plantations)	Facilitate the training and technical advice to foresters to support the implementation and monitoring of PROBOSQUE	3	18667	56001	2017

	Editing and printing of PROBOSQUE Law, Regulations, manuals and guides.	6000 Law 6000 Regulation 12000 manuals for restoration 12000 FONABOSQUE manuals 12000 Guides for Compensation mechanisms for ecosystem services 12000 Manual criteria and technical parameters for each PROBOSQUE modality.		210000	2017
	Printing posters, leaflets, manuals, radio spots on forest fires.	To raise awareness to consider preventive activities (print and broadcast materials in local languages)		10000	2017
	Printing posters, leaflets, manuals, radio spots on forest pests.	Print and radio promotional material for warning in case of emergence of national forest pests.		10000	2017
	Design and printing of technical documents (guide of flora of different forest ecosystems)			50000	2017

	Design and printing of promotional material about the compensation mechanisms for ecosystem services (brochures)				10000	2017
SUBTOTAL					346001	
Equipment	Equipment for multiparameter water quality (pH , conductivity , dissolved oxygen , solids, T ^a , etc.		1	17000	17000	2017
	Materials for monitoring and establishment of permanent plots, plantations and natural forests (platelets and aluminum nails, paint, PVC pipes, corrugated and flat iron, cement).	Generate information on the dynamics of growth and productivity of forests, through monitoring of permanent plots in species of interest to PROBOSQUES.			22000	2017-2018
	Forestry equipment for research. (4 sets) densitometer, increment borer, tape measure, diameter tape, clinometer, compass, portable data logger, temperature- monitoring devices ibutton, gps.	Provide equipment for data collection in the field for research.			25000	2017-2018
	Electric plants		32	2000	64000	2017-2018
	700VA UPS with Voltage Regulator		320	90	28800	2017-2018
	Multifunctional printers		2	500	1000	2017
	Computers (lap tops)		11	1500	16500	

Desk computers		1	7500	7500	
4 metal file drawers		10	1000	10000	
External hard drives		2	200	400	
Professional camera		1	1000	1000	
Equipment for monitoring in the field.				308000	2017-2018
Computers for the regions and subregions		230	1000	290000	2017
Audiovisual equipment for regions and subregions		40	800	32000	2017-2018
GPS for regions and subregions		150	600	48692	2017-2018
Tools and equipment for forest fires and forest pests	Equipment for at least 5 protected areas (national parks), which do not have specialized in works of prevention and control forest fires.			26593	2017-2018
Equipment for capacity expansion and updating of systems verification and control of forest cover	Servers, storage, communication equipment, licensing.			100000	2017-2018
SUBTOTAL				1070485	
Monitoring activities in the five REED+ regions				91000	
SUBTOTAL				91000	
TOTAL				3500000	

COMPONENT 4: MONITORING SYSTEMS FOR FORESTS AND SAFEGUARDS (preliminar costs for three monitoring centers in the REDD+ regions)						
Type of activity	Activity	Objective	Cuantity	Unitary cost (US\$)	Total cost (US\$)	Period
Strengthening of the nine regions nationwide	Training, linkages of community monitoring systems with the National MRV system, human resource				170,000	2017-2008
Equipment to strengthen regional centers	Equipment, hardware , software , facilities				46700	2017-2009
	Monitors for the workstations				22500	2017-2010
	Laptops				25000	2017-2011
	UPS for workstations				13500	2017-2012
	Multifunctional printers				7200	2017-2013
	GPS				15000	2017-2014
	Compact camera				8100	2017-2015
	External hard drives				13000	2017-2016
	Other miscellaneous equipment				9000	2017-2017
Strengthening monitoring through data collection in the field					500,000	2017-2018
Support of community monitoring	Equipment and capacity building				170000	2017-2018
TOTAL					1,000,000	

Anexo No. XI Road map that calls for completion in July 2016 of the emissions reference scenarios at the national level.

Gobierno de Guatemala



Proceso Nacional REDD+

Plan de Trabajo 2016: Desarrollo Niveles de Referencia y sistema de monitoreo, reporte y verificación

Actividad	Tarea	Responsable	Marzo				Abril				Mayo				Junio				Julio						
			4-Mar	11-Mar	18-Mar	25-Mar	1-Apr	8-Apr	15-Apr	22-Apr	29-Apr	6-May	13-May	20-May	27-May	3-Jun	10-Jun	17-Jun	24-Jun	1-Jul	8-Jul	15-Jul	22-Jul	29-Jul	
Niveles de Referencia																									
Congresión con el INGEI	Recopilación de la base de datos del último INGEI	Jorge Mario MARN																							
Deforestación	Corrección de los mapas de dinámica LEDS	Edson MAGA																							
	Validación de clases de cambio	Edson MAGA																							
	Elaborar contenidos de carbono de usos post-deforestación	Anita PNUD																							
	Recálculo de biomasa con los tres métodos concordados (parámetricos)	Danger CONAP																							
	Mapa de estratificación con contenidos de carbono de usos post-deforestación	Danger CONAP																							
	Calculo de los resultados del NREF de deforestación	Adalberto CONAP,																							
	Redacción de informes finales de los técnicos	Técnicos																							
	Reducción de la metodología	Winrock																							
Aumentos	Calibración de los polígonos con ortofotos y Google Earth	Rolando INAB																							
	Calcular el área de plantaciones iniciadas por año y tipo de bosque	Rolando INAB																							
	Definir los factores de remoción	Rolando INAB																							
	Calculo de los resultados del NREF de deforestación	Michelle INAB																							
	Redacción de informes finales de los técnicos	Técnicos																							
	Reducción de la metodología	Winrock																							
Degradación de incendios	Calibración con datos de MODIS	Silvia y Hiwot CONAP																							
	Validación con ortofotos y Google Earth	Silvia y Hiwot CONAP																							
	Determinación de factores de emisión de incendios	Silvia y Hiwot CONAP																							
	Calculo de los resultados del NREF de degradación por incendios	Adalberto CONAP																							
	Redacción de informes finales de los técnicos	Silvia y Hiwot CONAP																							
	Reducción de la metodología	Winrock																							
Degrado de tala y leña	Llenar áreas de vacío (San Marcos) con imágenes ASTR	Miguel INAB																							
	Rehacer el análisis CLASLite año por 2000-2013	Miguel INAB																							
	Elaborar mapas de datos SIFGUA	José PNUD																							
	Validar el análisis CLASLite con datos de SIFGUA	Miguel INAB																							
	Validar con datos del inventario de 2002-2003	Miguel INAB																							
	Investigar posibilidades de asignar factores de emisión	Michelle INAB																							
	Calculo de los resultados del NREF de degradación por incendios	Michelle INAB																							
	Determinación sobre la inclusión de esta actividad dentro de los niveles de referencia	GIMBUT																							
	Redacción de informes finales de los técnicos	Técnicos																							
	Reducción de la metodología	Winrock																							
NREF/NPF	NREF/NPF	Todos																							
Viajes	Visita de Winrock																								