

# ***Readiness Preparation Proposal (R-PP)***

***for Country: GUATEMALA***

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***For use by countries for submitting a  
Readiness Preparation Proposal (R-PP)***

**Forest Carbon Partnership Facility (FCPF)**

**United Nations REDD Programme (UN-REDD)**

Note: This is the same R-PP template as December 22, 2010  
with a few minor updates highlighted in yellow.

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NOTE: The phrases or paragraphs highlighted in yellow indicate additions or changes made after August 30<sup>th</sup> when the comments made by the TAP. Yellow phrases or paragraphs also indicate the amendment made by September 30<sup>th</sup>, prior the Tenth Meeting of the Participant Committee (PC10) of the FCPF.

The phrases or paragraphs highlighted in yellow indicate additions or changes made from October 19<sup>th</sup>, 2011 to January 10<sup>th</sup>, 2012, date to resubmit the R-PP for review during the Eleventh Meeting of the Participant Committee.

**Note:** The phrases or paragraphs highlighted with light blue indicate additions or changes made after February 2<sup>nd</sup>, 2012, when TAP's comments were received and before March 2<sup>nd</sup>, 2012, deadline to send amendments, prior to the Eleventh Meeting of the of the FCPF's Participants Committee (PC 10).

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## Summary of the R-PP

Dates of R-PP preparation (beginning to submission):	August 1 2011 – October 2014
Expected duration of R-PP implementation (month/year to month/year):	3 years
Total budget estimate:	US\$ \$10,204
Anticipated sources of funding:	from FCPF: from UN-REDD: National government contribution: other source: other source:
Expected government signer of R-PP grant request (name, title, affiliation):	Roxana Sabenes Garcia Minister
Expected key results from the R-PP implementation process:	Outcome 1) Participation and consultation structure established and working Outcome 2) Information on conditions of forests and territories with identified REDD feasibilities Outcome 3) Defined baseline Outcome 4) MRV System designed

## Executive Summary

Guatemala's Readiness for REDD+ began with the delivery and adoption of the R-PIN in March 2009. However, it was not until some months later, when the technical discussion for the conceptual understanding of the subject was held that marked the beginning of a two year effort to organize the delivery of this R-PP draft.

This document contains, in synthesis, the elements that are considered most important for Guatemala's REDD+ Readiness. It has been built through the efforts of the Government institutions associated with the country's environmental - forestry sector, but also with the technical and financial support of some civil society organizations. Although the process has taken longer than expected, there is now a better understanding of the subject in the country, an increasing number of stakeholders and institutions are involved, as well as some progress in several issues related to REDD+.

With the preparation of the R-PP there is a work path to follow over the next three years, to reach the expected goal: be ready as a country for a REDD regime. Therefore, the major activities that the country shall carry out have been identified, as well as the timetable and budgets needed to fulfill them. As in any planning process, the R-PP is flexible and the activities that are planned may be susceptible to change over time, as progress is made in the process and each of these actions have taken place.

One of the core values that the REDD+ Readiness process has for any country, but especially for a country so culturally diverse and socially fragmented as Guatemala, is the fact that a participatory and equitable process is being proposed, which has already motivated the dialogue among relevant stakeholders, and it is expected that as progress is made, the dialogue will become stronger and structured. At the **end of the** preparation, this will be an invaluable product for Component 1, for which there are activities proposed such as the creation of a coordination effort for structure and participation, a structure for consultation to ensure that all relevant stakeholders involved in REDD+ National Strategy participate in an effective manner and that their interests and concerns are addressed in this strategy.

Component 2 has embodied all those actions directly related to the construction of a REDD+ National Strategy from the generation of basic information and a diagnosis of the current situation of the forests, their governance, policy and national rules, to the specific proposals to ensure that the implementation of the strategy is feasible and to achieve the ultimate goal which is reducing deforestation and contributing to the climate, by reducing emissions from the forest sector.

**The development of a reference scenario is necessary for the assessment of emission reduction targets. This is basically defining** the baseline on which the results of the implementation of REDD+ activities will be measured. However, the construction of this national reference scenario is not simple, especially when there are no previous experiences to set the path. Guatemala has acquired some input and progress on the construction of a sub-national baseline in the Tierras Bajas del Norte (TBN), being a region of the country with heavy forest cover and a level of information generated, which has helped to pave the way. However, the generation of additional information has been necessary, resulting in increased economic and social costs for the stakeholders.

Based on the experience of the reference scenario TBN, Guatemala has chosen the sub-national REDD+ implementation as an interim measure, with the goal over time of having a single national reference scenario, built from the sum of sub-national scenarios. The activities to achieve this goal and the compatibility of the various sub-national scenarios into one national scenario, is proposed in Component 3.

Component 4 reflects the activities that are necessary to establish a robust and transparent National Monitoring, Reporting and Verification System, as agreed in the UNFCCC. This is a component that will require a lot of technical experience, as well as appropriate methodologies, transfer of technologies,

training, equipment and instrumentation, as well as institutional arrangements for the management of the system.

As in all planning processes, a minimum breakdown of activities, the allocation of budgets and schedules for the fulfillment of goals is necessary. This exercise has been carried out for each of the components individually and is consolidated in Component 5 of the proposal, schedule and budget.

Finally, Component 6 proposes a monitoring and evaluation program of all the actions considered for Guatemala's REDD+ Readiness process to monitor progress, feedback, and adjustment when necessary.

It is considered that Guatemala's REDD+ Readiness process will take approximately three years, from August 2011, until probably October 2014. The estimated total budget is US\$ 5,344,000.

## **EXPLANATORY NOTE**

During the first technical discussions carried out to deal with the Guatemala's REDD+ Readiness process, we took into consideration that the necessary work to achieve the reduction of deforestation which is reflected in GHG emissions reductions would be vast and complex. Deforestation covers structural aspects of the country related to public policy, social participation, traditional practices, poverty, etc. and is not only related to the forest sector itself, but to other sectors and among them, those that contribute to the reduction of forest cover.

The scope of REDD+ is quite specific, it is limited to only a fraction (carbon) of all forest contents and what it represents for the people and the environment. In addition, reducing a country's deforestation rate has big implications, hence, Guatemala feels that the effort entailed in REDD+ Readiness is also useful for wider nation-building, which, besides REDD+ includes other mechanisms and incentives that contribute to the goal of reducing deforestation and involve benefits for those who depend on forests. To put much effort into conceptual and methodological definition would make little sense, due to the fact that international negotiations are still unclear.

It is for this reason that the readiness process described in this proposal, sometimes can have a broader approach than REDD+, as we intend that the readiness work will provide inputs to build not only a REDD+ strategy, but a National Strategy to Reduce Deforestation (ENRD), providing instruments and various alternatives for reducing pressure on forests and increase the value of those forest, so that they increase in quantity and quality over time, and become important resources for the development of the country.

Thus, when the document refers to the readiness process of the ENRD, it is necessary to bear in mind that this process is broader than REDD+, and it includes actions necessary to design and implement REDD+ activities in the country.

## Acronyms the country uses in the R-PP

	DESCRIPTION
<b>AGEXPORT</b>	Guatemala's Exports Association
<b>BANGUAT</b>	Banco de Guatemala
<b>CARE</b>	Non-Governmental Organization
<b>CATHALAC</b>	International entity promoting sustainable development in Latin America & the Caribbean
<b>CDM</b>	Clean Development Mechanism
<b>CEA</b>	Center for Environmental Studies
<b>CECON</b>	Center for Conservation Studies
<b>CEH</b>	Historical Clarification Commission
<b>CIAT</b>	International Center for Tropical Agriculture
<b>CICC</b>	Climate Change Intergovernmental Commission
<b>COCODE</b>	Communitarian Development Council
<b>COMUDE</b>	Municipal Development Council
<b>CONAP</b>	National Council for Protected Areas
<b>CONESFORGUA</b>	National Council for Sustainable Forest Management Standards
<b>CONRED</b>	National Coordinator for the Reduction of Disasters
<b>COP</b>	Conference of the Parties
<b>DIPRONA</b>	Nature Protection Division
<b>ESMF</b>	Environmental and Social Management Framework
<b>FAO</b>	Food and Agriculture Organization of the UN
<b>FAUSAC</b>	Faculty of Agronomy, Universidad de San Carlos de Guatemala
<b>FCA</b>	Fund for the Conservation of Tropical Forests
<b>FCPF</b>	Forest Carbon Partnership Facility
<b>FDN</b>	Nature Defense Foundation
<b>FLACSO</b>	Latin-American Faculty for Social Sciences
<b>FONACON</b>	Fund for Nature Conservation
<b>GBByCC</b>	Forests, Biodiversity and Climate Change Group
<b>GCI</b>	Inter-Agency Coordination Group
<b>GF</b>	Forest Union
<b>GFP</b>	Growing Forest Partnerships
<b>GHG</b>	Greenhouse Gas
<b>IARNA/URL</b>	Agriculture, Natural Resources and Environment Institute of Universidad Rafael Landívar
<b>IDB</b>	Inter-American Development Bank
<b>IGN</b>	National Institute of Geography
<b>IIA</b>	Environmental Incidence Institute
<b>ILO</b>	International Labor Organization
<b>INAB</b>	National Institute of Forests
<b>INE</b>	National Institute for Statistics
<b>INSIVUMEH</b>	National Institute of Seismology, Volcanology and Hydrology
<b>IUCN</b>	International Union for Conservation of Nature
<b>LULUCF</b>	Land Use, Land-Use Change and Forestry
<b>MAGA</b>	Ministry of Agriculture, Livestock and Food
<b>MARN</b>	Ministry of Environment and Natural Resources
<b>MICCG</b>	Indigenous Bureau on Climate Change of Guatemala
<b>MINEX</b>	Ministry for Foreign Affairs

<b>MINFIN</b>	Ministry of Finance
<b>MP</b>	Attorney General's office
<b>MRV</b>	Monitoring, Reporting and Verification
<b>NFP</b>	National Forest Program
<b>NPV</b>	Nature for Life Foundation
<b>ORNL</b>	Oak Ridge National Laboratory
<b>OTECBIO</b>	Technical Biodiversity Office
<b>PAFG</b>	Forest Action Plan for Guatemala
<b>PARPA</b>	Agro Food Productive Restructuring Support Program
<b>PINFOR</b>	Forest Incentive Program
<b>PINPEP</b>	Incentive Program for Small Landowners of Forest or Agro Forest Land
<b>PPAFD</b>	Direct Forest Support Program
<b>RA</b>	Rainforest Alliance
<b>REDD</b>	Reducing Emissions from Deforestation and Forest Degradation
<b>REDD+</b>	Reducing Emissions from Deforestation and Forest Degradation; conservation, the sustainable management of forests and enhancement of forest carbon stocks in developing countries
<b>RL/REL</b>	Reference Level/ Reference Emissions Level
<b>R-PP</b>	Readiness Preparation Proposal
<b>SEGEPLAN</b>	Planning and Programming Secretariat of the Presidency
<b>SESA</b>	Strategic Environmental and Social Assessment. The SESA is defined as a series of analytical and participative approaches which seeks to integrate environmental and social consideration in policies, plans and programs (PPP) and evaluate interrelations with economic, political and institutional considerations. "SESA can be described as a family of approaches which use a variety of tools, instead of sole criteria to establish, prescriptive".
<b>SIG</b>	Geographic Information System
<b>SIGAP</b>	Guatemalan System for Protected Areas
<b>SIPECIF</b>	National System for Prevention and Control of Forest Fires (The Forest Dialogue)
<b>TFD</b>	Small and Medium Enterprises
<b>SME</b>	Small and Medium Enterprises
<b>ToR/TDR</b>	Terms of Reference
<b>UNFCCC</b>	UN Framework Convention on Climate Change
<b>UN-REDD</b>	United Nations REDD Programme
<b>UNDRIP</b>	<b>Declaration on the Rights of Indigenous Peoples</b>
<b>UVG</b>	Universidad del Valle de Guatemala
<b>WCS</b>	Wildlife Conservation Society



## Component 1: Organize and Consult Component

### 1a. National Readiness Management Arrangements

**Standard 1a the R-PP text needs to meet for this component:  
National readiness management arrangements**

The cross-cutting nature of the design and workings of the national readiness management arrangements on REDD, in terms of including relevant stakeholders and key government agencies in addition to the forestry department, commitment of other sectors in planning and implementation of REDD+ readiness. Capacity building activities are included in the work plan for each component where significant external technical expertise has been used in the R-PP development process.

#### 1a.1 RATIONALE

The responsibilities of the Guatemala Government in the management and administration of forests are shared between the National Institute of Forests (INAB), the National Council of Protected Areas (CONAP), the Ministry of Environment and Natural Resources (MARN) and the Ministry of Agriculture, Livestock and Food (MAGA).

- Ministry of Environment and Natural Resources (MARN): National focal point for the United Nations Framework Convention on Climate Change (UNFCCC), it is the governing body of the policy and environmental regulation; it ensures compliance with the regimes of conservation, protection, sustainability and improvement of the environment and natural resources. MARN chairs the National Council of Protected Areas.
- National Institute of Forests (INAB): is an autonomous agency, responsible for the implementation of the Forestry Act of Guatemala (Decree 101-96), which main responsibilities are: to implement forest policies that comply with the objectives of this law; to promote and encourage the country's forestry development; to promote research and the Academia in forestry science; to coordinate the implementation of national forestry development programs; and to implement forest regulation outside protected areas.
- National Council of Protected Areas (CONAP): is the body that regulates and manages the Guatemalan system of protected areas; It is the agency responsible for the management of biodiversity; and the regulation of forests within protected areas.
- Ministry of Agriculture, Livestock and Food (MAGA): responsible for implementing policies and strategies that promote the sustainable development of agriculture, livestock, forests, and hydro biological resources.

On June 1, 2011, the 4 aforementioned institutions, signed an " **Technical cooperation Agreement of for the sustainable management of natural resources**", aimed to establish mechanisms for coordination and harmonization of policies led by each institution, to make actions in the territory more effective; the Inter-agency Coordination Group (GCI) was created by this Agreement for the management of natural resources; thanks for this Agreement the actions carried out during the preparation process of Guatemala's REDD+ program will be coordinated and endorsed at a political governmental level. See Agreement in Annex 1a-1.

At the beginning of the readiness process, the first three institutions worked together in the understanding

of the REDD+ issues and the approach of the technical readiness process. However, taking into account the relevance and the need for participation and alignment of policies and institutional actions, MAGA was approached. In this sense, it is important to note that the MAGA, through Ministerial Agreement No. 157-2011, dated July 15, 2011, created the Climate Change Unity, which started functions in August 2011. Recently, a representative of this unit has joined the inter-institutional technical coordination team. Also, from the time the agreement was signed in June 2011, the Minister of Agriculture, Livestock and Food formed part of the High-Level coordination group.

As of August 18, 2011 (Act 01-2011), the Inter-Agency Coordination Group (GCI) approved the operational and working mechanism of this group, creating a Technical Secretariat in which the coordination process will be rotated every six months. This Secretariat is integrated by a technical representative from each of the agencies that comprise the GCI and will have a Secretary, which for the startup of operations has been delegated to the Coordinator of the National Forest Program (PFN). The Secretary will take notes, produce records, set meetings and coordinate activities emerging from the coordination. The mechanism of documentation for GCI meetings and agreements will be through Minutes, which shall be signed by the institutional authorities. According to the topics addressed in high-level meetings of the GCI, it will instruct the institutional technical teams to implement the agreed actions.

One of the work pillars of this coordination is focused on the management and conservation of forests and the mechanisms and actions to reduce deforestation and forest degradation. To build and implement a REDD+ strategy is one of the most relevant elements of the Agreement. The responsibilities that each institution will have within the GCI framework have not been agreed, however, the responsibilities regarding competence, power and responsibilities that each of these institutions have are clear; based on this, the roles and leadership will be agreed for each of the R-PP components, as one of the first steps starting from now.

Recently (November 24, 2011), as part of the readiness activities and institutional arrangements, governmental institutions involved in the GCI agreed to coordinate in a way that each one has the role of leading responsibilities associated with their powers, respectively. The distribution of the measures proposed in the R-PP, are shown in the following table.

COMPONENTS/SECTIONS		COORDINATE	SUPPORT	COMMENTS
<b>Component 1: Organization and Consultation</b>				
	1a. Readiness Management Arrangements	MARN	Technical Secretariat GCI	
	1b. Information Sharing and Early Dialogue	MARN/CONAP	Technical Secretariat GCI	
	1c. Stakeholders Consultation and Participation	MARN	Technical Secretariat GCI	
<b>Component 2: Assessment of Land Use, Forest Law, Policy and Governance</b>				
	2a. Assessment of Land Use, Forest Law, Policy and Governance	MAGA	National Forest Mapping Team (MARN, MAGA, INAB, CONAP, UVG, IARNA, FAUSAC)	
	2b. REDD+ Strategy Options	MAGA	Technical Secretariat GCI MINECO, SEGEPLAN	Will secure the involvement of MINECO and SEGEPLAN

	2c. REDD+ Implementation Framework	MARN / (SEGEPLAN)	Technical Secretariat GCI MINECO (bound to CICC)	Secure SEGEPLAN, involvement, in the future SEGEPLAN will coordinate
	2d. Social and Environmental Impacts	MARN	Technical Secretariat GCI	Promote involvement of IP and local communities
	<b>Component 3: Develop a Reference Level</b>	INAB/CONAP	National Forest Mapping Team (MARN, MAGA, INAB, CONAP, UVG, IARNA, FAUSAC)	
	<b>Component 4: Design a Monitoring System</b>			
	4a. Emissions and Removals	INAB/CONAP	National Forest Mapping Team (MARN, MAGA, INAB, CONAP, UVG, IARNA, FAUSAC)	
	4b. Other Impacts and Benefits	MARN	Technical Secretariat GCI PFN/UICN/RA	Promote involvement of IP and local communities
	<b>Component 5: Schedule and Budget</b>	MARN	Technical Secretariat GCI	
	<b>Component 6: Design a Program for Monitoring and Evaluation Framework</b>	MARN / (SEGEPLAN)	Technical Secretariat GCI	Secure SEGEPLAN's involvement, in the future. It is foreseen that SEGEPLAN will coordinate

In recent years, the civil society has developed various structures and spaces to address Climate Change and specific problems, such as forest deforestation and degradation. The National Bureau on Climate Change (MNCC) was formed in April, 2009, to reach a consensus on the Climate Change Policy, which was drawn up by the Ministry of Environment and Natural Resources – MARN. The MNCC is formed by several national and international NGOs and academic institutions, which in order to receive technical advise, submit topics or contribute in discussions invites public entities. During the discussion on national climate change policy processes involving various indigenous people organizations that formed a subgroup to this bureau to address the issues from the perspective of indigenous peoples, giving rise to the Indigenous Bureau on Climate Change of Guatemala (MICCG). Today this forum, and to a lesser extent the wider forum of the MNCC, still discuss topics related to the role of forests in adapting to CC and mitigating the GHG emissions.

The private sector, for its part, has generated initiatives mainly related to the topic of renewable energy, and on the other hand with the voluntary carbon market. In this scenario, we highlight the Association of Generators of Renewable Energies (AGER), the Institute of Climate Change (ICC) -linked to the sugar sector-, and the Western Agro-Industrial Group, which has marketed the first agro-forestry project for carbon market in rubber plantations in Guatemala.

The participation of the private Sector is critical during the preparation and implementation of a National Strategy to Reduce Deforestation (ENRD), and this is mainly defined in two ways: (a) as information facilitators and possible transfer of skills in view of the experience they have from the development of

projects for the trade of carbon credits, and (b) as land users: the exploitation of forests, agro-industrial activities (agriculture, cattle raising), mining, etc. Therefore, it is necessary to initiate dialogue and plan a strategy, from the early REDD+ Readiness stages, for the effective inclusion of the private sector in these two identified roles, and others that could be identified during the process.

## **1a.2 STRUCTURE FOR NATIONAL READINESS MANAGEMENT**

For the process of readiness and design of a REDD+ Strategy, a structure for participation, consultation and inter-agency coordination has been proposed which has already begun to operate at some of its levels. During the readiness process for REDD+ its operation is expected to expand and consolidate, but it will be gradually, due to the high diversity and complexity of the forms of organization, representation and political expression of the various groups of stakeholders, and in particular indigenous peoples and local communities.

The structure has different areas that will allow the coordination of work and ensure the participation of relevant stakeholders, to propose and carry out actions, reach consensus, and provide monitoring as well as evaluation to the readiness process of Guatemala for REDD+.

- **National level:** It consists of various forums and government bodies, such as:
  - The Socio-environmental Cabinet of the Presidency of the Republic, and the Climate Change Intergovernmental Commission (CICC), are bodies made up of the Ministers of State for coordination, harmonization and follow-up of policies and actions to address the environment and climate change, respectively.
  - The Inter-agency Coordination Group (GCI) for Natural Resource Management, consisting of the authorities of the institutions involved in natural resources management, MARN, MAGA, INAB and CONAP; the ICG has a technical secretariat which will be the body in charge of the operational actions and the link between the different structures of participation and stakeholders.
  - The Forests, Biodiversity and Climate Change Group (GBByCC), is a group of broad participation of relevant stakeholders and has been planned as the main body for joint work, dialogue and search for consensus for the readiness process in Guatemala. The GBByCC has been proposed as the main forum for dialogue, quest for consensus, and joint work for proposals at national level.
- **Regional level:** It consists of various political instances and dialogue already existing in the country. Among these are the Regional Working Groups of Climate Change, the Working Groups for Consultation and Forestry Policy, and the Co-Administrators of Protected Areas Working Groups. These working groups are expected to be linked to the national process, so that they become forums for dialogue and consensus at regional level (several departments); and will also be the link with local stakeholders in areas where they work. So far, these three working groups do not exist or operate in all regions, so during the process this will be decided with the local stakeholders which working group will be established and operational in an acceptable manner in each region, in order to be the liaison between the regional and national levels.
- **State level:** At state level the main link will be the State Development Councils, (CODEDES), seeking to maintain contact and flow of information with these councils and to work actions together, whenever REDD activities will be developed in some area within the state. The CODEDES brings together different sectors from the private sector, the Academia, indigenous peoples and local communities, Government, etc. They are regulated by the State Councils Act, which is described below.
- **Local level:** This refers to specific areas of REDD action, although there are Municipal Development Councils (COMUDES) and Community Development Councils (COCODES), the national process does not intend to go directly to each one of them, for practical reasons. However, it is expected that the various Regional Bureau and the CODEDES will be the ones

which disseminate information and directly support local processes in specific areas where REDD is going to be implemented

These areas of organization and governance of the process are presented schematically in Figure 1, which is presented below.

This structure has been modified by inputs from the stakeholders themselves who are already participating in the process, although it is considered that it is sufficiently advanced, since January, 2012, a general consultation with relevant stakeholders took place, so it could still undergo some changes. The main elements discussed were:

- Clearly define the roles and functions of the GBBByCC and the stakeholders that conform it.
- That the structure more clearly reflects how the stakeholders are involved and participates in the decision-making process.
- The Inter-Agency Coordination Group(MARN, MAGA, INAB, CONAP) must be the direct link between the GBBByCC and the Social-Environmental Cabinet and the CICC.
- Strengthening of specific mechanisms for local communities and indigenous peoples.

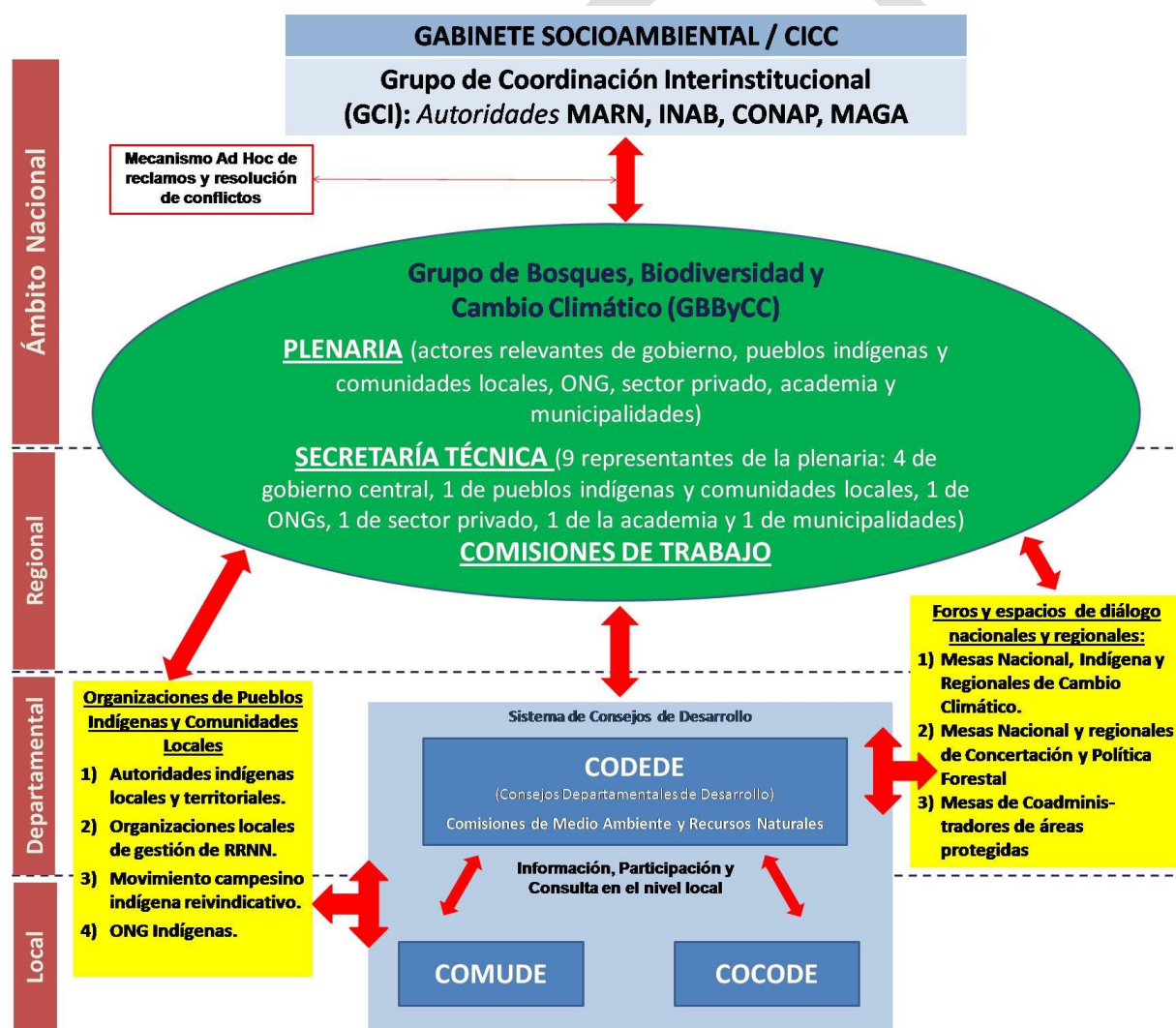


Figure 1. Governance structure, ENRD-REDD Preparation process in Guatemala

### **Consultative body: Forests, Biodiversity and Climate Change Group**

By initiative of the MARN, the *Group of Forests, Biodiversity and Climate Change (GBByCC)* was integrated in order to exchange ideas and to validate proposals regarding forests and climate change. Subsequently, it was proposed in the draft of the National Climate Change Strategy (2008), as one of the thematic working groups to follow up the actions now raised in this document.

Previously, the meetings of the GBByCC usually responded to cyclical situations during the readiness process of the country in the forests and climate change area. The Group met for the first time in 2001, in order to discuss and to validate methodologies and results of the national inventory of greenhouse gases in the sector of land use for the First National Communication on Climate Change<sup>1</sup>. Then, in 2006, by initiative of MRNA and with the support of INAB, the Group developed the national definition of forest for the Clean Development Mechanism (CDM) of the United Nations Framework Convention on Climate Change (UNFCCC). In 2009, the Group met to discuss definitions and proposals of the negotiating texts on REDD+, on the path to the Fifteenth Session of the Conference of the Parties (COP15) to the UNFCCC, held in Copenhagen, with the aim of understanding the different positions of the countries and define Guatemala's own position.

In October, 2009, a letter was sent by the Ministry of Environment and Natural Resources to various institutions and organizations working with the forestry sector of Guatemala or relate with it in some way, requesting the appointment of an institutional representative and one alternate, to formalize the participation in the GBByCC. From then on, the GBByCC was established as *the forum for discussion, formulation and validation of proposals for the national REDD+ readiness and to carry out follow-ups on international negotiations regarding forests and climate change*. In this way, the GBByCC is established as the main body of participation and consultation of the process; This will not be the only one, since as part of the process and according to the progress, it may be necessary to establish or use a specific consultative body for sectors such as **local** communities and indigenous peoples, for example.

The GBByCC is an *open participation* group for stakeholders who work, live or are related in some way to forests; It currently brings together various institutions, a detailed list is presented in Table 1. **This table also includes several stakeholders of the private sector, with which we will have to make consultations, and determine whether they are the only ones or define others in the process.**

**As can be seen in Figure 1, the different sectors will have a seat in the Technical Secretariat of the GBByCC, which has been formed as a team for the coordination of work and dialogue to be developed with all the GBByCC stakeholders; its composition was proposed as follows: 4 Government agencies (GCI), 1 indigenous peoples and local communities, 1 NGO, 1 Private Sector, 1 Academia and 1 Municipalities. This composition was agreed at the "Workshop to formalize the structure and functioning of the Forests, Biodiversity and Climate Change Group", held in February 2012 in Guatemala City; however, it has not been defined who will represent each sector, since each one must meet on their own, and decide on its representative for the Technical Secretariat of the GBByCC, who will be appointed before the MARN.**

**In order for the structure to function, it is essential to strengthen and formalize the GBByCC, as well as its links with other existing dialogue forums, through consultation with stakeholders that currently interact in it, it will be necessary to make some minimum arrangements for its functioning, principles on which the work, and participation will be based, and how the information will flow from this body of participation and consultation, to the government's political level. Below are some criteria for participation in the GBByCC**

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<sup>1</sup> Report on the state of emissions and removals of Greenhouse Gases of one country before the UNFCCC



and standards for the operation, decision-making and information flow that have been suggested by some of the stakeholders currently involved in the process, however this proposal will be raised at the plenary session of the Group and could be adjusted before being accepted by all participants.

#### CRITERIA for participation in the GBBByCC

- Representativeness/legitimacy, in this sense it is necessary to define a number of representations by interest sector, which will be defined in the following meetings of the GBBByCC
- Commitment to work and follow-up actions
- Responsibility of disseminating information to groups whom the person represents
- Link with forestry sector and others related to land-use

#### BASIC PRINCIPLES

- Positive attitude of reconciliation and search for consensus
- Respect for other views, interests and concerns of the other participants
- Search for options that are acceptable for the majority of stakeholders and the environment
- Constant, active and purposeful participation at meetings
- Commitment in the activities proposed and the follow-up outside of the meetings of the Group

#### THE OPERATION

- On the role of the participants in the GBBByCC:
  - a) Prepare proposals concerning any point related to Guatemala's Readiness Process for REDD
  - b) Review proposed basis which are presented to the plenary, express their views on the matter, make comments and suggestions for improvements
  - c) Promote and participate in the dialogue about forests and climate change
  - d) Disseminate information generated within the group to the authorities they represent and collect the points of view, as well as topics of interest and concerns of these bodies and bring them to the plenary session of the group so that they will be taken into account.
- The composition of the GBBByCC will be agreed at the following meetings, in addition, it has been suggested that depending on the composition, the group could work in small commissions to better organize the work.
- The GBBByCC meetings will be held monthly at the beginning, and when the Forum is well established and organized, they could be held bi-monthly or quarterly, as the plenary may decide.
- It will feature a Technical Secretariat conducted by institutions that lead the process (according to diagram in Figure 1), which will be the link between the government's political level and the National Body for Consultation and Participation, GBBByCC. This Secretariat shall compile all the information generated during the process, documenting the process and the agreements, transmit information among all stakeholders and promote dialogue. It will also be responsible for coordinating all actions necessary to achieve the products proposed in each component and stages of the preparation process.
- Decisions are made through dialogue and consensus within the GBBByCC, however, when there is some disagreement and consensus is difficult to achieve, the plenary could opt for other options to be defined.
- The Agreements reached must be documented in an aide memoire and transmitted to the participants in the next three days after the meeting, for comments if any, and adopted on a no-objection basis: if in the next five days after delivering the aide memoire containing the agreements nobody objects the same, these will be considered as accepted.
- Creating spaces for indigenous peoples to participate on equal terms

While participation in the GBBByCC is open, the participation and involvement of key stakeholders in the readiness process and the achievement of the objective of reducing deforestation is still needed. Some of the stakeholders that are expected to get involved as part of the process are: from the Government sector (Ministries of Energy and Mines, Agriculture, Economy and Finance, among others); from the private

sector (agriculture, livestock, tourism, mining, financial, etc.). We also expect to increase participation by direct representatives from **local** communities and indigenous peoples.

Insofar as progress in the readiness process advances, especially with the deepening of the analysis of the causes and agents of deforestation, other strategic stakeholders will be identified at the private, governmental or civil society level, who will be called upon to participate in the GBBYCC, to begin the dialogue and construction process of a participatory strategy and with the specific role of each stakeholder, achieving better accomplishment of objectives and concrete results. Therefore, it will be necessary to implement specific dialogue activities for some stakeholders (mining, agriculture, livestock, etc.) and levels (farmers, technical-institutional, high-level institutional and private sector), and determine the roles and forms of participation with each sector

A pivotal element that has been identified is the need to carry out activities at local level, to facilitate the participation of indigenous and **local** community representatives, where the use of local languages is essential.



**Table 1. Sectors and institutions that currently make up the GBBYCC.**

SECTOR	INSTITUTIONS	OTHER SPECIFICS
Government	1. <u>Ministry of Foreign Affairs (MINEX)</u> 2. <u>Ministry of Public Finances (MINFIN)</u>	
Non Governmental Organizations	National Bureau on Climate Change 3. CEMAT* 4. KUKULCÁN* 5. FDN*	National 6. FUNDAECO* 7. CALMECAC*
	8. UICN 9. RA*	International 10. TNC* 11. <u>WWE</u>
Sector Programs	12. National Forestry Program	
Academia	13. Center for Conservation Studies (CECON)* 14. Faculty of Agronomy	Universidad de San Carlos de Guatemala (USAC)
	15. Center for Environmental Studies (CEA)* 16. <u>Agriculture, Natural Resources and Environment Institute (IARNA/URL)*</u>	Universidad del Valle de Guatemala (UVG) Universidad Rafael Landívar
Local Communities and Indigenous People	17. Indigenous Bureau for Climate Change of Guatemala * 18. National Alliance of Communitarian Forestry * 19. Indigenous Authorities Network	
Private Sector	20. Association of Guatemalan Exporters (AGEXPORT)* 21. <u>Forest Union (GF)</u> 22. <u>Banking System</u> 23. <u>African Palm</u> 24. <u>Sugar Sector</u>	Western Group
<p>NOTES: The institutions/organizations that appear underlined in this table still do not participate fully in the GBBYCC. Some of them have approached the Group, and others have not yet done so, thus, we plan to approach them to encourage their integration into the group. The institutions/organizations displayed above with (*), belong to the National Bureau on Climate Change</p>		

#### Local communities and indigenous peoples in the GBBYCC:

The involvement of representatives of indigenous peoples and local communities is vital to Guatemala's preparation process due to the cultural and ethnic diversity, mainly because they have an important role in the management of the country's forest resources. In this context, the involvement of these stakeholders in the coordination team and the advisory body (GBBYCC) is being considered. Initially, three structures will be organized around forests management and administrations have been identified, these are:

- 1) The Indigenous Bureau of climate change of Guatemala (MICCG),
- 2) The Network of Indigenous Authorities and Organizations, and
- 3) the National Alliance of Community Forestry Organizations of Guatemala (Alianza OFC).

The **MICCG** is a civil non-profit entity, of a political nature, composed of Guatemalan indigenous organizations whose main objective is to promote advocacy in the formulation and implementation of laws and public policies, national and international, related to climate change and mother earth, to ensure the fulfillment of the rights of the indigenous peoples of Guatemala.

The **OFC Alliance** is an institution created by the community forestry organizations of Guatemala due to its own and spontaneous interest, conceived as a national body for dialogue, advocacy, management, liaison and community entrepreneurship. It aims to combine efforts and boost, from a country prospective, the responsible management and conservation of natural resources, through actions in the field of governance, financial mechanisms, organizational strengthening and competitiveness with cultural relevance, in such a way that environmental, economic and social benefits are achieved for families and members which make up the community forestry organizations and society in general. The OFC Alliance is comprised of eleven second level organizations which in turn gather over 300 indigenous and peasant community organizations, 77 thousand partners and more than 388,000 indirect forest beneficiaries. They are represented in the 4 types of forest in Guatemala: conifers, mixed broad-leaved and mangroves. It is estimated the OFCs represented in the Alliance manage and preserve more than 750,000 has of forest, equivalent to 17.5% of the country's forest cover, and slightly more than 50% of the extension of communal lands. Although the Alliance is a recent creation, some of the organizations that make it up have been working for more than 20 and 30 and they share and transfer their experience to newer organizations, and to the Alliance itself.

The contact with the **Indigenous Authorities and Organizations Network** has also been initiated; this is a network consisting of different expressions of legitimately recognized indigenous organizations and authorities, it is intended to be a representative body, an influential interlocutor with capacity to have influence with authorities and institutions of the State. The network is committed in the full development, within the framework of a global perspective, philosophy, and the rights of indigenous peoples, with a social, economic, political, cultural, environmental and spiritual interest. The management of the network has indicated interest in participating, and making the proposal to start a deeper dialogue with the authorities to focus their participation and also determine in what way some of their demands can be addressed during the process of preparation of a Strategy to Reduce Deforestation.

The Guatemalan Indigenous Bureau on Climate Change (MICCG) and the National Alliance of Communitarian Forestry Organizations (Alliance OFC) joined the GBBYCC at the beginning of 2011. On the understanding that there are probably other organizations not yet involved in any of these, so the work would start with them and it is expected that in this way, other relevant bodies, who have stakes in their territories and who are legitimate representatives of their community, will be identified and included in the process.

The first rapprochement meeting was held on September 5, 2011, with representatives from these three entities (attach aide memoire), in which it was determined that they want to participate in the process and where an initial agenda of joint work was agreed on, especially to review, analyze and contextualize the R-PP document, for which they formed a small committee and will hire a technical facilitator. Moreover, the participants suggested some other entities which they considered it important to involve in the process, which must be analyzed and prioritized, to determine link with other structures. With the participation and contributions of these three entities in the GBBYCC, the most effective way for the participation of **local** communities and indigenous peoples in the whole process of preparation will be planned, and through them, contact with other entities which should be convened and included and determine a legitimate, viable and accepted structure of representative participation and consultation.

In the coming weeks and months, these meetings will continue, and the work plan for the effective participation of indigenous peoples and **local** communities will be built in conjunction with these bodies.

#### **INTER-AGENCY COORDINATION GROUP AND TECHNICAL SECRETARIAT OF THE GCI**

As of November 2010, the authorities of the MARN, MAGA, INAB, CONAP initiated closer High Level coordination to jointly foster and to follow up on initiatives and actions in relation to the natural resources of Guatemala, with emphasis on forest resources, and one of its priorities is to encourage participatory design and implementation of a National Strategy to Reduce Deforestation (ENRD) where REDD+ is one of the mechanisms of incentives to reduce deforestation, **but not the only one, since both the government and other civil society stakeholders, including indigenous peoples, consider that they should promote innovative and diverse incentives to guarantee the use, management and conservation of forests and**

natural resources, taking into account their different values and principles, laws and worldview of indigenous peoples.

On June 2011 a technical cooperation agreement was signed between these institutions (Annex 1a-1), and since then, coordination with the technical team has improved, the authorities have cooperated so that some actions are supported within the institutions; it is expected that this coordination will get stronger and that the authorities keep themselves informed on the process, to support the different actions and increase information to the Socio-Environmental Cabinet and the CICC, for the involvement of other institutions and key ministries in the reduction of deforestation.

The main functions of this Inter-Agency Coordination Group(GCI), within the framework of the preparation of the Strategy, are: a) to coordinate the harmonization of conservation and protection of biodiversity policies with natural resources; and b) coordinate the implementation of policies in the field of management and administration of natural resources, for the use, management and conservation of forests and associated natural resources.

#### GCI TECHNICAL SECRETARIAT

Coordination at technical level between the three Government institutions (MARN, INAB, CONAP), with direct attributions related to climate change and forests, began in 2009, forming a Committee for the coordination of the readiness activities for REDD+. Also, the National Forest Program (NFP-FAO), the International Union for the Conservation of Nature (IUCN) and the Rainforest Alliance (RA), support this coordination, mainly by providing technical and financial assistance for some specific actions.

In March 2010, the Minister of Environment and Natural Resources convened the authorities of INAB, CONAP and the Ministry of Agriculture, Livestock and Food (MAGA), as well as the NFP-FAO (Sectorial), IUCN and RA, to express the Central Government's concern on the problem of deforestation in Guatemala<sup>2</sup>. The authorities confirmed and suggested continuity in the coordination that had been underway on a technical level, to coordinate and to supervise the design of a National Strategy for the Reduction of Deforestation, as well as to define the roles of coordination and logistics of the activities of the GBBYCC's. Also raised was the issue that the country is already making efforts to reduce deforestation, and that these should be systematized to provide a greater impulse at a political level and financial consolidation to expand their scope. This exercise will identify and systematize the lines of action that constitute the initial steps in the construction and implementation of a REDD+ Strategy.

Now, what was previously called the "Technical Coordination Committee" has become the "Technical Secretariat of the GCI" (Figure 1), which is in charge of the technical coordination and also the liaison between this advisory body and the high-level Inter-Institutional Coordination Group. The functions of this secretariat will be the documentation of the process, and logistics in the GCI and the GBBYCC, integration of planning and budgets, preparation or supervision of reports, studies, etc., as well as to coordinate and monitor the phase of pre investment for projects or specific actions.

#### POLITICAL - GOVERNMENTAL LEVEL

Here are the highest level entities of coordination and decision making in the country, which are related to the environment, forests and climate change; It is in these entities where the issue of the reduction of deforestation and the application of innovative mechanisms of incentives, such as REDD+, should be raised, so that authorities of other sectors outside the environmental and forestry sectors, make the issue their own and become involved in the process, from their own sector. This work requires hiring experts in political mediation, who facilitate approaching the Ministers and State Secretaries on the issue, inviting them to events, and meetings where the problems and possible solutions will be presented, as well as the need to work together and obtain the commitment of all sectors with regard to achieving the goal of the National Strategy.

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<sup>2</sup> Aide Memoire of meeting is found in Annex 1a-2.

## **CLIMATE CHANGE INTERGOVERNMENTAL COMMISSION – CICC**

The CICC is coordinated by the Vice President and is composed of nine Ministries, three secretariats, CONAP and the National Coordinator for the Reduction of Natural or Manmade Disasters (CONRED), it is a governmental inter-institutional body of a temporary nature.

It was created by Government Agreement No. 253-2009 (Annex 1a-3), which stipulates its temporary nature with an expected duration of four years. Its responsibilities will be focused on the promotion of policies, strategies and actions to reduce the negative impacts of climate change in the country and improve the adaptability of vulnerable populations, through the incorporation and implementation of these actions in the Strategic and Operational Plans of all the government's institutions; encourage improvements in the regulation and proposals for new legislation, focusing on the protection of the climate system; Moreover, the CICC is responsible for analyzing and reporting to the Implementation Agency on the decisions that the UNFCCC takes.

### **GBByCC and the Climate Change Intergovernmental Commission:**

In March 2011, the CICC integrated the thematic groups and resolved that the GBByCC would be part of the CICC, as a thematic group for forests, biodiversity and climate change.

From here on, direct coordination with the Commission is expected through the institutional representatives, to have the political endorsement of the country's different sectors as regards the proposed actions. In this way, the role of the CICC in the management of the national Readiness Strategy for REDD+ is very important and strategic, being a public Intersectorial political integration body where discussion and decisions are made regarding climate change; likewise, it is expected that through this entity the Government will make arrangements to fund the strategy.

One of the key stakeholders within the CICC, has been the Ministry of Planning and Programming of the Presidency (SEGEPLAN), because it has instructed to all involved institutions to include the climate change variable in its annual strategic and operational planning. By linking the GBByCC to the CICC we expect to establish a direct link with the SEGEPLAN, and that an official representative from SEGEPLAN would be part of inter-institutional coordination in Guatemala's REDD readiness process and in the construction of a National Strategy to Reduce the Deforestation (ENRD). Promoting the participation of SEGEPLAN in this initiative is one of the next steps in the process that Guatemala has already begun.

## **SOCIO ENVIRONMENTAL CABINET**

In addition to its thematic relation with the CICC, the readiness process for the REDD+ Strategy is also linked to the work of the Socio-Environmental Cabinet in Guatemala, a body established by Governmental Agreement No. 128-2008 on May 06, 2008, *"for purposes of coordination of the design and management of policies and actions in social and environmental matters, we hereby create the Specific Socio-Environmental Cabinet", as a high level entity which primary purpose is the promotion and achievement of social development and the protection and improvement of the Nation's environment*" (Article 1).

Therefore, it works in a well-structured body of medium to long-term objectives, instruments, goal population and a results-based public management system. The Cabinet is a forum to which each institution submits its medium and long-term institutional goals, subsequently reporting their progress. Other functions of the cabinet can be found in the Governmental Agreement previously mentioned (Annex 1a-4).

It is composed of 18 staff members: the Vice-President, who heads and coordinates it; the Minister of Public Health and Social Assistance, the Minister of Education, the Minister of Labor and Social Welfare, the Minister of Public Finance, the Minister of Communications, Infrastructure and Housing, the Minister of Culture and Sports, the Minister of Environment and Natural Resources, the Minister of Agriculture, Livestock and Food, the Minister of Energy and Mines, the Secretary for Planning and Programming of

the Presidency (SEGEPLAN), the Secretary for Food Safety and Nutrition of the Presidency, the Secretary of Executive Coordination of the Presidency, the Social Works Advisor of the First Lady, the Secretary of Social Welfare for the Presidency, the Presidential Secretariat for Women (SEPREM), the Director General of the National Youth Council (CONJUVE) and the Coordinator of the Commission Against Discrimination and Racism (CODISRA).

In the coming months, the design proposal of the REDD+ Strategy will be linked to the Socio-Environmental Cabinet, which together with the CICC will provide political support and the link with other sectors outside the environmental sector, to establish dialogues in order to achieve the objective that is the aim of this process: reduce deforestation in Guatemala and improve the value of forests as a livelihood for populations that depend on them, and for the country's development.

In addition to the internal work of the Executive Body that is proposed in the preceding paragraphs, to achieve the implementation of the Strategy and the goal of reducing deforestation, it is probably necessary to amend some regulations, laws, policies or institutional or national strategies which will be essential to the dialogue and joint work with teams from the Legislative Body (the Congress). Due to the independence of powers in the country, this is a task to be carried out at political level which will require the hiring of expert advisers to facilitate dialogue and coordination in the cases that require it.

### **ACTIVITIES PROPOSED TO IMPROVE THE INSTITUTIONAL ARRANGEMENTS FOR READINESS MANAGEMENT**

To strengthen inter-institutional coordination and advance in the design of the National Strategy to Reduce of Deforestation, we propose to carry out the following actions:

1. **Community Outreach and validation of the Plan Draft for (R-PP) preparation**  
RESPONSIBLE PARTY: MARN-INAB-CONAP-MAGA  
PARTICIPANTS: Members of the GBBYCC  
TIME: Carried out in January 2011 and September 2011, comments incorporated in this version.
2. **Formalization of the GBBYCC as one of the technical working groups of the CICC**  
FOLLOW-UP BY: MARN  
TIME: First quarter 2011  
THIS IS AN ACHIEVED GOAL.
3. **Signature of a letter of understanding between the institutions that coordinate the readiness process, which sets forth:**
  - a. The disposition of each institution to work in a joint and coordinated manner, in the design of the process and subsequent implementation of the National Strategy to Reduce Deforestation.
  - b. The role and functions of each of the institutions throughout the process.INSTITUTIONS: MARN, MAGA, INAB, CONAP.  
TIME: Agreement signed in June 2011.
4. **Link of the Readiness Process for REDD+ Strategy with the Socio-Environmental Cabinet.**  
FOLLOW-UP BY: MARN  
TIME: Second quarter 2012
5. **Initiation of the consultation process and work strategy with private Sector (Forest, Agro-industrial Products Exporters, Cattle Farmer's Associations, etc.)**  
FOLLOW-UP BY: MARN  
TIME: Second quarter 2012

With the aim of establishing the necessary institutional arrangements to coordinate and carry out the readiness process for REDD+ in Guatemala, there will be meetings and workshops, at different levels and

with different aims, as described below:

- Coordination meetings with decision makers of the institutions, so that these delegate to the technical team, who will be responsible for coordinating the design of the REDD+ Strategy, as well as to define the roles of each institution in the process
- Coordination meetings with the technical teams that will carry out the actions proposed in this plan, for allocation of tasks and progress evaluations.
- Meetings and workshops to the community outreach of the progress and feedback with the Forests, Biodiversity and Climate Change Group.
- Workshops to the community outreach and consultation of the work plan and progress, with other key stakeholders to be defined in the process.

**5. Identify and characterize the organization of indigenous peoples and local communities dependant on forests, using 4 categories as a basis:**

- a. Indigenous local and territorial authorities.
- b. Local organizations for community development and natural resources.
- c. Farmer associations (ADRI, Agrarian Platform).
- d. System of development councils (especially departmental, they have 2 indigenous representatives and the farmer sector also has 2).

FOLLOW-UP BY: MARN

TIME: First quarter 2012.

<b>Table 1a: Summary of National Readiness Management Arrangements Activities and Budget</b>						
<b>Main Activity</b>	<b>Sub-Activity</b>	<b>Estimated Cost (in thousands US\$)</b>				
		<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>Total</b>
Structure Consolidation	Political facilitation of high-level (Ministers, deputies, etc.)	12	50	50	20	132
	Technical facilitation of workshops, meetings, etc.	7	22	22	22	73
	Meetings	1	3	1	1	6
Management of Readiness Structure	Readiness Process Coordinator	30	30	30	30	120
	Workshops and meetings	10	10	5	5	30
	Communications and publications	5	10	3	3	21
<b>Total</b>		<b>65</b>	<b>125</b>	<b>111</b>	<b>81</b>	<b>382</b>
Domestic Government						0
<b>FCPF</b>						0
UN-REDD Programme (if applicable)						0
Other Development Partner 1 (RA)						0
Other Development Partner 2 (GFP/FAO/UICN)						0
Other Development Partner 3 (UICN)						0
Other Development Partner 4 (CCAD-GIZ)						0
<b>Total</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>



## **1b. Information Sharing and Early Dialogue with Key Stakeholder Groups**

[note: former component "1b Consultation and Participation" has been divided into two new subcomponents: "1b" as shown here (for early stages, pre-consultation); and "1c Consultation and Participation Process" (which contains most of the former 1b material)]

### **Standard 1b the R-PP text needs to meet for this component: Information Sharing and Early Dialogue with Key Stakeholder Groups**

The R-PP presents evidence of the government having undertaken an exercise to identify key stakeholders for REDD-plus, and commenced a credible national-scale information sharing and awareness raising campaign for key relevant stakeholders. The campaign's major objective is to establish an early dialogue on the REDD-plus concept and R-PP development process that sets the stage for the later consultation process during the implementation of the R-PP work plan. This effort needs to reach out, to the extent feasible at this stage, to networks and representatives of forest-dependent indigenous peoples and other forest dwellers and forest dependent communities, both at national and local level. The R-PP contains evidence that a reasonably broad range of key stakeholders has been identified, voices of vulnerable groups are beginning to be heard, and that a reasonable amount of time and effort has been invested to raise general awareness of the basic concepts and process of REDD-plus including the SESA.

In Guatemala, the consultation process began mainly at technical and institutional level, first to understand the issue and to create the minimum capacity, which would allow the alignment of actions of the theme with existing policies, guidelines and institutional procedures. This is a first phase for the conceptualization of REDD+ and the ways of addressing the theme; to then begin a broader process of information and subsequent consultation at national level. The dynamics of the forest sector in the country, the structures and platforms of dialogue that has generated the forestry policy and protected areas allowed that during the events of this phase, other stakeholders of civil society, local communities and indigenous peoples become involved. This process includes:

### **INITIAL TECHNICAL WORKSHOPS**

During the last quarter of 2009, three technical consultation workshops were carried out based on the R-PP format, where representatives of government institutions and non-governmental organizations were familiarized with the R-PP format and the requirements for each component, in order to obtain inputs that contribute to the initiation of the R-PP document draft. Moreover, these workshops were aimed at gathering information on the country's situation, and how each of the R-PP components must be viewed from a national level. Due to financial resources available, and the limited time, four components were addressed, prioritized due to the difficulty in understanding their scopes, therefore, a discussion with experts was considered necessary to unify criteria on how to address them. The components addressed at that time were: 1) evaluation of land use, forest policy and governance; (2) REDD Strategy options; (3) Develop a baseline scenario; (4) Design of a monitoring system, these two last components were addressed in a workshop. The two significant results in these consultation workshops were: 1) Key stakeholders were informed on the REDD+ process; (2) Stakeholders Brainstorming on how the construction process of the National Strategy for the Reduction of Deforestation should be conducted, especially in the specific topics consulted. The reports of the workshops can be found in Annex 1b-1.

### **BASIC OUTREACH ON FORESTS AND CLIMATE CHANGE**

Resulting from the workshops previously described, and other informal meetings with different stakeholders, we have perceived different levels of knowledge and interpretation on REDD+ regarding the stakeholders, we can say that in general this happens with the climate change theme and the contribution of forests to reduce its effects. We also identified that there are different expectations, some in favor and others against REDD+. In both cases some expectations are based on partial information or based on



baseless arguments; which indicate a clear need for information and community outreach of the issues related to forests, biodiversity, communities and climate change.

Pursuant to the above, it is considered necessary to carry out an information and community outreach process on the subject, to homologate knowledge, answer questions and provide more elements of criterion to the stakeholders for better decision-making during the consultation process. For the beginning of 2010 we planned, a series of pilot events called "Basic Outreach Workshops on Forests and Climate Change", especially addressed to organized **local** communities and indigenous peoples, as part of the OFC Alliance. During the first quarter of 2010, three of these workshops were carried out in different parts of the country.

The workshops had a duration of 1,5 days each, the content was planned in two parts: the first part presented generalities about the phenomenon of climate change, the overall framework of international negotiations, the concepts of vulnerability, adaptation and mitigation to climate change, and the second part was on the role of forests in this context, the REDD+ concept, details of the planning of REDD activities, as well as the process of elaboration of the National Readiness Preparation Proposal (R-PP). The agenda model of the workshop and the list of participants can be consulted in Annex 1b-2.

In these workshops a number of representatives from the grassroots organizations that make up the Alliance participated; **one was held for the central region (city of Guatemala), one for the western region (Quetzaltenango) and a third one for the Verapaces (city of Cobán, Alta Verapaz).** These were pilot workshops and were very useful for the Coordination Committee, responsible for the Strategy design, for the following reasons: a) it was the first contact with the topic for some of the local stakeholders, b) it let us know the concerns and insights directly from participants c) to corroborate the difference in the level of knowledge, perceptions and expectations about REDD+ and d) to learn from experience to define the most appropriate instruments to carry out the processes of information and consultation in territories, taking into account the specific elements of each region of the country (culture, language, environmental and climatic conditions, indigenous peoples, etc.). As lessons learned we can highlight the following:

- A training team dedicated specifically to this task is needed as there are certain abilities, skills, and an appropriate language necessary to transmit information. This team should promote a multiplying effect through a process of capacitating of local trainers.
- Special materials adapted to the territories are needed to support the presentation of topics.
- We learnt that in some cases the participants do not speak Spanish, which indicates the need, in developing upcoming activities, the Mayan language or simultaneous interpretation should be employed. Thus the materials will also be designed to suit the territorial scenarios.

The experience was good; the suspension responds to some logistical constraints and the definition of methods and procedures appropriate to the realities of the territories and stakeholders, which is chapter 1c topic. The costs of this process have been financed through the alignment of local initiatives, specific projects and ONG cooperation, as well as National resources. It is clear that a process of this kind demands high investments to comply with the premises of legitimate and representative participation of all stakeholders.

For Guatemala, it is very important to continue with this outreach of the subject nationally, as noted above, the transmission of factual information to stakeholders is needed, also to find a common language adapted to the realities of each territory and for each one of the stakeholders.

### **TRAINING PROGRAM FOR **INDIGENOUS AND COMMUNITY FACILITATORS****

There is a training program for facilitators currently underway, for the purpose of forming a team of facilitators, with teachers, community leaders, municipal technicians, institutional teams, etc., from different areas of the country, which will become a local support for the outreach of the topics and subsequent consultation processes. The inter-agency team MARN-INAB-CONAP found that due to their capacity and attributions, MARN and CONAP will be responsible for coordinating the stakeholders' training/information process, therefore, the training and indigenous people's authorities/offices of both

institutions have been involved in the process of developing a work plan for this facilitators' training program.

These early talks proposed a MARN-CONAP team working program for the development of learning materials, content and tools during the first semester of 2011, including the first validation of materials and tools; to have the final list of materials and formally begin the facilitators training process during the second semester 2011.

Within the framework of cooperation with the stakeholders in the process, we are in coordination with the experience been developed by Laguna Lachuá Foundation (FUNDALACHUA)<sup>3</sup> in the Lachuá Ecoregion (Alta Verapaz), in REDD+ and the possibility of a pilot project. In June 2010 (FUNDALACHUÁ) and IUCN, began preparing a methodological tool and its respective materials to train communities and local organizations on the topic of "Forests and Climate Change". The purpose of this instrument is to validate it locally in several regions of the country, so that it can be used, adapted and implemented within the framework of the national preparatory process.

Since it is a tool that is being elaborated and fed by the communities themselves, the Inter-Institutional Technical Coordination Committee has agreed with representatives of FUNDALACHUÁ that this tool will be adapted and used for the national process, based on the comments and suggestions provided by the representatives of indigenous peoples and local communities who participated in the 2011 validation workshops, and who belong to organizations currently participating in the national process.

The workshops began nationally in August 2011, to validate tools with stakeholders of the organizations involved in the process. Four workshops were carried out nationally, which trained around 120 people.

The training of facilitators in a second phase will continue in 2012, to provide them with tools that provide information in their localities, and will be based on the experiences and comments collected in the validation carried out in 2011. The program for 2012 and beyond will be worked jointly with the indigenous organizations participating in the process.

The next steps will mainly be to negotiate the funding in order to extend the process to the national level, reproduce material and translate it into other languages.

The plan is to make at least 4 training courses for facilitators in the country, covering the 9 forest regions in which the country is divided, the regions have been prioritized based on their forest coverage and dynamics. These courses will be directed at representatives of community-based organizations, indigenous peoples and local representatives, whose profile is defined in the operation manual of the instrument. The expectation is to train 100 local facilitators in 4 events. THIS ACTIVITY HAS ALREADY TAKEN PLACE; the four workshops were given in different parts of the country: 1) In Huehuetenango, covering the Western region, 2) in Sololá, covering the central western region 3) in Izabal, covering North-East and Peten, and 4) in Coban, covering the Verapaces. The next step will be for each of the facilitators to develop local skills in their territories and organizations, in the language of the locality.

This method will create a low-cost, multiplier effect throughout the country, with local representatives and in local languages. The Technical Coordination Committee and the GBBYCC will be in coordination for the monitoring and management of this process. The financial management needs to be done to ensure that

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<sup>3</sup>Laguna Lachuá Foundation was created in 2007 and is defined as an independent non-profit private non-governmental development organization composed of Associations of Producers, Second Level Development Community Councils, related to sustainable development and sustainable management of natural landscape-wide resources and who want to participate actively and altruistically in the enormous challenge of achieving a more just and supportive world in which values of equity, democracy and respect for diversity prevail.

FUNDALACHUÁ serves a population of more than 18 m 500 inhabitants, mostly ethnic Maya-Q'eqchi' in 55 communities and at least 3,200 families. It is an integral part of the OFC Alliance.

the local workshops can be conducted; the expectation is of at least one workshop for each 2 facilitators trained (about 50 local workshops).

### **DIALOGUE WITH EXPERTS AND INDIGENOUS REPRESENTATIVES**

Guatemala, which has ratified the conventions regarding indigenous peoples rights, still does not have enough positive experience in matters regarding to consultations, and it has rather become a national challenge due to different initiatives of use and management of natural resources, especially non-renewable (mining and oil) that directly affect indigenous peoples and local communities which have not implemented appropriate consultation and participation processes or have not taken into account the results of the processes that communities and indigenous peoples carried out within the framework of their own organization.

To address this issue and to define a routemap for the developing of the R-PP, the Coordination Committee, has hosted interviews with experts on indigenous peoples, as well as a representative of the Network of Indigenous Organizations and Authorities of Guatemala. (Described in Component 1a).

Those interviewed were: 1) Nicolás Pelicó, the Office of Indigenous Peoples and Civil Society of CONAP; 2) Virgil Alvarado, K'iche, who has extensive experience in multiculturalism, intercultural and sustainable development; (and 3) Higinio Pu, Manager of the Network of Indigenous Authorities and Organizations and of Guatemala. The results of the dialogues held with these people, generated some important data to be taken into account in the planning of the consultation, which are described below:

- It is necessary to systematize the information compilation and comparison scheme obtained from the interviews.
- To date, there is no standard methodology for consultation in the country. The way that it has worked, has been at local level, with tools and locally accepted methodologies which have been adapted to the needs and particularities of the place where the consultation will take place. In successful processes, the tools used have been those proposed or traditionally used by local communities.
- As expressed in International Labor Organization (ILO) Agreement 169, the principle of "free, prior and informed consent" applies in cases where indigenous territories will be affected by the project activity.
- In the opinion of some experts, the Government's obligation is to inform in advance and objectively on the plans they have, the scope and implications of them; it will depend on local communities and indigenous peoples to request additional information and a process of consultation, if they deem it necessary. The consultation process should not be proposed by the Government only to fill a requirement; it is a right of indigenous peoples.
- For consultations on REDD+ in territories of indigenous peoples and forest communities, the use of representative samples of the territories with experience in the management and conservation forests, will be useful to enable legitimate and representative dialogue and discussion. In Guatemala there are forest territories of indigenous peoples with a high level of representation and organization, who manage to mobilize large numbers of people and even other indigenous peoples outside their territories, so to count on the participation, training and feedback from the inhabitants of these territories may be key to the national process. The goal is to identify and establish the contact and dialogue with their leaders, through their own organizations and networks they have established and with organizations that work closely with them. This will be a mechanism for subsequent approaches given that there are experiences in which government institutions are not well received if they unilaterally come with preconceived ideas.
- The Network of Indigenous Authorities and Organizations of Guatemala expressed their interest to participate in the process, with the premise of maintaining their independence and calling for respect for their worldview and traditional rights. Their request is to participate in a direct relationship with the Coordinating Committee. While the process does not show progress, they have no interest in participating directly in the GBBYCC as another stakeholder. They request that their demands and interests be heard in a particular way.

These interviews have been conducted recently, therefore, the ideas or requests raised are considered in the process of definition of the R-PP, taking into account that they are valuable contributions to the consultation process that is planned to carry out.

### **STRENGTHENING OF INSTITUTIONAL CAPACITIES**

The institutional responsibilities of the members of the Coordination Committee are quite clear in terms of their job to reduce deforestation and forest degradation. In this regard, the institutional structures are created to address these issues. The REDD+ Readiness process has led to some internal adjustments in the structure of the institutions to address the issue. These have established units or specific spaces dedicated to "REDD+" or "Climate Change in general" especially to address the coordination of the readiness process; however, these are teams which are reduced to one or two people hence, there is a need to strengthen the institutions internally. There is institutional clarity that REDD+ is a complementary approach and of conceptual adaptation to the legal mandate and public policy that each institution has.

INAB and CONAP have identified an institutional agenda of climate change, to organize and align their competencies and policy guidelines.

At this stage of readiness, a process of information and training for institutional staff on the theme of climate change and forest-biodiversity is considered essential. This will be done with a design and structure oriented to the structure of each of the institutions, especially in the areas of social participation, indigenous peoples, information management and geographic systems, international cooperation, forest management, among others. This will allow institutional teams to have the adequate knowledge on REDD+, climate change and the country's readiness process, so that they can better support the process, from their respective responsibilities and their specific expertise.

In this sense, MARN-CONAP specific coordination in the field of training, **planned** three workshops for institutional technicians from MARN-CONAP-INAB-MAGA, carried out in different parts of the country to cover the technicians in the priority forest areas. These workshops were carried out during the second half of 2011, one for the region North-East in Río Dulce, Izabal; a second one for the Verapaces in Cobán, Alta Verapaz; and a third workshop for the Western region in Quetzaltenango.

### **DIALOGUE AND CAPACITY BUILDING IN OTHER SECTORS AND CIVIL SOCIETY STAKEHOLDERS**

It is clear that the involvement of many stakeholders and different sectors is needed to achieve the goal of reducing deforestation and contributing to the reduction of GHG emissions. Therefore, as part of the REDD+ Readiness Process we will establish a permanent consultation with relevant stakeholders and sectors (economy, energy and mines, agriculture and livestock, indigenous peoples, local communities, farmers associations, among others), to involve them in the activities to design the National Strategy to Reduce Deforestation, but especially to commit them to participate in actions that promote the necessary changes.

Furthermore, the capacity-building plan will be extended to other levels and government agencies, also to the areas identified as key in the deforestation and **degradation** process. This will be the second phase of capacity building: ministries of planning, finance, energy and mines, tourism, and economy; in the private sector; the agro-industrials sectors such as the sugar, African palm, livestock, tourism sectors, and local governments. At this stage, this will allow technical and content understanding of the national REDD+ proposal to ensure legitimate participation based on informed decisions, as well as ensuring valuable contributions from the experience of these stakeholders. A specific plan to address the training of these groups will be designed for this purpose. We expect to have at least one expert facilitator of the process.

### **DIAGNOSIS OF NATIONAL CAPACITIES REGARDING REDD**

For institutional strengthening at the levels described above, it will be necessary to make a diagnosis of capacities related to REDD, which will allow a more accurate design of the program for the creation and strengthening of these capacities. This would be carried out simultaneously with other actions that have already begun. It is expected that the initial support of FCPF will allow this process to be conducted.

DRAFT

<b>Table 1b. Information Sharing and Early Dialogue with Key Stakeholder Groups. Activities and Budget</b>						
<b>Main Activity</b>	<b>Sub-Activity</b>	<b>Estimated Cost (in thousands US\$)</b>				
		<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>Total</b>
Institutional Technicians Workshops	Workshop facilitators	7	20	20	10	57
	Workshops (logistics)	4	5	5	5	19
	Participants' Travel Costs	1	1	1	1	4
	Preparation and evaluation meetings	1	3	3	3	10
Information Workshops for indigenous and communitarian facilitators	Workshop facilitation	7	8			15
	Workshops (logistics)	8	10			18
	Participants' Travel Costs	2	3			5
	Preparation and evaluation meetings	1	2			3
Outreach workshops at local communitarian territories	Workshop facilitators		15			15
	Workshops (logistics)		120			120
	Participants' Travel Costs		35			35
	Preparation and evaluation meetings		25			25
Dialogue with representative s of diverse sectors (IP, local communities, private sector etc.)	Facilitation (Handling of interviews, meetings, information and systematization, etc.)	3	10	10	10	33
	Dialogue events (logistics)	1	4	4	4	13
	Participants' Travel Costs	1	1	1	1	4
	Planning and Follow-Up Meetings	1	1	1	1	4
Building and strengthening of national capacities	Diagnostic of national capacities and capacity plan	5				5
	Instrumentation for capacity building	0	15	5	5	25
	Planning meetings	2	5	2	0	9
	Communications, publications, translation to local languages	2	15	15	10	42
	Office equipment and furniture		15	10	5	30
<b>Total</b>		<b>46</b>	<b>313</b>	<b>77</b>	<b>55</b>	<b>491</b>

## 1c. Consultation and Participation Process

### **Standard 1c the R-PP text needs to meet for this component: Consultation and Participation Process**

Ownership, transparency, and dissemination of the R-PP by the government and relevant stakeholders, and inclusiveness of effective and informed consultation and participation by relevant stakeholders, will be assessed by whether proposals and/ or documentation on the following are included in the R-PP (i) the consultation and participation process for R-PP development thus far (ii) the extent of ownership within government and national stakeholder community; (iii) the Consultation and Participation Plan for the R-PP implementation phase (iv) concerns expressed and recommendations of relevant stakeholders, and a process for their consideration, and/or expressions of their support for the R-PP; (v) and mechanisms for addressing grievances regarding consultation and participation in the REDD-plus process, and for conflict resolution and redress of grievances.

### **Consultations held so far in the development of the R-PP:**

### **Proposed full consultation and participation plan: Consultation and Participation Plan**

## **RATIONALE**

As described in Component 1b, **preliminary** consultation began at technical-institutional level to understand the requirements and scope of REDD+ in the context of the reduction of deforestation, as a key element of the country's forest policy; and in addition, the limits for the preparation of the R-PP. Also, for better understanding, and addressing ideas of how to focus on the main components involved. These workshops have been described in previous paragraphs and reference documentation can be consulted in Annex 1b-2.

Moreover, the first draft of the R-PP generated at the end of 2010 was shared with a wide range of stakeholders to get feedback and comments to improve it. Thus, it also formed the basis of discussion to perform the first **outreach** workshop on the proposal, which was prepared by a team formed of various institutions and civil society organizations, under the principle of collaboration and technical support.

Hence, a **"outreach** workshop" was held on January 13, 2011, a draft was made of the readiness preparation proposal for the National Strategy to Reduce Deforestation", whose main objective was to discuss and obtain inputs to improve the first draft of the R-PP, for Guatemala.

The concept note of the workshop, the agenda, attendees list, and the consolidated feedback obtained during the activity can be viewed in Annex 1c-1. In this version, most of comments and observations that the stakeholders made at that time have been included. Those left out are mainly the ones which need to be clarified or because they are not feasible according to the reality of the country.

It is hoped that the readiness process will **allow** the proposal to be adapted as more key stakeholders are incorporated, as well as ensuring that the clarity of the approach is shared with all relevant stakeholders.



It is clear that from the first discussions in 2009, currently the understanding and the stakeholders' ownership for guiding and directing a participatory, effective and efficient strategy to reduce deforestation is greater. This is because it has been acknowledged that the current efforts in the territories are part of this strategy, and that the gaps or actions required are being identified as discussions are held in a participatory and representative manner by stakeholders of the process.

Another important antecedent was the development of the TFD forestry dialogue on REDD+ in January 2010, as part of the 5 countries that the initiative organized globally. This activity allowed the opening of the discussion among the stakeholders, on the concepts, institutional arrangements, challenges, prospects and expectations towards REDD+ in the framework of the overall discussion, and of the country's forest policy, involvement of new stakeholders and the need to build a national proposal to reach consensus to reduce deforestation. ANNEX 1c-2 includes the executive summary of the document and the conceptual documents that were used to generate dialogue, as well as country report, generated as a result of this activity can be found at [www.tfd.org](http://www.tfd.org).

This is considered an added value of the process, because while Guatemala does not yet have a fully structured process and with a financial flow, the first national capacities for the process are being created both in government institutions and stakeholders from civil society, local communities and indigenous peoples.

The next step is to work in GBBYCC thematic subgroups, some specific issues requiring being analyzed in-depth of various components of this proposal, and in particular, work on a proposal for the consultation process in a participatory manner. It is being considered that consultation and participation should be developed within the framework of the **National Strategy for the Reduction of Deforestation**, which includes the REDD+ strategy. This consultation and participation shall be based on the principles of free, prior and informed consent and in accordance with the conventions that Guatemala is a signatory, and with the national laws in an inclusive manner of all stakeholders relevant to the process, with special attention to indigenous peoples and local communities.

It will seek agreements on how the information flow will be, as well as transparent and practical methods for the compilation and systematization of information, the procedures for decision-making process, etc.

## **BASIS FOR THE CONSULTATION**

Regarding consultation and participation, Guatemala has a legal and institutional framework based on national laws and international agreements among which are the Political Constitution of the Republic of Guatemala, the Decentralization Act (Decree 14-2002), the Councils Act for Urban and Rural Development (Decree 11-2002), the Municipal Code, the Agreement on Identity and Rights of Indigenous Peoples (Peace Accords)(1996) the ILO 169 Convention, the UN Declaration on Rights of Indigenous Peoples, UN Convention on Biological Diversity, Act 3684 Initiative on Consultation of Indigenous Peoples.

These instruments raise the issue of the "Consultation with Indigenous People", " Neighborhood Consultation ", "Community Consultations", "Good Faith Consultation ", "free, prior and informed consent", "citizen participation".

With regard to participation, there is an institutional organizational framework consisting of government agencies: Secretariats, commissions, departments, units of indigenous peoples; it also has spaces for institutional advice such as the Advisory Council for Indigenous Peoples of CONAP, the Indigenous Bureau on Climate Change of Guatemala (MICCG), the National Bureau of Climate Change, the National Alliance of Community Forestry Organizations of Guatemala (Alliance OFC), the Association of Environmental Organizations (ASOREMA), which have played a role in the dialogue between the organizations of civil society, indigenous peoples and the State.

For its part, the Cancun COP-16 agreements on Climate Change on REDD+ and indigenous peoples stipulates that their rights in accordance with the statement of United Nations on the Rights of Indigenous



Peoples (UNDRIP) must be guaranteed, as well as the application of the free, prior and informed consent rule; the Parties must take into account in their national strategies and action plans, the issues of land tenure, issues of forest governance, gender mainstreaming and safeguards, ensuring the full and effective participation of stakeholders, in particular, indigenous peoples and local communities.

## INDIGENOUS PEOPLES AND LOCAL COMMUNITIES

Convention 169 of the ILO concerning Indigenous and Tribal Peoples in independent countries, ratified by Guatemala, in its article 10 sets forth that the State has the legal responsibility of consulting indigenous peoples through appropriate procedures and in particular through their representative institutions, whenever legislative or administrative measures are being considered which **may affect them directly**.

The preparation and formulation of the consultation and participation process will be carried out based on the rights of indigenous peoples and local communities and will rest on the principles of free, prior and informed consent understood for this case as a basic and fundamental element of the capacity of indigenous peoples (Maya, Garifuna and Xinka) to conclude and implement agreements or covenants which enable them to exercise their sovereignty, protect their lands, territories and natural resources, and to create and participate in processes that correct violations committed against their rights; for this reason, the right to free, prior and informed consent is essential for the establishment of conditions and criteria acceptable in processes and negotiations with the Guatemalan State in this case, when the actions could affect the territories and rights of indigenous peoples and local communities.

**Consent** means the manifestation of clear and convincing agreement, in accordance with the structures for decision-making of the Maya, Garifuna and Xinca peoples, which includes the traditional deliberative processes. These agreements require the full participation of the authorized leaders, representatives or institutions responsible for decision-making determined by the indigenous peoples themselves.

**Free** refers to the absence of coercion and external pressures, including monetary incentives and the tactics of "divide and conquer". It also means the absence of any type of threat or retaliation implied if the final decision is a "no".

**Prior** means it allows time for collecting information and for the full debate, which includes the translation into traditional languages before the start of operations or actions in this case of REDD+. There should be no pressure to make a decision, nor any temporal limitation. No plan or project can begin before this process has been completed in full and the agreement perfected.

**Informed** means the availability of all relevant information, which reflects all the opinions and points of view, including input from elders, spiritual guides and leaders, women, the young; with time and adequate resources to consider fair and balanced information about the risks and potential benefits.

### 1.1. OBJECTIVES OF THE CONSULTATION AND PARTICIPATION PLAN

#### GENERAL OBJECTIVE

To ensure the feasibility of the REDD+ Strategy, strengthening and implementing mechanisms for full and effective participation, consultation and decision-making and conflict resolution that ensure free, prior and informed consent, during the design process and its implementation, and through an inclusive and transparent process that takes into account the country's forests main stakeholders, especially all those stakeholders who may be affected positively or negatively by actions directed at towards the reduction of deforestation.

#### SPECIFIC OBJECTIVES

- Identify the main groups of **stakeholders directly or indirectly affected** by the actions to reduce deforestation, their levels of influence and predominant relationships.

- Strengthening the capacities of institutions and relevant stakeholders to the process, providing the conditions, the information and tools, so that they participate in a more committed manner and can take better decisions, during the ENRD readiness process.
- Formulate and implement a permanent mechanism of information, participation, coordination and consultation, to ensure free, prior, and informed consent, in conditions of legitimate representation, inclusive and effective participation, transparency and conciliation in matters related to the planning and implementation of the REDD+ Strategy. This mechanism must be in accordance with the national instruments related to the rights of indigenous peoples and local communities, and those international agreements ratified by Guatemala.
- Ensure the respect, recognition and practice of the rights of indigenous peoples and local communities concerning their lands and territories, natural resources, traditional knowledge, equitable sharing of benefits, in accordance with the 169 ILO Convention on indigenous peoples, the Declaration of the United Nations on the Rights of Indigenous Peoples.
- Develop and strengthen effective mechanisms for conflict resolution, which make REDD+ viable, beginning with harmonization of policies and national agendas, the consensus of interests of different stakeholders, the fair distribution of benefits, and respect for collective and individual rights.

## 1.2. PREPARATION AND VALIDATION OF THE CONSULTATION AND PARTICIPATION PLAN

The Consultation and Participation plans takes place in the context of the design of the **National Strategy for the Reduction of Deforestation** (not exclusively REDD+), by the GCI technical secretariat, with the accompaniment and the inputs of relevant stakeholders.

This plan is intended to, as noted above, establish a mechanism to report and collect the interests and concerns of major stakeholders, so that they can be taken into consideration during the planning and implementation of the ENRD.

While there have been initial technical consultations in the country and some events to outreach the topic of Forests and Climate Change (including REDD+), it is considered that the consultation process as such, only began with the R-PP draft consultation workshop, last January. However, we still do not have an agreed structure or mechanism for consultation.

For the outreach and validation of the Consultation and Participation Plan we are considering conducting a workshop nationally which will gather a broad group of stakeholders related to forests and deforestation, to inform them on the plans to develop the consultation process and the options of participatory mechanisms, where there are spaces for discussion where participants contribute with their points of view, interests and concerns, and finally achieve a Consultation and Participation Plan accepted by the different groups of stakeholders identified as key to the process.

It is considered of vital importance, prior to the consultation process, to develop a outreach activity on climate change and the relationship of forests with this phenomenon, as indicated in Component 1b, to provide basic information on the subject, international background and the national context, providing more elements of judgment and decision-making criteria to expert who will be consulted later.

The consultation process: constitutes the exercise of inalienable and collective right of indigenous peoples, recognized in international instruments; this exercise is intended to establish clear and precise procedures to get to know the opinion and position of all relevant stakeholders in the preparation of a National Strategy, including the Guatemala indigenous peoples and local communities on REDD+ projects which may affect them their rights. This process will be made taking into account indigenous peoples and local communities organized through their own forms of ancient organization (councils, indigenous municipalities, brotherhoods, supporters, and others), or through the forms of organization that the State currently fosters (Development Councils, committees, associations, foundations, NGOs and others). In the process we will seek:

**Consensus:** this stage seeks that through dialogue and analysis mechanisms an acceptance is reached (reach an agreement) on strategies, REDD+ projects. Discussion aims so that all are aware of the pro and cons and finally take a collective decision, this exercise tries to avoid the voting system, because it pursues is a decision and collective responsibility.

**Legitimizing:** this is the final stage of the process, where the results collected in the previous stages are returned and become available again to respondents, to review, analyze the results, make comments or changes and finally legitimize (accept) them.

**Delivery and reporting:** finally, a presentation and delivery of results will be carried out, as a result of the development of a participatory process and collective construction, taking into account the laws and national and international agreements as well as the respect and exercise for the rights of indigenous peoples.

### 1.3. METHODS AND SCOPE OF THE CONSULTATION

Working meetings with the technical secretariat of the GCI team were held in the preparatory phase of the consultation and participation plan to identify the issues of consultation, identify the major groups of stakeholders to be consulted, review the methods of consultation, and in general, perfect the details of the Consultation and Participation Plan. This resulting in the preliminary proposal presented in this section, which will be supplemented by contributions from stakeholders.

#### 1.3.1. GROUPS OF STAKEHOLDERS TO CONSULT

In Guatemala there is a mechanism of official involvement, which is regulated by Decree 11-2002: Development Councils Act, and literally in its nature is defined as follows: *"The Development Councils System is the principal means for the participation of the population, Maya, Xinka and Garifuna and non-indigenous population, in public administration to carry out the process of democratic development planning", taking into account principles of the national, multi-ethnic, multicultural and multilingual unity of the Guatemalan nation.*

The Development Councils System will be used as the main forums for consultation at a national level, because said councils represent the different stakeholders of each state, municipality and community of the country; these councils also have the capacity to manage projects and programs to benefit the population, as well as communication channels and local dissemination. Annex 1c-3 is a summary description of the levels of organization of the Development Councils System and some links with REDD+ Readiness process.

The main levels of the Development Councils System where the process of information, participation, coordination and consultation for the different phases of the readiness process for REDD+ could be carried out are: state (CODEDEs) and municipal (COMUDEs). The articulation of the various existing opportunities for consultation and social participation related to the topic, will be sought at a regional level since the COREDEs does not work in all areas of the country. Regional forums identified thus far are: (1) the Regional Bureau for Consultation and Forest Policy; (2) the Regional Bureau on Climate Change, now operating in 4 regions, Quetzaltenango, Petén, Huehuetenango and Verapaces; and (3) the bureau of co-administrators of protected areas, which have been fostered by the National Council of Protected Areas. Some of the specific forums for local communities and indigenous peoples, such as the Council of Western Peoples - CPO - are regional in character, it will be necessary to identify which are the most relevant for the topic that interests us.

In addition to the Development Councils, specific mechanisms of information, participation, agreement and consultation areas and specific stakeholders will be built using their own forms of organization, representation and political expression, from the local to national level, procuring that at national level EVERYONE concurs in the Forests, Biodiversity and Climate Change Group. Some of these mechanisms are: (1) the National Alliance of Community Forestry Organizations, which includes the local farmer and

indigenous organizations that are involved in a number of REDD+ pilot activities currently underway, such as the *forest communitarian concessions of the Maya Biosphere Reserve in Peten Department, organized in the Peten Association of forest communities (ACOFOP)*; (2) the Network of Indigenous Authorities and Organizations; (3) the Guatemalan Association of Indigenous Mayors and Authorities (AGAAI); (4) The National Council of Ancestral Mayan Authorities; (5) the coordination and convergence Nacional Maya Waqib Kej; (6) the National Council of Mayas, Xinca and Garifuna Elders of Guatemala, (6) the Indigenous Bureau on Climate Change, which brings together an average of 20 indigenous organizations in the country; and other entities which must be identified and incorporated.

Despite mentioning some names in the preceding paragraphs, as part of the readiness process, it is necessary to analyze with more elements, the wide range of organizations that exist at all levels and reach agreements on what are truly relevant to the topic of interest in this proposal. It is essential to avoid involving instances whose priorities are not related to forests, because that could undermine the process and divert it to other interests for which a REDD mechanism is not intended to, nor can solve.

For those issues that require technical inputs, workshops will be held with technical experts depending on the topic, to review the criteria and validate proposals.

### **LOCAL COMMUNITIES AND INDIGENOUS PEOPLE**

Working experience on the practice of consultation suggests that to reach agreements that recognize rights and reflect the interests, needs and perspectives of indigenous organizations and communities, the involvement of various stakeholders is necessary to promote community management and defend their rights in a political manner through incidence and participation.

Due to the complexity of the diverse expressions of organization, representation and political expression, as well as the initiatives of development and management of territories and natural resources of indigenous peoples in Guatemala, preparation for REDD+ involves great challenges for the development of inclusive processes of information, participation, coordination and consultation.

Despite using the already existing structures and mentioned in the previous section, it is considered necessary to extend the mechanisms for consultation with indigenous peoples and local communities, in particular, it is necessary to identify and to prioritize certain key areas in the management of forests and to have influence on other groups or territories, to begin a more direct dialogue with their representatives, to learn about their experiences, perspectives and specific concerns about forests and climate change, to inform them about the prospect of the government and international negotiation, seeking a common language between the technical team that coordinates the readiness process and the forest dwellers, for an understanding throughout the process.

Consultations with these groups will be carried out using participatory methodologies, working meetings, personal in depth interviews, in a way in which leaders analyze the topic best. A single structure cannot be generalized for the consultation with the indigenous peoples and territories, since in some cases the highest authority is the traditional Council of Elders or Council of Principals, but in others it is a Municipal Council headed by an indigenous mayor, it can also be a Board of Directors, a cooperative, etc. As part of the process, the existing structures will have to be analyzed and encouragement given to reaching agreements on how the national consultation process should be.

Information, participation, coordination and consultation mechanisms should be permanent during the preparation and implementation of REDD+, therefore, we do not wish to create new and expensive structures which will be practically impossible to maintain, but incorporate REDD+ in spaces, coordination and more appropriate and relevant forums. It is considered that the relevant stakeholders from local communities and indigenous peoples (see preliminary list of stakeholders identified in annex X?), could be grouped according to four main categories:

- 1) **Local authorities of indigenous peoples, and their related sub-national and national platforms.**  
Examples of this category are: the Mam Mayan Council of Quetzaltenango, which is part of the

Greater Maya Mam Council of Guatemala, and the Council of the Peoples of the West. The Indigenous Sololá Municipality, which is part of the Guatemalan Association of Indigenous Mayors and Authorities of Guatemala - AGAAI. The Network of Indigenous Authorities and Communities, among others.

- 2) **Local organizations in community development and management of natural resources, and their related platforms.** The main example of this type of organizations is constituted by more than 250 organizations that form the National Alliance of Communitarian Forestry Organizations of Guatemala (Alliance OFC). Also involved in the defense of the territory against imposed mining and hydroelectric projects, there are various groups organized especially in the western highlands of the country, such as the Frente de Defensa Miguelense (FREDEMI) of San Miguel Ixtahuacán, and the Association of Coffee Growers and Farmers of Sipacapa - ACAS-, and many others that are not currently associated in any related platform, but which are related through spaces and defense networks of the territory and the rights of the indigenous peoples, such as the COPAE (Commission of Pastoral Peace and Ecology) and the indigenous network Pop Noj.
- 3) **Organizations of the farmer movement, and their related national and international platforms.** Examples of these are CNP-Tierra, the Committee for Farmer Unity, the Coordinadora Campesina Kab' k'awil, the National Indigenous and Farmer Coordinator - CONIC - and many others. These organizations are part of international forums such as the Via Campesina, which are developing specific positions and are occasionally quite critical of REDD.
- 4) **Indigenous NGOs.** Examples of these are ADIMA (Ajchmol Association), Sotz'il Association, Naleb' Organization, Rigoberta Menchú Tum Foundation, Ak Tenamit Association, Aproba-Sank Association and many others who have capabilities and initiatives on environmental issues, climate change, and in particular regarding REDD and carbon markets.
- 5) **Indigenous Personalities and Leaders** such as Alvaro Pop, Member of the Forum of United Nations on Indigenous Issues, the brothers Carlos and Ramiro Batzín, brothers involved in the Latin American Forum of indigenous peoples and climate change and in the Central American Indigenous Council (CICA), who carry out important work from indigenous NGOs.

To start the process, the three existing structures which were described in Component 1a, are expected to work together, these are:

- 1) The Indigenous Bureau on Climate Change of Guatemala (MICCG),
- 2) The Network of Indigenous Authorities and Organizations, and
- 3) The National Alliance of Communitarian Forestry Organizations of Guatemala (OFC Alliance).

Since it is impossible to cater to all local communities and indigenous peoples stakeholders in consultation events, stakeholders that are key to the process, who are decision makers in their territories and who are legitimate representatives of their community, will be identified with the support of these three bodies, using the four categories described in the above paragraphs as a basis.

#### 1.4 TOPICS TO CONSULT

It is anticipated that as the design of the strategy advances, the topics under consultation could be added or changed. The following are the topics which are considered most important:

- Current state of the forests (regionally and nationally).
- Analysis of the drivers and agents of deforestation.
- Policies implemented by the country to tackle forest deforestation and degradation, and lessons learned.
- Identification of those responsible for illegal logging and forest degradation.
- Degree of participation of the different stakeholders involved with forests in the design and implementation of strategies for the reduction of deforestation.
- Political and institutional regulation and other regulatory mechanisms on forests.
- Rights for the land use and the use of natural resources.
- Forest governance.

- Opportunity costs in the sector of land use.
- Rights of indigenous peoples that must be recognized, respected and applied.
- Legal security of land and territories where it may be feasible to implement REDD activities.
- Traditional knowledge: models of use, management and conservation of natural resources
- Safeguards
- Processes of reparation and restitution in specific cases where applicable.
- Interests and concerns of indigenous peoples and communities and other forest dwellers.
- The (positive and negative) environmental, economic and socio-cultural consequences of the reduction of deforestation and forest degradation.
- Risks mitigation.
- Fair and equitable sharing of benefits.
- Involvement of communities in forest cover, deforestation and emissions monitoring systems.

## 1.5 IDENTIFICATION OF STAKEHOLDERS

The initial identification of the groups of stakeholders involved in the process will ensure the objectives of the consultation plan. Therefore, the National Forest Program, with the support of the Building Alliances for Forests project, implemented by FAO and IUCN in Guatemala in 2010, mapped the stakeholders of the forest sector, with tools for updating and generating forestry policy instruments, which include REDD+.

Based on this stakeholder map, there are two main groups in the consultation process of the R-PP: a) one involved directly to forest (use, conservation, administration or regulation, planning), and b) the other one involved indirectly (by deforestation or degradation). According to INABFAO-GFPUICN, 2010<sup>4</sup>, the stakeholders in the forestry sector can be grouped in the following manner, as shown in Table 1:

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<sup>4</sup> This study was made with the aim of providing strategic information to the National Forest Program of Guatemala and the National Institute of Forests to contribute to the formulation and development of a "new" National Forest Agenda. In this case, the "individual or collective entity whose members are integrated around interests, perceptions and similar beliefs or at least convergent, with respect to a topic or specific problem" in this case, around the forests was considered a stakeholder of the forestry sectors. Enjoying a degree of organization, resources and procedures for the resolution of conflicts affecting them and additionally, has the means and the capacity to decide or act, intentionally and strategically, for the achievement of one goal, to operate as a cohesive unit, which can be attributed some responsibility for making decisions or performances and to achieve their ends, their actions are based on formal and informal practices, legal or illegal, legitimate or illegitimate according to the Guatemalan socio-political context and its own cultural worldview, nuanced and conditioned by a western type worldview. More information can be found at [http://www.pfn Guatemala.orgdescargasMapeo20de20Actores20del20Sector20Forestal20Guatemalteco20\(informe20final20para20publicar\).pdf](http://www.pfn Guatemala.orgdescargasMapeo20de20Actores20del20Sector20Forestal20Guatemalteco20(informe20final20para20publicar).pdf).

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**Table 1. Stakeholders in the Forestry Sector in Guatemala**

<b>Forest-Environmental Institutions</b>	<b>Forest Sector</b>	<b>Civil Society</b>	<b>Indigenous Peoples</b>	<b>Other Sectors related to the Forest Sector</b>	<b>Other Sectors with Direct Incidence</b>
National Forest Institute	Forest Owners	COCODES and COMUDES	Network of Indigenous Authorities	Ministry of Energy and Mines	AGEXPORT
National Council of Protected Areas	Forest Managers (inside and outside AP)	NGOs	Indigenous Bureau on Climate Change	Ministry of Finance	Forest and Environmental Certifiers
Ministry of Agriculture and Food	Intermediaries	Alliance of Communitarian Forest Organizations	Indigenous Communitarian Organizations, members of the National Alliance of Forest Communitarian Organizations	Ministry of Infrastructure and Financing	Human Resources and Research Formation entities
Ministry of Environment and Natural Resources	Forestry Coordination Working Groups			Central Government and Socio-Environmental Cabinet	National Civil Police - DIPRONA
	AP Co-administration Bureau			Departmental Governors	Public Ministry
	National Forest Program			Municipalities	Judicial Entity
	OTECBIO-CONAP			Agro Chamber	Legislative Organism
	CONESFORGUA			Industry Chamber	Development companies
	Forestry Cluster			Tourism Chamber	Banks and other financial entities
	SIPECIF			SEGEPLAN	International Cooperation
	Forest Ecosystems goods and services marketing corporations				Communication Means
	Wood consuming corporations: agroindustry, SME				
	Reforestation Corporations				
	Forest Unions				



	Transformation Industry (primary and secondary)				
	Forestry and Reforestation Associations				
	Carpenters Associations				
	Forest Managers Associations				
	Forestry Regional Associations				
	Forestry (xateros and pepper collectors)				

## NEXT STEPS:

Because this effort was made in a general way for the country's Forestry Sector, the next immediate step is to adapt its results to identify specific key stakeholders for REDD. There is also the input of a regional mapping of REDD stakeholders carried out by the REDD-CCAD-GIZ program in 2010, which will be useful for specific mapping, of relevant REDD stakeholders in Guatemala. The complement of this map must include the sectors identified as the drivers of deforestation as well as those stakeholders that depend on forests for survival or who contribute positively to the sustainable management and conservation of forests.

Likewise, in the case of local communities and indigenous peoples, it is necessary to define criteria for participation and based on these criteria, a detailed analysis to identify those that are relevant to the design and implementation process of a National Strategy to Reduce Deforestation and REDD+.

## 1.6 CONSULTATION IMPLEMENTATION

The Consultation Plan includes several stages: to) designing and validation of the plan; (b) outreaching of information and training; (c) preparation, validation of the structure of consultation; (d) implementation of the consultation; (and d) presentation and dissemination of results. Each of these stages involves different areas, means of consultation, stakeholders; and it entails several results/products. Table 2 summarizes, in general, the way how the consultation plan will be implemented.

**Table 2. General scheme to implement the Consultation**

Type of Consultation	Topics	Process/ Methodology	Involved in the Consultation	Results/products
Technical	Current state of the forests (regional and national)	Focal Group	Experts (forest and land use)	A base document validated on the conditions of forests (quantity and quality)
Technical-Social	Analysis of drivers and causes of deforestation / Actions to reduce them	Regional workshops/ National Validation Workshop	Experts and representatives of stakeholders with emphasis on the stakeholders involved in change in land use and regulations	Drivers and agents of deforestation characterized and prioritized in consensus / proposed solution
Technical, Social and Political	Political and institutional regulation and other regulatory mechanisms	Regional workshops/ Focal Group	Stakeholders of the sector and intersectorial representatives	Inventory of political, legal and institutional framework and its degree of affectation (positive/negative) of the condition of forests. Proposals for solutions, modifications, amendments.

Type of Consultation	Topics	Process/ Methodology	Involved in the Consultation	Results/products
Technical	Policies implemented by the country to deal with illegal logging, forests deforestation and degradation (lessons learned)	Focal Group National workshop	Forests experts and focal groups (use of the land and forests) /stakeholders of the forest sector	Document summarizing the main barriers and suggestions for improvements for successful policies
Technical and social	Opportunity costs of land uses	National workshop/ technical workshops socialization	Experts (economists and land use)	Document with technical inputs to design options to reduce deforestation and degradation
Technical, Social and Political	Rights for the use of the land and the use of natural resources/ fair and equitable sharing of potential benefits	Regional workshops for socialization and information /Focus groups	Law Experts and forest stakeholders / stakeholders involved	Inventory of standards concerning the right to use land and natural resources (technical-legal input); conclusions on scenarios for the distribution of potential benefits
Social and Political	Forest governance	Regional workshops	Institutional, sectorial and intersectorial and civil society	Memory with the aspects of governance such as an input to identify actions of the strategy
Social	Management and conflict resolution system	Regional workshops	Local stakeholders	Standard structure for handling and consensual conflict resolution
Social-political	Recognition and practice of rights of indigenous peoples, and local communities in the territories where REDD activities are implemented	Focal groups	Representatives of interest groups on issues of indigenous peoples and local communities related to forests (emphasis Network of Indigenous Authorities, Indigenous Bureau of CC and National Alliance of OFCs)	Memory with inputs on vision, aspiration of indigenous peoples and communities

Type of Consultation	Topics	Process/ Methodology	Involved in the Consultation	Results/products
Social-political	Safeguards for indigenous peoples and local communities	Focal groups	Representatives of interest groups on issues of indigenous peoples and communities related to forests (emphasis Network of Indigenous Authorities, Indigenous Bureau of CC and National Alliance of OFCs)	Memory with inputs on vision, aspiration of indigenous peoples and communities
Social-political	Traditional knowledge and ancient practices for the management and conservation of forest resources	Systematization of experiences at the national level, individual interviews	Local communities and Indigenous People	Document of systematization and proposal for incorporation of best practices in the mechanisms of the ENRD
Social-political	The environmental, economic and social consequences of the reduction of deforestation and degradation; proposed reductions of downside risks (social and environmental safeguards)	Regional workshops / Focal groups	Experts and groups of interest (sectorial and intersectorial)	Aide Memoire on scenario of consequences of the reduction of deforestation and degradation (environmental, economic and social) proposed negative risk reduction
Technical/Social/political	Establishment of reference scenarios and monitoring system/ communities involvement in monitoring systems of forest coverage or deforestation and degradation	Regional workshops/ Technical workshops	Experts to validate technical proposals and cross-sectoral stakeholders and civil society involvement	Validated methods for sub-national reference scenarios, forms of involvement of communities in the monitoring of the strategy actions.

## 1.7 MECHANISM FOR CONFLICT RESOLUTION

A mechanism will be established ad-hoc for conflict resolution (see Figure 1), using as a basis the experience and existing national and local mechanisms, as well as the premises of the different agreements related to this topic.

Some elements to be considered such as the mediation and dialogue for reconciliation working groups; the creation of national courts of arbitration and the creation of innovative mechanisms for compensation related to conflict elements, according to the experience of the Agricultural Affairs Secretariat in resolving land disputes in Guatemala.

In the framework of the REDD+ strategy mechanisms for resolving conflicts in related topics are detailed and will be given priority to taking into account successful cases of mechanisms used in previous events. As part of national development, the systematization of mechanisms used in situations related to the management of natural resources will be necessary and may be the subject of consultations.

One of the issues to address in the consultation should be the standardization and consensus of conflict resolution methods, depending on the nature of these, whether at sub-national, national or local level.

An important element to consider is the existence of **safeguards**, specific mechanisms of claims and conflict resolution for indigenous peoples and **local** communities which allow for a comprehensive approach to the social, cultural and environmental impacts of the preparation for REDD+ strategy, and its future implementation, and allows the design of comprehensive mechanisms for compensation and inclusion. Among these mechanisms we emphasize those related to the recognition of categories and indigenous peoples own practices for the management of protected areas, based on their own schemes of collective and individual rights of possession of the land, territory, forests and natural resources. We must consider and strengthen the initiatives underway on this issue, as well as future mechanisms of incentives for indigenous protected areas.

## **1.8 DOCUMENTATION OF THE SPECIFIC CONCERNS AND CONTRIBUTIONS RECEIVED FROM KEY STAKEHOLDERS**

Each event, interview, etc where input is received from stakeholders, their interests and particular concerns, must be documented, either through a survey ballot or an interview, an interview synthesis, synthesis of comments or reports of workshops and meetings, etc.

All this is done in order to take into account these contributions and specific concerns at the time of making proposals and concrete actions, to the extent feasible in a process as it is carried out at national level, where in many cases it is impossible to solve specific cases, since it is a fairly general level and that it intends to build bases and processes which may be applicable to the majority of cases in the country.

With the relevant frequencies, as decided during the process, the advances in the progress will be shared, work reports, etc. in the communication platform which will be built during the preparation phase.

## **1.9 TRANSPARENCY, ACCOUNTABILITY AND OUTREACH OF THE PROCESS OF FORMULATION AND IMPLEMENTATION OF CONSULTATION**

The results of the consultation will be outreach by means and instruments that will form part of the communication platform which will be built during the readiness phase. This platform may include radio, television, newspapers, newsletters, electronic media, web site, etc., both at local, sub-national and national levels. We plan to make an alliance with institutional experts in social communication, to evaluate the most effective channels and means to reach the greatest number of stakeholders and society in general, and to plan further dissemination of the information on the consultations.

One of the main objectives of this platform is to obtain feedback on the results of the consultation process, and construction of the strategy; this information will be incorporated into the implementation process of the National Strategy for the Reduction of Deforestation.

A mechanism to ensure transparency, accountability and outreach of the process of consultation and participation has been considered, from the formulation of the mechanism until the results obtained through the consultation implementation. The mechanism will be based on Decree number 57-2008, the Access to Public Information Act; and it could be supported by the participation of institutional experts in the field. However, this mechanism must be defined and established as part of the readiness process and it should work with relevant stakeholders or within the framework of the GBBYCC.

## **Conceptual framework of transparency of the Republic of Guatemala:**

The transparency of public administration and the subjects bound by the same, and the right of everyone to have free access to public information is guaranteed by the Constitution of the Republic of Guatemala (Article 171). In addition, the Access to Public Information Act ensures the right to access to public information and participation in social auditing and citizen supervision in all public entities and in general, with regards to all those who handle, use, manage or have at their disposal resources of the Republic of Guatemala. In addition, the law stipulates, in Article 19, that public entities "should designate a public server, employee or internal body which will act as a Unit of Information, and must have a liaison in all offices or units that the bound subjects have nationally". Besides, Guatemala has a Languages Act, which in its article 9, entitled as Translation and Dissemination, stipulates that "laws, institutions, notices, provisions, resolutions, ordinances of any kind, must be translated and disseminated in Mayan, Garifuna and Xinca languages;" "according to their community or linguistics region, by the Academy of Mayan languages." This law ensures the outreach of information into the indigenous languages. Given these legal requirements, this legislative framework as a starting point will be used to ensure transparency, accountability and outreach of the process of formulating the query and the results of the consultation mechanism.

Organizations of indigenous peoples and local communities involved in the process, recently submitted a proposal for a "Strategy of transparency, accountability and for outreach of the formulation and implementation of the consultation process", however this not has been analyzed by the technical or political Government teams, nor by the other stakeholders involved. It will be analyzed and agreed to during the readiness process. The proposal is attached in Annex 1c-4.

## **Summary of Consultation and Participation Activities and its Budget**

Consultation and participation of various civil society stakeholders involved in the REDD+ process will be carried out through two main activities, which in turn are divided in specific activities.

The first main activity is the preparation of the consultation plan, which is comprised of eleven specific activities described below:

1. **Adaptation of results on stakeholders map for REDD+:** the consultation process will produce new stakeholders directly or indirectly involved in REDD+. In this way, these new stakeholders will be incorporated along with previously identified stakeholders.
2. **Identification of existing consultation structure:** among the stakeholders directly or indirectly involved in REDD+ there are social regulations in force in which there already exist consultation mechanisms such as the general meetings. However, it is necessary to make a prior identification of these existing mechanisms to avoid duplication or even conflict between standards prevailing in the stakeholders' organization.
3. **Preparation of the consultation plan:** Carrying out the consultation process between stakeholders should be done using an organizational logic that allows an easy implementation of the process. Such preparation should be spatially coherent, i.e., it can be done from the eight regions of which the territory of Guatemala is formed (Metropolitan, North, North-East, South-East, Central, South-West, North-West and Petén). In addition, the data collected in the two previously described activities must be incorporated. These factors will be taken into account in the preparation of the consultation process.
4. **Design and implementation of the communication and outreach mechanism:** like the previous activity, the communication and outreach mechanism must be carried out in coherence with the existing various stakeholders, social normative and territorial location of the stakeholders. That is, particular aspects of the stakeholders involved, such as the use of native languages, among others, should be taken into account in the design and implementation process.
5. **Transparency Strategy:** in general, all the information collected of previous activities, and the consultation process, will be public. However, a transparency strategy will be created which does not negatively affect the realities of stakeholders consulted.

6. Conflict Resolution Mechanism: the agrarian conflict in Guatemala is a social phenomenon of a very complex nature, in which REDD+ can generate problems within such turbulent realities. That is why it is necessary to create a conflict resolution mechanism with regard to REDD+. Such a mechanism should take into account the heterogeneity and complexity of the various Guatemalan realities and include the stakeholders representatives involved in REDD+ in the creation of the mechanism.
7. Outreach and validation of proposals workshops with key stakeholders (including IP and local communities): each of the created proposals must have the consent of stakeholders which REDD+ may affect (positively and negatively). Taking this into consideration, workshops will be carried out in which not only will the proposals be outreached, but where they will be discussed in order to validate the same.
8. Planning meetings: It is necessary to have a constant process of consultations planning, since as mentioned previously the complexity of Guatemalan realities is highly volatile. Carrying out planning meetings will help to give a flexible but organized character to consultation implementation. In addition, these meetings will be used to plan consultations according to the agendas of implementers.
9. Facilitation process: this activity is the logistics organization that is carried out for the consultation and the participation process of stakeholders.
10. Participants' travel costs: this activity involves quoting and estimating the travel expenses to be incurred in carrying out stakeholder consultation and participation activities.
11. Communications and publications: this activity involves publishing through various media (digital and printed) the proposals created to carry out the implementation of the consultation plan, with the aim that all stakeholders be aware of the implementation.

The second main activity is the implementation of the consultation plan, which is composed of six specific activities that are described below:

1. Workshops and consultation events (general, local-territories): consultation workshops and events will be carried out with the stakeholders involved in the REDD+ process, in accordance with all activities gathered in the first main activity.
2. Planning meetings, rapprochement with stakeholders, etc.: A joint coordination will be carried out with stakeholders involved in the process to be given in their own localities.
3. Facilitation: logistics support will be provided in each of the activities carried out at this stage of implementation.
4. Travel costs: expenses involving travel to each of the locations for the consultations will be taken into account.
5. Technical reports of the consultation process: a technical report will be made of each of the consultations and will consist of the points addressed and agreed upon in consultation activities.
6. Communication, publications and translation into local languages: the work carried out in the implementation phase of the consultation plan will be disclosed to stakeholders according to the characteristics of the population, i.e., native languages will be taken into account for the dissemination of the material.



<b>Table 1c: Summary of Consultation and Participation Activities and Budget</b>						
<b>Main Activity</b>	<b>Sub-Activity</b>	<b>Estimated Cost (in thousands US\$)</b>				
		<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>Total</b>
Preparation of the consultation plan	Adaptation of results of stakeholders map for REDD+		10			<b>10</b>
	Identification of existing consultation structure	4	8			<b>12</b>
	Preparation of the consultation plan	2	7			<b>9</b>
	Design and implementation of the mechanism of communication and outreach		30	15	10	<b>55</b>
	Transparency strategy		100	20	20	<b>140</b>
	Conflict resolution mechanism		50	30	30	<b>110</b>
	Community outreach Workshops and validation of proposals with key stakeholders (including IP and local communities)	1	20	10	10	<b>41</b>
	Planning meetings		10	10	10	<b>30</b>
	Facilitation process		20			<b>20</b>
	Participants' travel costs	1	7			<b>8</b>
	Communications and publications	1	5	5		<b>11</b>
Implementation of Consultation Plan	Workshops and events for consultation (general, local-territories)	2	200	200	100	<b>502</b>
	Planning Meetings, rapprochement with stakeholders, etc.		15	15	15	<b>45</b>
	Facilitation	1	50	5	24	<b>80</b>
	Travel expenses	1	50	50	35	<b>136</b>
	Technical proceedings of the consultation process		5	5	5	<b>15</b>
	Communication, publications and translation into local languages		50	50	20	<b>120</b>
<b>Total</b>		<b>12</b>	<b>637</b>	<b>415</b>	<b>279</b>	<b>1343</b>
Domestic Government						<b>0</b>
<b>FCPF</b>						<b>0</b>
UN-REDD Programme (if applicable)						<b>0</b>
Other Development Partner 1						<b>0</b>
Other Development Partner 2						<b>0</b>
Other Development Partner 3						<b>0</b>

## Component 2: Prepare the REDD-plus Strategy

### 2a. Assessment of Land Use, Forest Law, Policy and Governance

**Standard 2a the R-PP text needs to meet for this component:  
Assessment of Land Use, Forest Policy, and Governance:**

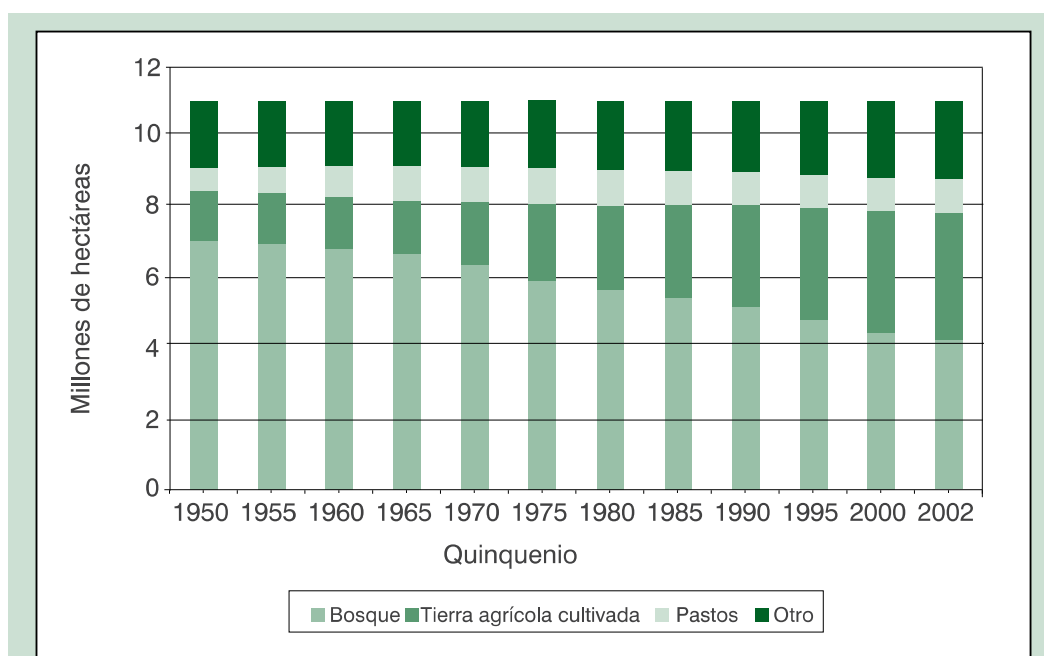
A completed assessment is presented that: identifies major land use trends; assesses direct and indirect deforestation and degradation drivers in the most relevant sectors in the context of REDD; recognizes major land tenure and natural resource rights and relevant governance issues; documents past successes and failures in implementing policies or measures for addressing drivers of deforestation and forest degradation; identifies significant gaps, challenges; and opportunities to address REDD; and sets the stage for development of the country's REDD strategy to directly address key land use change drivers.

#### Forests and land-use trends.

Guatemala has an area of 108,890 km<sup>2</sup>, with various relieves. The elevations vary from 0 to 4,211 meters above sea level. The uses of land identified according to the map of vegetation cover and use of the earth (MAGA, 2006), refer to Forests (37.2%), it includes land with forest cover and that are used for the production of forest goods and services or environmental purposes; Agriculture (27.5%); natural grasses and shrubs, including scrub (30.6%); Wetlands (1.8%); bodies of water (1.6%); infrastructure (1.08%); mining and arid zones 0.12%.

The environmental profile of Guatemala (IARNA 2009) cites an analysis of historical trends in the use of forests. This analysis mentions that the transformation of forest areas to areas of agricultural production has historically played a key role in the conversion of forest ecosystems in Guatemala. The wooded areas of the country have historically been perceived as especially a reserve of land for the expansion of the agricultural sector. Figure 2 shows that the difference between the final area and the initial area of forests, for the period between the years 1950 to 2002, was 50%. A period during which the areas dedicated to agriculture, grazing and other uses increased by 39%, 6% and 5%, respectively. In all cases, affecting negatively wooded areas.

The dynamics of forests is marked by a recurrent loss. It is estimated that the country has lost 50% of forests that existed in 1950 (baseline 6,973,924 ha.). This is a clear problem which is linked to the model of development and public policies.



**Figure 2. Changes in the cultivated area and in forest covered area. Years 1950-2002.**

Source: Environmental profile MARNA (2009)

The most recent estimate by INAB, CONAP, UVG and URL, indicates that by 2006, the forest cover was 3,866,383 hectares, equivalent to 35.5% of national territory. In 2001, the national area with forest coverage was 4,015,749 hectares, i.e. a 36.8% of the territory. This reference means that during the period indicated (2001-2006), the annual net loss of forest is 48,084ha, with an annual net rate of 1.16%. The update of the coverage study for the year 2006 can be seen in Figure 3.

About 72% of the forest area, is concentrated in three states, Petén, Alta Verapaz, Izabal and Quiché. In relation to types of forests, the National Forest Inventory of Guatemala (FAO, 2002) notes that 30.6% is broad-leaved, 3.7% coniferous and 2.9% mixed forest. In terms of management of existing forests, 44.4% are administrated by INAB and the rest (55.6%), managed by CONAP since they are found within the Guatemalan system of protected areas (SIGAP). Table 3 shows the dynamics of forests, in the period 1991-2006.

**Table 3. Deforestation Tendencies in Guatemala.**

Year	% territory (coverage in millions of ha.)	Annual rate of deforestation (% and ha.)
1991	42% (4,56 million ha. of Forest)	1.5% 73,000ha
2001	36.8% (4,01 million ha. of Forest)	
2006	35.5% (3,87 million ha. of Forest)	1.16% 48,000ha
2010	In process	

Source: Process of dynamic mapping of forest cover. INAB, CONAP, UVG, URL.

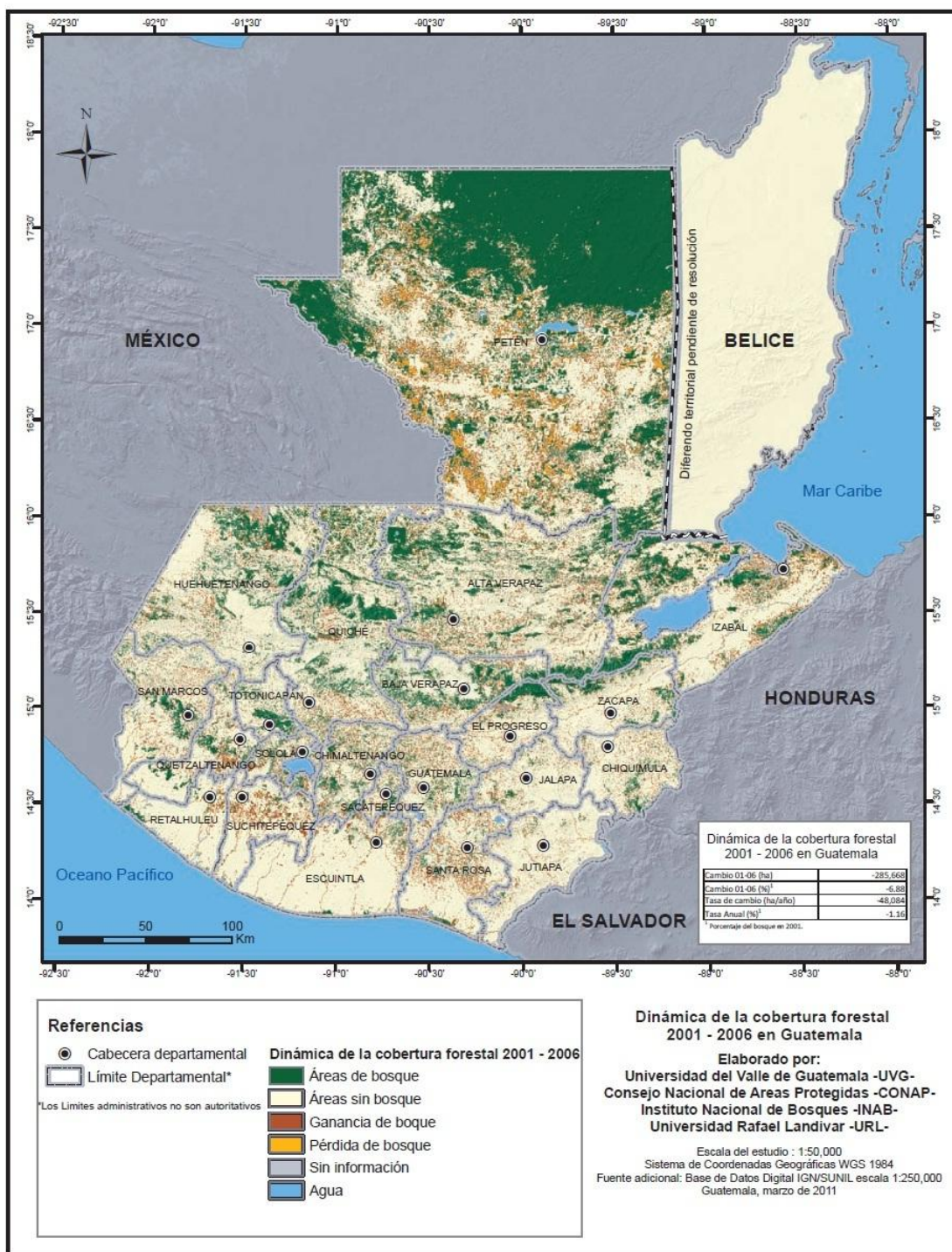


Figure 3. Map of forest dynamics at national level for the years 2001-2006<sup>5</sup>

<sup>5</sup> Complete report in [http://www.infoiarna.org.gt/media/file/areas/bosque/documentos/nac/%2814%29Mapa\\_de\\_cobertura\\_forestal\\_br.pdf](http://www.infoiarna.org.gt/media/file/areas/bosque/documentos/nac/%2814%29Mapa_de_cobertura_forestal_br.pdf)

It is important to emphasize that the data presented above corresponds to the net deforestation rate, calculated as the difference between total deforestation and recovery of forest cover (natural regeneration and reforestation) for each period; however, the rate of annual total average deforestation for the period 2001 – 2006 is 101,869 hectares, revealing the loss of the benefits of natural forest, such as biodiversity, carbon, water, scenic beauty, etc.

#### **Analysis of causes and drivers of deforestation:**

One of the points of discussion in the country is the consideration that the background factors that generate the direct drivers of deforestation, occur outside the forest sector, motivated by an economic model that is supported by public policies in other sectors. This model is based on the growth of production, which promotes the depletion of natural capital (forests) for other economic options, not necessarily sustainable from the social, economic and environmental point of view. That is why public policies have been focused on strengthening productive sectors which have become the main stakeholders and drivers of deforestation.

In sectorial analysis of deforestation, 5 deforestation fronts<sup>6</sup> has been identified that explain almost 40% of the deforestation of the country; these are located in the North (Petén); Northeast (Izabal) and the West (Huehuetenango); 97 foci that represent 11% located in the North, Northwest and Northeast of the country; and the remaining 49% of deforestation, is explained in small foci distributed mainly in the centre of the country, in the remnants of pine and oak forest.

There is a need to deepen the analysis and deal with the drivers and the causes of deforestation in the country, to design and implement effective strategies to reduce deforestation. It is clear that Guatemala needs differentiated solutions according to causes and drivers in each of the deforestation fronts or foci.

#### **Direct drivers**

For the 5 fronts and 97 foci of deforestation, the drivers that have been linked to the dynamics of coverage loss, have been identified in various studies, which coincide with identifying as main causes and drivers: the change in land use, especially for agricultural purposes and urban growth; forest fires (which have increased in frequency and severity in recent years attributed to the behavior of the Oceanic Nino Index - ONI); on the other hand, pests are also considered important; as well as illegal logging activity.

#### **Structural drivers**

The previous causes arise from structural conditions, outlined in the model of economic growth, population growth, poverty, the education system, forestry culture, and tenure and distribution of land systems, which generate forces causing environmental problems such as deforestation, insofar as it promotes not necessarily sustainable economic alternatives from the social, economic and environmental point of view. This is evident in fronts and foci of deforestation where forest are replaced by cattle, agribusiness exports, or in an absence of livelihoods, deforestation to cultivate, extract firewood for cooking or trade timber products, at the margin of the law.

#### **Indirect Drivers**

Low employment opportunities in rural areas, corruption, culture of clean crops, institutional weakness in forest monitoring, failures in the intermediation market, financial market and public policies, have been identified as indirect causes.

#### **Analysis of direct, indirect and structural factors of deforestation**

According to the Cause/Effect analysis carried out by INAB (2008)<sup>7</sup> where direct and indirect factors are related, Education and Public Policies are those that most influence other factors; the factors more influenced by other are the Change in the Use of Soil, Illegal logging and the economic model that leads to a wider poverty gap. Likewise, we concluded that the problem of deforestation and the responsibility of

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<sup>6</sup> A deforestation front is considered a forest territory bigger than 500 Sq Km where there is deforestation. A deforestation focus is a forest territory with an extension between 30 and 283 sq Km, where there is deforestation.

<sup>7</sup> Drivers of deforestation, Discussion Document. INAB, 2008.



the same overwhelm the capacity of the Forestry Sector and therefore, the institutions responsible for the administration of forest resources.

These direct, indirect and structural factors are mentioned in more detail in the R-PIN document of the Government of Guatemala presented to the World Bank in February, 2009, where these were developed and provided in more detail.

The model of crop and livestock production is extensive and does not consider territorial management. It does not incorporate the tree in the landscape and generates conditions of loss of soils and forests components. Currently there is deforestation by speculation in land for large-scale ranching or territorial control of illegal activities. The Government has recovered a number of territories in the North of Guatemala occupied for these purposes.

Activities such as the expansion of agro-industrial crops cause displacement of farmers into areas of deforestation frontier, this is another cause identified in the country. Likewise, accelerated population growth is inducing change in land use to urban centers.

The foci of deforestation have been also identified in deforestation for subsistence agriculture and extensive cattle ranching on a minor scale.

Another important element is the country's energy needs, since demand for firewood as a primary source of energy for cooking and heating is mainly in the poorest rural area of the country, where there is an estimated consumption of 23 million in wood a year (more than 60% of the population uses it). In this sense, degradation is identified by selective extraction of wood for energy purposes.

The activity of illegal extraction of forest products has also marked the foci and deforestation fronts. Here it is also associated with forest degradation by extraction of selective timber of high commercial value, without compliance with the existing forestry regulations.

As to the structural reasons, it is clear that the lack of coordination of public policy with regard to common development goals in all sectors of the economy causes obstacles between these.

In the past 20 years, the concentration of wealth in Guatemala has not changed significantly, one fifth of the population remains involved in no more than 3% of total revenues, while one fifth of the population, with most resources, obtains more than three-fifths of the wealth. In this sense, deterioration and depletion of the economic base that is primarily scarce natural resources, increases poverty at the most vulnerable, as a consequence of inequality and the implementation of an excluding model.

Immediate action of the REDD+ strategy should be analyzed in detail and objectively causes and identified drivers of deforestation, under a scenario of multi stakeholders' dialogue and effectively achieve consensus and assessment of the impacts of each, according to the various visions, to address the actions focused on reversing the negative effects of each cause.

Furthermore, the actions of public authorities and NGOs linked directly or indirectly with the management of forests, must also be analyzed because dispersion of environmental public institutions, has been identified, MARN, MAGA, INAB, Ministry of Energy and Mines MEM, Ministry of Communications, Infrastructure and Housing - CIV, CONAP, the Land Fund, Control Office of the Areas of Territorial State Reserves - OCRET – Registry of Cadastral Information, Secretariat for Executive Coordination of the Presidency - SCEP, SEGEPLAN, among others, participate. This is due to the fact that there are no guidelines, objectives and common purposes, no integration of resources, efforts and resolution relating to the environment among the public institutions. There is no coordination between public institutions and non-governmental processes.

In this regard, an analysis will be made of the laws, policies and instruments that guide the institutions previously mentioned, to assess their impact in the reduction or increase of deforestation. Some of these are:

1. 2008-2012 Agricultural policy and its instruments such as fertilizer program, supporting farmer economies, supporting the production of basic grains and food security, rural development projects.
2. National Climate Change Policy.
3. Guatemala's Sea Coast Policy
4. Land Fund Act
5. Registry and Cadastral Information Act
6. Energy policy
7. Tourism Development Policy
8. Housing Policy
9. Private Policies for agro-industrial development (e.g. palm oil, sugarcane, cattle, etc)
10. Environment and Natural Resources Policy
11. Strategy of Communal Lands

## **The most relevant elements of land tenure, resource rights, governance**

### **Tenure of land and forests**

Guatemala faces several challenges related to the rights of property and land tenure. A good portion of forest lands are concentrated in the North of the country, as property of the State, especially protected areas which are managed by entities of the same State or under other schemes of co-administration with communities, private sector or civil society organizations; another part is fragmented and the plots tend to be small and overlapping. This contributes to tensions and insecurity as regards possession and ownership of land. The recent reforms of property regimes have had negative effects on equality and social relations, particularly in Petén. Historical discrimination against indigenous peoples in terms of use and land tenure systems has hampered their participation in sustainable forest management (SFM) on a large scale.

The ownership of forest land in Guatemala is divided into five main categories for forest policy and management:

State	34%
Municipalities	8%
Private companies	38%
Communitarian Groups	15%
Other	5% (TFD, Guatemala, 2011)

In Guatemala there are more than 1.5 million hectares of communal lands which include lands of indigenous people and mestizo communities which for many years have been protected and managed in a sustainable manner by indigenous peoples and local communities. These lands contribute to the protection of watersheds, contain sites sacred to indigenous peoples and are often sites of reproduction of plant and animal species. The Guatemalan Registry of Cadastral Information Act of (Decree number 41-2005, Congress of the Republic of Guatemala) defines the communal land as collective entities, which are under the "ownership, possession or tenure" of farmer or indigenous communities. Also, this Act contains provisions which recognize those lands that have traditionally been under communal regimes even if they are registered in the name of the State, municipalities or individual people as communal which could generate some expectation for indigenous peoples and communities, in the regularization or recognition of their rights.

The agricultural structure in Guatemala continues to be characterized by a historical high concentration of resources on a small number of large economic, agricultural and non-agricultural units that has produced a profoundly unequal distributive pattern of the benefits of economic growth, and has strengthened economic and social choices of large segments of the population (Commission for Historical Clarification- [CEH], 1999).



**Table 4. Distribution of land by category farm size**

Farm Size	Number of Farms (%)				National Territory Area (%)			
	1950	1964	1979	2003	1950	1964	1979	2003
Micro farms (<0.7ha)	21.3	20.39	32.92	45.2	0.77	0.95	1.28	3.2
Subfamily (0.7 a 7ha)	67.05	67.4	54.36	46.8	13.3	18.6	13.73	18.6
Family (7 a 44.8 ha)	9.48	10.46	9.92	6.1	13.3	18.8	18.94	21.6
Medium Multifamily (44.8-900 ha)	2.02	2.02	2.7	1.9	32.3	36.5	45.24	44.3
Large Multifamily (>900ha)	0.15	0.09	0.1	0	40.8	25.9	20.81	12.3
<b>Total</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>

Source: Strategy of the Under-Secretary for Agricultural Policy (2005)

In Table 4 you can see the increase in micro farms (<07 has), which went from a 21% in 1950 to 45% in 2003, reflecting an increase from 0.77% to 3.2% of the national territory, showing a process of land fragmentation. The trend in the increase in the number of farms without commensurate rise in the area, evidences growing of agricultural property atomization, creating a smallholder reality incapable of producing at levels that would allow the subsistence of the families which inhabit those (Facultad Latinoamericana de Ciencias Sociales, FLACSO, 2006).

There are no significant changes in the medium and large multifamily estates (from 2.7% in 1950 to 1.9% in 2003), and in area, they still occupy more than half of the area of the national territory (from 72.8% in 1950 to 56.6% in 2003), which shows that the agricultural structure remains in place.

While the average area of farms has been reduced due to urban growth and other agricultural activities and occupation, the permanent concentration in a few hands has forced the change of land use, which has been a historical constant since the colonial era. The data shows this reality which has gone from a 0.82 to a 0.84 in the Gini index; this means less access to the resource by the highest percentage of the Guatemalan population. According to the IV Agricultural Census (ISTAC, 2003), the largest concentration is located in lands of the plateau and in the area of the south coast.

Municipalities which reported a high concentration of micro farms and subfamily farms located in the country's highlands, particularly in the departments of San Marcos, Huehuetenango, Quetzaltenango, Totonicapán, Sololá, Chimaltenango, Sacatepéquez, with a total of 59 municipalities. In these municipalities there is a significant increase in the population and therefore, a decrease in available agricultural suitably land.

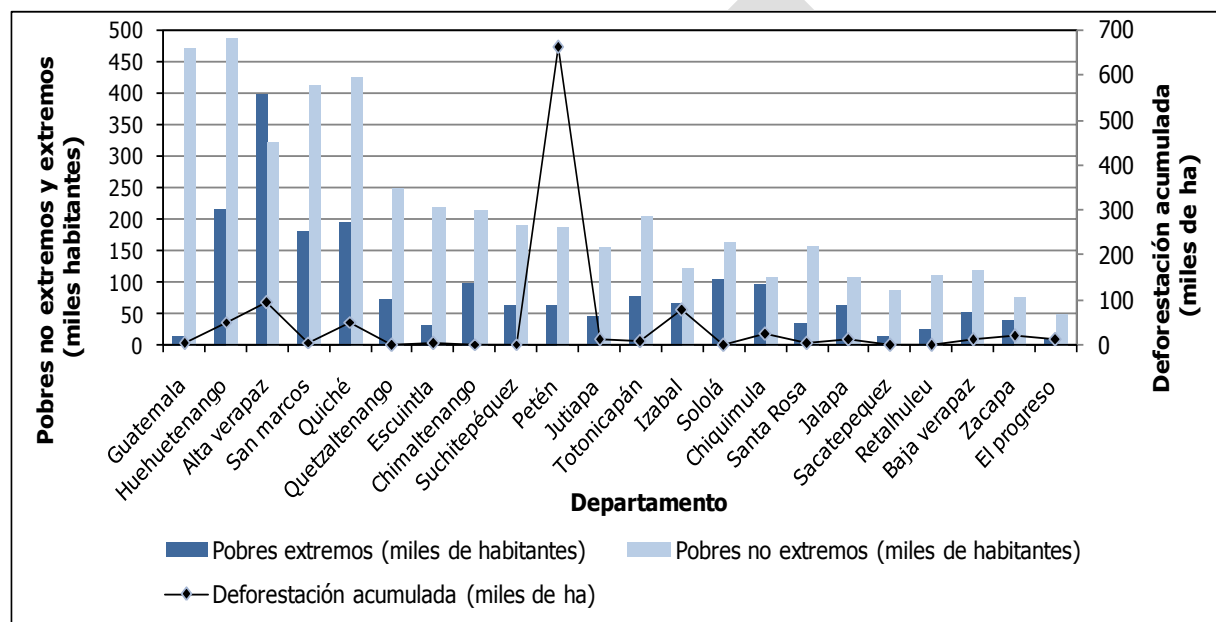
The extensive agricultural use in the north of the country and smallholdings in the highlands, have a direct impact on the natural forests, increasing its fragmentation and limiting the implementation of management models generated for this type of forests, as it is the case of the Central American model for the management of conifer forests.

Any kind of intervention concerning the appropriate management of natural resources of the Western Highlands is subject to possession of land, in terms of: land distribution by size of farm, tenure systems in terms of the rights of the users (agricultural smallholdings, communal and municipal forests) and legal status. (Gálvez, J., 2000)

The lack of legal security in the possession and ownership of forest land with or without forest, is also a common element in rural properties, which is a limiting factor for forestry development, because on one hand it limits access to financing sources (PINFOR, forestry credit, etc.) and on the other hand it creates uncertainty with regard to private investments in long-term activities such as forestry.

## Population and deforestation

It is common to consider that deforestation is linked to population growth and poverty; However, in Guatemala large populations living in poverty have little relation to the deforested area gained, on the other hand, the states of Petén and Izabal, that have mid-size populations compared to the national context, have high accumulated rates of deforestation boosted by grazing, cultivation of African palm and the extraction of hydrocarbons. This is illustrated in Figure 3, below.



**Figure 4. Accumulated deforestation (1991-2008) and poverty levels (2006), (Ha - thousands of inhabitants)** Source: environmental profile 2008-2009

## Forests Governance

The complexity of Guatemala's forests governance has several aspects, which include:

The legal framework defined by the forestry law and the law of protected areas is also affected by the law of protection and improvement of the environment, the municipal code, the law on decentralization and the Development Councils Act. This legislation is complementary and there are some turf powers that have been resolved through coordination between institutions. There are no informal rules in the country that generate conflicts for forest management and in areas where the Mayan population is settled, regulation and forest management is facilitated with the application of the **Maya justice system**.

Forest policy is directly related with the forests and is mainly complemented by protected areas and biodiversity areas policy, climate change policy, agricultural policy and the national biodiversity strategy. These policies develop a number of instruments some of which are being implemented; however there is a sectorial demand for the development and strengthening of other proposals in these policies.

The forest institutions are INAB and CONAP and the municipal governments, causing an overlapping of competencies which is being resolved through inter-agency coordination. In addition, some institutions have an influence on forest management, mainly the MRNA and the MAGA in environment and agriculture matters, respectively.

On the other hand there is a process managed in a participatory manner within the forestry sector which has not lost continuity from its initial formulation within the framework of the PAFG<sup>8</sup>. This process has generated sub-national platforms for dialogue and construction of forest policy called Regional Bureau for Coordination and Forest Policy. However, limitations to the implementation of a national agenda which focuses on the forest as an axis of development for the country are still exist, to slow the rate of deforestation to generate well-being and livelihoods for the population that depends on forests.

The lack of representation of forests managers, especially of communities and indigenous peoples, in the spaces of decision-making process and management of forests, has been a constraint to improving forest governance; however these are being overcome by organization and the influence of the platforms of these stakeholders.

In economic terms, the proper governance of forests is limited, when the tax support system only assigns 0.15% of the GDP through investment which the State makes for the administration of natural resources (forests) through the budgets allocated to INAB, CONAP and MARN. This situation, coupled with low private investment in the forest sector, increases the risks of deterioration of natural capital in the country's forests. Thus, it also increases conflict and socio-environmental vulnerability, as in most vulnerable forest areas in the country, the poorest communities in the country live side by side.

The implementation of a REDD+ Strategy can contribute to improving forests governance, especially when it is defined under a pro poverty reduction approach.

### **The experiences of policy instruments and community forest management focused to reduce deforestation**

The instruments of forest and environmental public policies which have been used to stop the deforestation processes go from the command and control to the generation of positive incentives to modify the behavior of economic agents, understanding that the conservation of forests is a matter of security, competitiveness, fairness and national development.

Among the main results of the use of these instruments, is the reforestation of more than 100,000 hectares in 10 years, the conservation of more than 600,000 hectares of forest ecosystems and an investment of more than US\$ 20 million a year mainly by the State as of 1997 to date, and also the private sector's initiative. It should also be mentioned that these financial instruments generate additional benefits such as: employment, involvement of various social sectors and the conservation of biodiversity.

Some of these policy measures are:

#### **Regulated Forest Management**

Firstly, there are the regulatory forest management instruments that define the forestry law and the law of protected areas, which includes regulation for forest exploitation. Both laws define the approval of a forestry license for the exploitation of forests, covered in a management plan that is approved as a tool to monitor the use of the forest and the techniques applied for forestry. This serves to ensure the sustainability of forest resources in the developed area. The failure to implement the management plan means the cancellation of the license and has legal consequences, since it is a criminal offence. Voluntary plantations and agro forestry activities are exempt from this regulation.

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<sup>8</sup> Guatemala's Forest Action Plan. Process initiated in 1989 in the framework of the forest action plan for tropical areas, provided by FAO which later gave origin to national initiatives of the National Forest Program.

For the control of illegal use of forests, local governments have been involved because they have municipal forest offices. This regulation has been successful with those formalized stakeholders within the forestry sector and also in forest use for household consumption; however, this regulation had an effect on causes and drivers of deforestation such as changes in land use for farming, agro-industry, mining or urban planning.

### **Forest tax**

Likewise, forest regulation has also created "forest taxes". Forest tax collected in Guatemala is in the category of a tax on production. It is a single tax charged on the volume of wood that will be harvested, with a 10% percentage charge on the estimated value of standing timber.

This tax is paid based on the volume of extraction approved in the license for exploitation. The payment is made directly in the regional bureau or the central offices of INAB institutions or CONAP, as appropriate.

The destinations of these taxes depend on what is established in the norm of each administering institution. Thus, of the amounts collected by the forestry tax of INAB, 50% is transferred to the municipalities where the exploited forests are located and the 50% remaining is allotted to Private Forestry Fund attached to INAB, which finances forestry activities through other partners or directly.

The collection made by CONAP, has as a single destination, CONAP Private Fund, which becomes part of the budget of the institution, for the operation of the same.

The fact that the transfer can be made to municipalities, is quite a novel element, which allows forestry investment for the control of deforestation, however the collected annual amounts do not constitute a significant amount to impact directly on the territories.

### **Forestry concessions**

The concession is the legal figure established in the Protected Areas Act (Legislative Decree 4-89 and its reforms) that allows the State of Guatemala, through the National Council of Protected Areas-CONAP, sharing responsibilities of protected areas management with persons or companies. The strategy adopted by the CONAP in ZUM is that of *"sharing and delegating its administration through the awarding of Management Units so that licensees receive long term rights of usufruct, with benefits and responsibilities legally ordered"*.

Property rights are granted for 25 years renewable for similar periods, to organized communities and industries, through a tender. To date, 14 concessions have been awarded in the area of multiple uses - ZUM - of the Maya Biosphere Reserve -MBR-, of which 12 have been awarded to community-based organizations and 2 to legally constituted companies. They have specific rules and it has been an effective way of reducing deforestation.

A concession is an economic incentive to correct the failure of Public Goods in the MBR, properly assigning rights for management of natural resources in the area of multiple uses. The incentive is through the granting of property rights for the use and management of natural resources inside the area of forest concession.

### **Forestry incentives and mechanisms for benefit-sharing programs**

Existing programs of forest incentive and benefit-sharing in Guatemala can provide useful information for the future development of benefit-sharing mechanisms for REDD+. INAB manages two major forest-related incentive programs: PINFOR and PINPEP.

The PINFOR is aimed at land owners at national level that have two or more acres with forestry potential. Reforestation, forest regeneration, production and conservation activities of the forest to reduce deforestation and generation of livelihoods, they are rewarded with a payment per hectare which varies according to the year and dependent on compliance. Until its completion in 2017, PINFOR intends to establish 285,000 hectares of forestry plantations, 650,000 hectares of forests managed for protection and production, and 285,000 acres of regenerated forest.

Payments are distributed through certificates based on field evaluations of the implementation of management plans, conducted by INAB technical personnel. Forestry projects are easier to monitor than forest protection projects, aimed at reducing the risks of fire, intrusion, etc. Until 2009, PINFOR benefited more than 6,500 projects and provided about 150,000 jobs in rural areas. The PINFOR has a budget allocation of 1% of the national budget.

The second program, PINPEP, is aimed at beneficiaries and land holders who lack legal title, in municipalities prioritized by their level of poverty. This program covers agroforestry activities, forest plantation and forest management for protection and production for the purpose of reversing the processes of deforestation, reducing the vulnerability of the territories facing the effects of extreme weather events, mitigate and adapt to the effects of climate change and provide some local alternatives to reduce poverty and extreme poverty in the most vulnerable social areas of the country through the development of activities to generate employment and rural income, ensure energy sources and improve food security.

Projects are managed and receive payments during 6 to 10 years, longer in the case of protection management. In December 2010, the specific law for this program was approved, which ensured financing and extended coverage at national level, deadlines and implementation schemes. The Act guarantees PINPEP's financing with 1% of the national budget equivalent to US\$ 40 million annually. This program of indefinite, as set forth by PINPEP law.

Another program supplementary to PINFOR that MAGA developed in the past was the Pilot Program of Direct Forest Support – PPAFD implemented between 2002-2009. This was mainly a payment system for the conservation of forests and water resources. It aimed to increase the efficiency and competitiveness of the forestry sector through compensation to the owners of lands and forests for the environmental services they provide. This program has offered incentives to an area of about 33,400 hectares, with an investment of around of US\$1, 4 million per year.

Together, these mechanisms have generated a series of experiences and learning to conduct a REDD+ Strategy that guarantees participation of the generally marginalized stakeholder and the achievement of the goals for reducing deforestation under a social, economic and environmental integrity premise.

Experiences have created platforms of participation, decision-making process and mechanisms for redistributing benefits at an equitable and effective cost, under the premise of the proposed targets.

### **Forest management experiences in local communities**

Guatemala has developed a wide range of accumulated experience in the management of lands and territories, community forests, especially related to ensure the supply of water and the permanence of the forests and ancestral knowledge; the sustainable use of forests for production of timber, non-timber goods and environmental services. Some of these experiences are the Indigenous Community of El Chilar, Escuintla, the 48 cantons of Totonicapán with its coniferous forest; ACOFOP in Peten and the case of Community Forestry Concessions of a Biosphere Reserve; ASOCUCH in Huehuetenango and managing conifer forests with the participation of women; cases of communitarian reforestation and agroforestry of the Federation of Cooperatives of Verapaces - FEDECOVERA - and the Association of community foresters of Verapaces - ASILCOM; The forest model of the Ibero-American model forest network managed by the Laguna Lachuá Foundation in Alta Verapaz and the Commonwealth of Altos Quetzaltenango for the Federation of agroforest, environmental and Agroecológicas organizations of the West of Guatemala - FEDERAFOGUA; Community management of the COMANGLAR mangrove of South Guatemala; as well as the Chajineles<sup>9</sup> engaged in a process of use, management and conservation of forests in the central volcanic chain, among others.

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<sup>9</sup> Chajineles are the consultative councils, comprised of local representatives, made up by a committee or a board of directors whose function is to manage, administrate and carry out projects for the protection of natural resources.

## Gaps, challenges and opportunities of REDD+

The manner of approaching the issue of deforestation has sectorial implications which should be considered, that would allow closing gaps for the effective implementation of actions to reduce deforestation and degradation. In a broader scope, the main challenges that can be considered are:

- Implement plans for land use planning in local (municipal), regional (basin and commonwealths), and national areas. (short and medium term)
- Harmonization of public policies in national development oriented to the management, conservation and protection of natural resources, rural development, tourism and others.
- Implement measures of control and good governance for the effective management of protected areas, to improve the management effectiveness of the Guatemalan system of protected areas, as well as territories of municipal and communal property.
- Create non-farm employment opportunities in rural areas.
- Improvement of agriculture technology.
- Creating legal security on land tenure, especially for the individual owners.
- Develop tools aimed at improving the profitability of productive forestry both in goods and services (water recharge, landslides, avalanches and other risks), so that it constitutes one of the activities for rural development.
- Find synergies between the economic development model and environmental sustainability.
- That environmental management to be valued as a strategy for social and environmental vulnerability reduction.
- The link of the forest sector with construction, tourism, energy and agricultural sectors.
- The consolidation of economic values of natural assets within the system of national accounts, and within local payment schemes for environmental services.
- The loss of concentration and decentralization of environmental management, at the level of municipal corporations, civil society and the agendas of the Development Councils.
- The development of substitutes for the use of firewood for energy both to reduce risks to the health of Guatemalan women and children as a means of reducing pressure on natural forests and bring about more efficient energy consumption.
- Respect, recognition and practice of indigenous rights, particularly those related to lands and territories, and to free, prior and informed consent.
- Recognition of the contribution of traditional knowledge of indigenous peoples

### REDD's own challenges

There are several important challenges, among others previously discussed, which could be highlighted as major issues to address:

(i) REDD Institutionalization: since this process involves the participation of many stakeholders with different roles, it is necessary to create all the institutional scaffolding so that the model can be functional. In the preliminary exercises carried out to prepare a strategy, it has been identified that the institutional framework for the topic is fragmented, and it is a priority to define a suitable structure based on the coordination of the current institutional framework which comprises much of the demands of an appropriate framework for implementation and may be carried out in the short term; as well as governance reforms that can cover any gaps and bottlenecks, which could not be resolved through institutional coordination.

(ii) Appropriate legal conditions: It is intended that legal alternatives (amendments, reforms or new laws and regulations) need to be found so that the State can facilitate the implementation of REDD+ through different schemes and partnerships; since the potential stakeholders in implementation schemes perceive the contractual relationship with the State as a constraint. In addition, forming alliances can be an advantage for the reduction of emissions, because the benefits and responsibilities of REDD would be outreach.



(iii) Development of methodological tools: while the country has institutional capacities for the assessment of forest resources, it currently lacks a specific methodological platform for REDD+, and more specifically to address the degradation of forests. It will be a challenge for environmental institutions to generate technical information to conceptualize the degradation of our forests and how they should initiate a process of quantification and assessment of the damage to national forests through degradation, as a major topic with respect to REDD. It is also becoming a methodological challenge, to build sub-national baseline scenarios.

(iv) "Emission Reduction" continuance: it is a major challenge, since access to the benefits of REDD, also involves commitments to ensure the irreversibility of the emissions reduced for a minimum period which is not currently well clarified. The current forest regulation has elements that require permanence of the forest cover, but it is necessary to strengthen capacities for the correct and efficient management of the forest, and to develop mechanisms to give sustainability to such management, which is a great challenge at present for environmental-forestry institutions in Guatemala. .

(v) Mainstreaming of climate change: Currently, our country has a process of dissemination and cross-cutting of the climate change variable through activities carried out by the national program on climate change of MARN, in coordination with various public institutions in the Inter-Institutional Commission for Climate Change (CICC), for the dissemination of national climate change policy, the integration of the climate change variable in the institutional planning, visualization of deforestation, and how to work the proposal for a reduction of emissions from deforestation and forest degradation (REDD). Other sectors included in this process are: the private sector, academia and organized civil society.

#### **Action plan for the analysis of agents and drivers of deforestation**

While the country has made progress in the generation of information on the causes of deforestation, it more specific information on the different regions of the country is still needed, where quantification, geospatial analysis and participatory analysis of sectors considered to be drivers and the related sectors needs to be deepened. In this regard, the following actions are suggested:

**Table XXX. Action plan for the analysis of causes and drivers of deforestation**

<b>Activity</b>	<b>Probable Date</b>	<b>Responsible</b>
1. Systematization of existing information and analysis of information gaps	2012	MAGA/INAB
2. Analysis in depth about the origin, supply and consumption of firewood in Guatemala	2012	INAB, PFN, IARNA
3. Social, economic and biophysical analysis of the drivers of deforestation and degradation of the forest regionally and nationally, which includes the study of the economic impact of the different scenarios of deforestation, where GDP can be an effective indicator.	2012	MAGA (National Forest Mapping Team) and GIZ
4. Studying the dynamics of the main sources of deforestation and degradation in the country, it includes analysis of the dynamics of the forest cover to 2010	2012	MAGA (National Forest Mapping Team) and GIZ
5. Dynamics of land-use conflict with categories not in accordance with the current and potential use capacity including perceptions and interests of the related stakeholders	2012	MAGA (National Forest Mapping Team) and GIZ
6. Analysis of the implementation of national policies for natural resources and the existing institutional framework, main barriers and	2012	INAB-MARN-CONAP-PFN-IARNA



proposals for improvement, as well as other national policies which in one way or another relate to or affect the forest sector.		
7. Analysis of the regulatory framework for the definition of rights on reductions	2012	MARN-Civil Society
8. To identify the impact of the laws in force, in forest governance	2013	MAGA-INAB
9. Identification of the policies and regulations different from the environmental-forestry ones that have an impact on deforestation (positively and negatively)	2013	MAGA-INAB-SEGEPLAN
10. Analysis on the conservation of forest lands and the drivers of deforestation	2013	GCI and Indigenous Peoples Organizations and local communities
11. Analysis of experiences, based on existing incentive instruments	2013	MAGA-INAB-CONAP
12. Analysis of land opportunity costs and REDD+	2013	MAGA (GCI)
13. Study on monitoring and indicators of the indigenous people for the conservation of the forest	2013	GCI and Indigenous Peoples Organizations and local communities
14. Technical studies on forest carbon and its importance as an environmental service.	2013	INAB-CONAP-MARN
15. Environmental and economic valuation of environmental services generated by forests and their potential for mitigation and adaptation to climate change.	2014	MARN (GCI) Indigenous Peoples Organizations and local communities
16. Workshops for evaluation and validation	2012-2014	GCI

NOTE: This section will be coordinated by the MAGA, according to the agreements reached at the GCI meeting. However some specific tasks will be developed directly by other institutions of the GCI, Academia and organizations of civil society, indigenous peoples and local communities, or in coordination with them.

Consultation processes are planned to generate some of this information or the routes to obtain it, within the framework of focus groups and organizational bodies such as: the National Councils of Rural and Urban Development in prioritized regions and departments, Forest Coordination Working Groups, Alliance of Community Forestry Organizations, Indigenous Authorities Network, Indigenous Bureau on Climate Change and Co-administrative Working Groups of Protected Areas. In these instances, specific issues have been dealt with such as illegal timber forestry, indigenous peoples, administration of protected areas, expansion or strengthening needs of the Guatemalan system of protected areas (SIGAP), forest incentives, climate change, among others.

Considering that the issue of deforestation and forest degradation is of national importance and involves various productive sectors, it is necessary to perform a more extensive and structured consultation process involving other groups. The above is included in section 1b of this document

<b>Table 2a: Summary of Assessment of Land Use, Forest Policy and Governance Activities and Budget (Follow-up Activities Needed)</b>						
<b>Main Activity</b>	<b>Sub-Activity</b>	<b>Estimated Cost (in thousands US\$)</b>				
		<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>Total</b>
Implementati on of the Action Plan to analyze the causes and drivers of deforestation	Information Systematization and analysis of information gaps	2	25			27
	In depth Analysis about the origin, supply and consumption of firewood in Guatemala	2	10			12
	Social, economic and biophysical analysis of the drivers of deforestation and degradation of the forest regionally and nationally		15			15
	Study the dynamics of the main sources of deforestation and degradation in the country, including analysis of the dynamics of the forest cover to the year 2010.		10			10
	Dynamics of land-use conflicts with categories not in accordance with the current and potential use capacity		5			5
	Analysis of the implementation of national policies for natural resources and the existing institutional framework	25	50	50		125
	Analysis of the regulatory framework for the definition of rights on reductions	30	70			100
	Identify the impact of existing laws in forests governance			15		15

Identification of the policies and regulations different from the environmental-forestry ones that have an impact on deforestation (positively and negatively)			50		50
Analysis on the conservation of forest lands and the drivers of deforestation			5		5
Analysis of experiences, based on existing incentive instruments	5		5		10
Analysis of land opportunity costs and REDD+			50		50
Study on indigenous monitoring and indicators for forest conservation			5		5
Technical studies on forest carbon and its importance as an environmental service.				10	10
Environmental and economic valuation of environmental services generated by forests and their potential for mitigation and adaptation to climate change.				30	30
Evaluation and validation workshops	8	10	8	5	31
Travel expenses	3	4	3	2	12
Communications and publications	3	5	5	2	15
<b>Total</b>	<b>78</b>	<b>204</b>	<b>196</b>	<b>49</b>	<b>527</b>
Domestic Government					0
<b>FCPF</b>					0
UN-REDD Programme (if applicable)					0
Other Development Partner 1					0
Other Development Partner 2					0
Other Development Partner 3					0

## 2b. REDD-plus Strategy Options

### Standard 2b the R-PP text needs to meet for this component: REDD strategy Options.

The R-PP should include: an alignment of the proposed REDD strategy with the identified drivers of deforestation and forest degradation, and with existing national and sectoral strategies, and a summary of the emerging REDD strategy to the extent known presently, and of proposed analytic work (and, optionally, ToR) for assessment of the various REDD strategy options. This summary should state: how the country proposes to address deforestation and degradation drivers in the design of its REDD strategy; a plan of how to estimate cost and benefits of the emerging REDD strategy, including benefits in terms of rural livelihoods, biodiversity conservation and other developmental aspects; socioeconomic, political and institutional feasibility of the emerging REDD strategy; consideration of environmental and social issues; major potential synergies or inconsistencies of country sector strategies in the forest, agriculture, transport, or other sectors with the envisioned REDD strategy; and a plan of how to assess the risk of domestic leakage of greenhouse benefits. The assessments included in the R-PP eventually should result in an elaboration of a fuller, more complete and adequately vetted REDD strategy over time.

### RATIONALE

The main stakeholders of the forests in Guatemala recognize the urgency and importance in the country for the implementation of actions to reduce forest deforestation and degradation; and agree that in order for the National Strategy to Reduce Deforestation (ENRD) it must transcend any particular mechanism due to the high complexity of factors that converge on current tendencies, which were described in the previous section. They also understand the requirement of a minimum of technical, legal and financial conditions to make mechanisms such as REDD+ viable in the country. Analysis of drivers and causes of deforestation, as well as the strategy to implement options, will be held throughout the country, with an emphasis on the fronts and foci where the bulk of the deforestation is concentrated. On the other hand, forest degradation is much less known, and dimensions, factors and drivers that cause it must be studied more deeply, as should the strategy options to reduce it.

Obviously the Government's efforts as well as civil society stakeholders' participation in the implementation of the strategy are limited by the current conditions of public finances and of lawlessness prevailing in the country. However, it is clear that the incorporation and participation of the majority of relevant stakeholders in the readiness strategy, and therefore the participatory and democratic construction of the future REDD+ mechanisms in Guatemala is the essential condition to achieve effective and permanent reductions in emissions associated with deforestation and forest degradation. therefore, we can demand, promote and consolidate improvements in environmental and forestry spending, as well as in the country's forest governance, even in the case of a sectorial effort.

### STRATEGY OPTIONS

The options of a REDD+ strategy should be guided by the criteria of generating further reductions at the lowest cost, and to do this, each one must be evaluated in depth. Another criterion of equal importance and one that constitutes a challenge for the process and for the country is the integration of strategy options with the national priorities of development, environmental and forest management, in which forests are considered in a comprehensive manner, for the various roles, goods and services they provide. A first set of strategy options are proposed, from causes and drivers identified in the previous chapter, with the understanding that there should be an approach to address the elements of reducing deforestation and forest degradation as well as the fulfillment of other elements linked to forests management, the improvement of carbon stocks, and actions to ensure the functions of conservation of the ecosystems involved on it.

These options are:

- (i) Harmonizing the framework of policies, plans and instruments in sectors linked to land use, land-use change and forest-environment management: This process must be put forward by the

environmental institutions involved in the REDD+ strategy effort. As part of readiness, the policies and those public institutions subject to harmonization will be identified in a participatory manner with stakeholders. Several sectors coincide in participating in concrete actions to reduce deforestation and degradation, such as the case of mining, public and private infrastructure, rural development plans and in general, and agricultural and energy policies and strategies for relief of poverty in the country. Other instruments of public policy, such as the programs of land registry and regularization of land ownership, must be compatible and integrators, since they seek assurance that land tenure as an instrument to access other services such as markets, credits, organizations, etc. and thus reduce the possibility of selling the land to extensive farming interests.

- (ii) **Strengthening of institutional capacities for monitoring and forest protection, operation of justice and control of illegal logging.** The recovery of governability and governance in areas where the main sources of deforestation are concentrated will allow reducing forest loss in the short term; this implies specific actions such as: improving control and monitoring of areas, recovery of seized areas, adaptation and updating of legislation on environmental crime, improvement of the budget of institutions responsible for monitoring environmental crimes (DIPRONA, Public Prosecutor's Office, Environmental Crimes Prosecutor, among others), and improvement of the operational budget of the institutions that encourage good practices on conservation and forest management as well as the implementation of the required regulations, such as the CONAP and INAB. Given the current conditions of illegality, lack of governance and poor implementation of justice, we must learn the lessons of international mechanisms on how to approach to these issues. Such as the International Commission against Impunity in Guatemala (CICIG), which has enabled the country to increase the resolution of high impact cases in the implementation of justice before great powers.

One of the actions that has recently been adopted is the specific strategy is the fight against illegal logging, but it lacks enough resources for its implementation. A timely activity will be to negotiate financial resources for the implementation of this strategy. Furthermore, to date, there is the inter-institutional plan to fight against illegal logging in forest activities, proposed by the National Institute of Forests (INAB) and **coordinated by the Vice President**, involving all the institutions related to this topic from the legal point of view and justice, and to the technical support instances. It will be necessary to strengthen this initiative to ensure its effectiveness.

- (iii) **Promotion and strengthening of Territorial Management in Guatemala:** during the readiness process, criteria and actions for reducing deforestation and forest degradation should be incorporated, (now dispersed) in the plans for territorial strategic planning which have been developed in recent years by SEGEPLAN, the System of Development Councils and Municipalities, as well as the initiatives of municipal and national public policy for territorial management. The activities that require special attention, regulation and harmonization are:

- a. **the agro-industrial crops (African palm, sugar cane):** these crops are in expansion in the North of the country and represent the second most important driver of deforestation in order of importance. Although in some cases they do not perform direct deforestation, it is the land grabbing and subsequent displacement of farmers in search of new areas, which generates dynamics of deforestation. In this case it is necessary to generate an agreement with these sectors, or that the State generates a policy framework to regulate the development of these activities. This relates to subparagraph (iv), which involves the generation of economic choices that compete with extensive agribusiness.
- b. **urban development:** on the other hand, local governments responsible for urban development of their territories, must adapt their municipal policies and instruments to ensure minimal impact on the forest cover, in view of urban expansion in the municipalities.

**Territorial management must take special care in recognition of the collective and individual rights to land, as well as the clarification of these lands where REDD+ activities could be implemented, all this with an emphasis on respect for the rights of indigenous peoples to their territories and natural resources.**

(iv) **Strengthening of existing programs and creating new mechanisms of incentives for conservation, protection and management of forests, agroforestry systems and energy forestry production activities (economic and non-economic):** Guatemala has extensive experience in the implementation of forest incentives, such as the Forest Incentives Program – PINFOR (for beneficiaries with legal ownership of the land, extensions from 2 hectares), Incentives for Small Holders of Forestry or Agroforestry Vocation Lands Program – PINPEP (not necessary legal ownership, prioritized forest municipalities with high rates of poverty), Incentives for Co-management of Protected Areas (forest community and industrial concessions, co-administration of areas), the Pilot Program of Direct Forest Support – PPAFD (which was managed by the MAGA). Due to the success and concrete results that these programs have obtained as main policy instruments to reduce deforestation and promote sustainable management of forests, their evolution towards environmental services, the multiple functions of forests, and roles in adaptation to climate change and the mitigation of emissions become necessary. The country has developed important institutional capacities with regard to these incentive programs, requiring improvements with relatively low costs and that can adapt to the criteria and standards for carbon and REDD+, these improvements go from direct activities in the field to the distribution of benefits, financial management and MRV mechanisms.

In this context, the strengthening of initiatives such as promotion of alternative activities (tourism, other) are considered. Being finite in time, the economic instruments of Guatemala's Forestry Policy need revision and proposals for improvement or adaptation, aimed at establishing whether they can adapt to new topics such as climate change, also in that framework, ensure the continuity of the excellent results obtained for the proposal of specific instruments for the REDD+ strategy.

(v) **Development of the regulatory framework and institutions involved in the economic activities of environmental goods and services, including forest carbon:** Although the legal environmental framework in our country has been analyzed and strengthened in recent years, this task has focused on the creation of policy instruments to complement existing environmental legislation, mainly related to climate change, coastal marine zones and protected areas. The topic of ecosystem services, its recognition and compensation and payment mechanisms still do not have specific policy legislations or instruments that can establish the necessary basic regulations and institutionalization for priority development and environmental management, and its complement in activities linked to the reduction of emissions from deforestation and forest degradation (REDD+), incentives and payment for environmental goods and services that have in forest carbon a good potential to propose and analyze the possibility of its financial activities. It will be necessary to work in conjunction with teams from the legislature.

(vi) **Promotion of productive activities and livelihoods compatible with the conservation and sustainable management of forests and agroforestry landscapes:** Guatemala, as in the rest of Central America, the needs of adaptation (vulnerability reduction), as well as mitigation of emissions, converge on the problem of the use and degradation of the soil, and consequent deforestation and forest degradation. To respond to this problem it is necessary to bear in mind that between 50 and 66% of farmers/indigenous agriculture occurs on mountain slopes and much degraded soils. Therefore, community forestry and farming are strategic for the achievement of national objectives of mitigation and adaptation, prioritizing sustainable production activities to improve yields and provide food security to populations, including the conservation of soil and agroforestry systems, protection of watersheds and water recharge areas. These strategies are essential to the generation of livelihoods, reducing poverty and vulnerability, as well as sovereignty and food security.

There are some initiatives that can be identified as indicative models (Ecoregion Lachuá, Petén forest concessions), where the work has focused on both areas of forest and surrounding areas (buffer), creating skills with local groups (communities, indigenous groups) for the development of productive options for income generation, and thereby reduce pressure for activities not consistent with the conservation of the forest. This approach could be implemented in areas where the most important fronts of deforestation are. Activities not linked to agricultural and forestry sector should be considered.

- (vii) Development and implementation of a strategy for sustainable use of wood as energy source: currently institutions such as INAB, CONAP and MEM develop efforts to create a dendro energy agenda. Dendro energy is just the technical conceptualization of the use of biomass/wood for energy purposes. The efforts of mechanisms such as PINPEP can strengthen this option, taking into account that it can support the establishment of agroforestry arrangements as well as plantations with the objectives of this nature.

The processes that the Registry of Cadastral Information – RIC is carrying out have considered some safeguards, taking into account that they are projects supported to some extent by the World Bank. In this regard, general indicators have been defined to evaluate the impacts of their measurement and registration actions in the change of soil use in forest areas, and at municipality level. These are actions that are underway and should be coordinated with the REDD+ strategy; on the other hand, there is no evidence of impacts generated in forest coverage, the indebtedness of **local** communities with the Land Fund – FONTIERRA to regularize their lands.

Under this scenario, we propose to conduct a study linking the processes of regularization of land vs. the effective control of deforestation together with the analysis of the dynamics of fronts and foci of deforestation. Through this study, we will also deepen studies on social and environmental impacts that these policy instruments can generate or are generating.

The following Table includes a preliminary analysis on the causes that each of the options of the REDD+ strategy is focused on. It also includes some notes on its feasibility, potential synergies or conflicts, as well as the risk of leakage. The process of implementation of the strategy itself will make it possible to deepen the analysis of drivers and causes, as well as the cost-effectiveness and complementarity of the proposed strategy options.

It is possible that addressing deforestation and degradation of forests as well as plus elements that include forest management, ecosystem conservation and enhancement of carbon stocks, require the combination of more than one of these actions; Table 5 shows the proposals according to the temporary application of the same as well as its impact and sustainability.

**Table 5. REDD Strategy Options.**

Option	Cause of emissions addressed	Feasibility (political, economical, institutional)	Synergies /conflicts with other actions	Leakage Risk
(i) Harmonizing the framework of policies, <b>plans</b> and instruments in sectors linked to the <b>land use</b> , land-use change and <b>forestry-environmental management</b>	Catalyst or inhibitor of all previous causes	Complex feasibility, requires much institutional and sector consensus, to facilitate other actions	It can do synergy with all actions	
(ii) <b>Strengthening of institutional capacities for monitoring and forest protection, application of</b>	Degradation by selective extraction of wood	High feasibility, requires financial support to implement, low cost	Potential conflicts due to implementation	High but manageable if addressed under broad reference



justice and control of illegal logging				regions
(iii) Promotion and strengthening of territorial Management in Guatemala	Deforestation by expansion of agro-industrial crops and displacement of farmers towards deforestation border areas Deforestation due to expansion of urban areas	Complex feasibility, requires consensus with strong economic sectors, high economic cost	Conflict due to competition for land use	Restricted to regions with productive potential for these crops
(iv) Strengthening of existing programs and creation of new incentives mechanisms for conservation, protection and management of forests, agroforestry systems and energy forestry production activities (economic and non-economic)	Deforestation due to subsistence agriculture and small-scale ranching	High feasibility since there are several validated models, high cost for most of the fronts, might require some adjustments to policy frameworks	Synergy with action 7.	Low
(v) Development of the regulatory framework and institutions linked to the economic activities of goods and environmental services, including forest carbon	Deforestation due to agriculture and energy generation through firewood, forest related to water resources.	Average feasibility, requires financing and taking initiatives on economic recognition of environmental goods and services in Guatemala.	Synergy with Action 3.	Low
(vi) Promotion of productive activities and livelihood compatible with the conservation and sustainable management of forests and agroforestry landscapes	Deforestation due to subsistence agriculture and minor scale ranching.	High feasibility since there are several validated models, high cost for most of the fronts		Low

(vii) Strategy for sustainable use of wood as energy source	Degradation due to selective extraction of wood for energy purposes	High feasibility, requires financial support to implement, low cost		
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Each of these options will be consensual and validated, with feedback at all three levels of coordination and intervention proposed in sub-paragraph 1c, as an activity within the consultation process. This process will be facilitated by the GBBYCC, and coordinated through instances of the Political-Governmental level (Socio-Environmental Cabinet CICC). According to the mapping of stakeholders linked to forestry ([www.pfniguate.org](http://www.pfniguate.org)), a balanced participation of all these stakeholders will be established. Mapping includes both stakeholders linked both directly and indirectly, this second group includes stakeholders linked to the change of land use, hence, mapping has a scope sufficiently broad to include the stakeholders affecting the emissions generated by the change of forest and land use both positive as well as negatively.

For many of the proposed options it is likely it will be necessary to amend some regulations, laws, policies or institutional or national strategies which will be essential to the dialogue and joint work with teams of the Legislative Branch (Congress), as indicated in component 1.

#### **Criteria for evaluation of feasibility: cost/benefit, permanence, additionality and leakage**

Being a topic of great relevance and importance, the additionality will be conceptualized from the technical point of view, offering the possibility based on appropriate legislation of enabling a space for proposal to integrate innovative elements that allow these issues to be covered from an interesting and attractive angle for developers of projects.

The main link for the fulfillment of these three technical premises, will be the Monitoring, Reporting and Verification System that will be built from sub-national level to national level, also complemented by the construction of the baseline and benchmark for emissions generated by deforestation in our country, this whole process will be built and agreed to from the coordination of the Government's institutions (MARN, MAGA, CONAP and INAB) that will serve as the basis for the whole technical-political consensus and adaptation of REDD+ to the national context.

In terms of leakage and permanence, these will be activities directly related to emissions reductions through the diversification of activities related to livelihoods of indigenous peoples and local communities, as well as the private sector, local governments and their impact on poverty reduction and other links that may agree with community, indigenous and farmer organizations as well as union associations with agricultural activities, etc.

#### **Costs and benefits of the options**

The options will be evaluated through former economic studies, depending on the variables that are defined for each option. The analysis will be made at three levels: local, sub-national and national. When the approach is sub-national, a regional analysis of each option or measure shall be considered.

If local, we will use local participatory methodologies, for example, the Poverty toolkit<sup>10</sup> evaluation method developed by the Forest Conservation Program of the IUCN, for assessment in the field, and which has

<sup>10</sup> For additional information please refer to [http://www.iucn.org/about/work/programmes/forest/fp\\_our\\_work/fp\\_our\\_work\\_initiatives/fp\\_our\\_work\\_II/fp\\_liveli](http://www.iucn.org/about/work/programmes/forest/fp_our_work/fp_our_work_initiatives/fp_our_work_II/fp_liveli)

been adapted to assess impacts of REDD activities in territories where indigenous peoples and forest-dependent communities live.

In the sub-national and national case, through prospective analysis, making comparisons of costs and benefits depending on the intensity, of social, economic, political and environmental costs that represent the different actions and through analysis of quantitative changes in well-being, we will assess the cost effectiveness of the proposed measures.

The methodological development of these procedures, and the outreach with the stakeholders that will carry out evaluations, must be one of the activities to be considered in the preparation of the strategy. The benefits will be evaluated with regard to livelihoods, especially in the job creation and income in the areas where the strategy option, integrity of ecosystems and biodiversity, resolution of social conflicts, economic growth are applied. The social and environmental aspects will be addressed in detail in the preparation of the SESA strategy.

<b>Table 2b: Summary of Strategy Activities and Budget (or Results Framework)</b>						
<b>Main Activity</b>	<b>Sub-Activity</b>	<b>Estimated Cost (in thousands US\$)</b>				
		<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>Total</b>
<b>(i) Harmonization of policies, plans and instruments framework in sectors linked to the use of land, land-use change and forestry-environmental management</b>	Specific proposals for necessary amendment to ensure reduction of deforestation		20	10		<b>30</b>
	Dialogues with these policy-related sectors		10	5	3	<b>18</b>
	Validation of proposals		2	2	2	<b>6</b>
	Participants' travel costs validations and workshops		3	3	3	<b>9</b>
<b>(ii) Strengthening of institutional capacities for monitoring and forest protection, application of justice and control of illegal logging</b>	Adaptation and updating of environmental regulation		50	100	50	<b>200</b>
	Strengthening of the capacities of institutions (technical and financial)	5	90	70	50	<b>215</b>
	Technical proposals for improvement in the implementation of the forestry and environmental policy		30	30		<b>60</b>
	Identify the limiting factors of the implementation and application of the strategy against illegal logging		5			<b>5</b>
	Develop management tools for obtaining resources: economic, human and infrastructure to improve the performance of the strategy against illegal logging		10	10		<b>20</b>
	Dialogues, workshops, trainings	2	5	5	3	<b>15</b>
	Travel costs	1	3	3	2	<b>9</b>
<b>(iii) Territorial Management for development activities</b>	Technical proposals for territorial management		50	50	5	<b>105</b>
	Adequacy of local and municipal policies		20	50	50	<b>120</b>
	Proposals validation and approval		15	10	5	<b>30</b>
	Travel costs		5	5	3	<b>13</b>

(iv) Strengthening of existing programs and creating new mechanisms of incentives for conservation, protection and management of forests, agroforestry systems activities (economic and non-economic) and energy forestry production	Analysis of gaps for readjustment of existing incentives		30			<b>30</b>
	Rethinking of PINFOR management		15	15	15	<b>45</b>
	Management of PINPEP Rethinking		15	15		<b>30</b>
	Identification and proposal of new incentive schemes		30	15		<b>45</b>
	Validation and approval of proposals		10	10		<b>20</b>
	Travel costs		5	5		<b>10</b>
(v) Development of the regulatory framework and institutions related to the economic activities of goods and environmental services, including forest carbon	Analysis of the existing regulatory framework and information gaps regarding the compensation for environmental services and the rights to emissions reductions	25	30			<b>55</b>
	Development of policy instruments and regulations related to compensation for environmental services, property and equitable sharing of benefits		25	15	10	<b>50</b>
	Strengthening of the institutional team (legal departments) in the specific topic		65	65	65	<b>195</b>
	Team training program for legal persons		25	10		<b>35</b>
(vi) Promotion of productive activities and livelihood compatible with the conservation and sustainable management of forests and agroforestry landscapes	Systematization of experiences: Lachúa Foundation, Concessions of Petén, etc.	2	10			<b>12</b>
	Viable technical proposals for different circumstances and regions of the country		15	15		<b>30</b>
	Workshops, trainings		10	10		<b>20</b>
	Travel costs		5	5		<b>10</b>
	Implementation of demonstrative activities with innovative alternatives		20	65	65	<b>150</b>

(vii) strategy for sustainable use of wood as energy source	Technical proposal for establishment of energy forest		5			5
	Awareness campaigns and information sharing		5	5	5	15
	Identification of energy alternatives different to fuel wood in the case of Guatemala		5			5
	Workshops, validation of proposals, training		10	10	5	25
	Participants' travel costs Workshops and training		7	7	3	17
	Pilot experiments with different energy alternatives		50	50		100
OTHER	Systematization of RIC and FONTIERRA experiences regarding regularization of land and deforestation		25			25
	Assessment of feasibility of strategy options (cost/benefit, additionality, leakage)			100	50	150
	Political and administrative management for approval of proposals (including procedures before Ministers, congressmen, etc.)		20	60	20	100
	Travel costs		20	20	20	60
	Communication, publications, translation local languages		10	10	5	25
<b>Total</b>		<b>35</b>	<b>785</b>	<b>860</b>	<b>439</b>	<b>2,119</b>
Domestic Government						0
<b>FCPF</b>						0
UN-REDD Programme (if applicable)						0
Other Development Partner 1						0
Other Development Partner 2						0
Other Development Partner 3						0

## 2c. REDD-plus Implementation Framework

**Standard 2c. the R-PP text needs to meet for this component:  
REDD implementation framework:**

Describes activities (and optionally provides ToR in an annex) and a work plan to further elaborate institutional arrangements and issues relevant to REDD-plus in the country setting. Identifies key issues involved in REDD-plus implementation, and explores potential arrangements to address them; offers a work plan that seems likely to allow their full evaluation and adequate incorporation into the eventual Readiness Package. Key issues are likely to include: assessing land ownership and carbon rights for potential REDD-plus strategy activities and lands; addressing key governance concerns related to REDD-plus; and institutional arrangements needed to engage in and track REDD-plus activities and transactions.

This component defines the scheme for the design and implementation of economic, legal and institutional arrangements and governance required to implement the strategy.

The proposal indicates the critical path to establish a framework for implementation based on the most plausible scenarios of REDD implementation at national and international levels. Among these, a national reference scenario from sub-national scenarios, which can be compensated through funds and markets.

The framework of implementation will be based on the choices of strategies, which will be reviewed and agreed. This must be consistent with the sub-national approach, where a decentralization of the initial application is necessary and provide a balanced budget for the development of the national framework, as well as the regional framework.

The framework's implementation is defined in 3 stages, so that they can overcome the drivers of deforestation at country level, in accordance with existing national structures and processes. These are represented in Figure 5, and are explained in the following lines.



**Figure 5. Phases of REDD+ implementation**



### **Phase I:**

The REDD+ Strategy will be developed in this phase, clearly identifying the components and roles of the different stakeholders involved in the whole process. This phase will also include identifying causes and drivers of deforestation, the initial prioritization of key policy measures, training and strengthening of institutional capacities both for government and civil society stakeholders. This will be the base for the next two stages, including the MRV. Guatemala is currently at this stage, although there are some implemented or developing actions that also place it in phase II.

### **Phase II:**

The necessary instrumentation should be performed in this phase through the analysis of the work done by the different public and private institutions for a medium-and long-term resolution of the problems identified while preparing the strategy, and integrate efforts already advanced in the inter-institutional plan for the reduction of illegal activities in the forestry sector and the revision of technical instruments executed by both INAB and CONAP.

Developing and modifying policies, laws, rules, programs and other measures that facilitate the mechanism. The institutional capacities, forest governance, information generation, the definition of legal frameworks, the incorporation of the concept in forest management, forest restoration, pressure in protected areas, community management, etc. will be strengthened in this phase. Also, it will foster activities outside the sector that reduce the pressure on the forest (sustainable agriculture, renewable energies, for example). Finally the economic and financial framework of the mechanism will be defined.

We will analyze the feasibility of the strategy options presented in section 2b, through opportunity cost analysis, cost/benefit and others that might be suggested. Decisions will be taken on what options can be implemented and if necessary, propose others, develop work plans to implement the strategy options which it is decided must be implemented.

As noted above, amendments to existing laws or creation of new legal frameworks will likely be required; therefore, it will be necessary to work together with teams from the Legislative Branch (Congress). Since this deals with joint political administration between two independent institutions of the State, it will require experts to facilitate this management, where necessary.

### **Phase III:**

Full implementation consists of execution and financing of various technical, social, economic and financial instruments, the latter would integrate the implementation of forms of payment or compensation of REDD activities. Guatemala is committed to the implementation of a National Strategy for the Reduction of Deforestation, integrating several components to help reduce deforestation and forest degradation, being REDD one of the mechanisms to achieve this goal, although not the only one.

The implementation framework is integrated into the following thematic components: 1) institutional arrangements in the long term; (2) mechanisms for equitable sharing of benefits; (3) emission reductions rights; (and 4) governance reforms.

#### ***Institutional arrangements:***

Based on the structure defined in Component 1a for REDD readiness, the current institutional framework on forests and climate change is given in the MARN, MAGA, INAB and CONAP. However, to define a only and consensual REDD framework, it becomes necessary to set and solve agreements and institutional arrangements to enable the implementation framework to be effective, efficient and equitable, beyond the readiness phase.

Through the integration of the coordination structure, the first step is to define proposals for the institutional framework for REDD+ implementation. The first steps have already been taken for this coordination among the 4 institutions to undertake the readiness phase for the strategy.

At this readiness stage it will have been possible to identify the strengths and institutional opportunities for a single implementation framework based on harmonization and optimization of institutional capacities for the implementation of REDD+. The initiatives, policies, regulations, policy instruments, and institutional actions that can be the basis of the framework for implementing REDD+ have been identified. The work route will be agreed in the dialogue and consultation that will be generated in this readiness process, to implement REDD+.

The existing experiences in the implementation of the forest regulation, as well as positive instruments of forest policy will form the basis for the design of the REDD+ implementation mechanism in the country.

This process allows the progress of the other thematic components of the implementation framework to be focused on, especially in those related to the rights on carbon, implementation mechanisms, sharing of benefits, among others.

Some balances needed to ensure transparency in the context of the implementation are:

- a. The institutional aspect. State inter-institutional arrangements.
- b. Arrangements between the State and implementers.
- c. Clear definition of rights.
- d. Source of social audit.
- e. Facilitation of the State to achieve balances in cases of disadvantaged groups.
- f. Certification by a third party

The stakeholders must commit themselves within the framework of implementation, to reach agreements at least in defining responsibilities and procedures for activities implementation in the field accurately, to clarify issues of benefits and beneficiaries, guarantees and support to those who implement REDD, among others.

These institutional arrangements require a strong component of institutional capacity building, which must be based on the creation and strengthening of the institutional units related to forests, biodiversity and climate change mainly of the implementing institutions. This is a huge challenge to the process, since it is necessary to ensure enough technical working teams with capacities for the development of actions, but also with stability to prevent processes from interrupting. It is necessary to work in this regard, to make the authorities aware of its importance and a good selection of technical teams.

Also, the implementation and mainstreaming of the climate change component through institutional actions and institutional alignment towards the national REDD+ strategy is important, that is why we have proposed (Component 1) linking REDD+ readiness with the CICC and the Socio-environmental Cabinet to coordinate work with other sectors and ensure that the topic is included in the work agendas of the institutions, coordinated by the Ministry of Planning and Programming of the Presidency (SEGEPLAN).

### ***Emission Reductions Rights and Land Ownership***

There have been some previous studies regarding the definition of a legal framework to establish emissions reductions rights in forest carbon projects; specifically in a scenario of voluntary markets, as possible plausible scenarios. These previous analyses in the readiness process are focused on determining the legitimization to carry out avoided deforestation or forest degradation activities (REDD activities), and then the property rights on environmental services generated from these activities.

Preliminary findings indicate that: the legitimization to carry out activities of any kind regarding forest (including REDD), for the generation of additional environmental services, depends on the possession of the land where the forest is located. The complexity in patterns of land tenure and the regularization processes in the country encourage focusing analysis towards the ownership of the emission reductions. It is one of the first and more complex elements to solve in the national agreement.

Ownership or tenure of forests in Guatemala, as we saw before, is in the hands of the State or as communitarian, private, municipal property. In addition to this, it is clear who are the stakeholders that engage in actions to protect and preserve the forests. This must be the starting point for addressing the discussion on the emission reductions rights.

In Guatemala there is a specific regulatory framework to establish rights on environmental services, and especially to reduce GHG emissions from deforestation and degradation. Therefore, we propose a discussion on the possible options.

### **Actions to address emission reductions rights**

For forest holders and owners, there is no great contradiction to define the rights of the reductions, whether private, community or municipal; however in the lands of the State, several criteria have arisen, especially where there are other stakeholders linked to the administration of the areas (usually protected areas). In this context, by legitimizing emission reductions rights, the range of options for REDD+ implementation will open with more cost-effective redistribution mechanisms, consistent with the REDD+ strategy.

The experiences that the private sector and municipal territories have had to define its emission reductions rights in voluntary markets, have been confined to land ownership and legitimacy to carry out activities that generate carbon reduction, fixation or removal; and has been the basis to begin the negotiation or to seek compensation. The starting point for defining rights in other territories could be: land ownership or peaceful possession.

Another element that is proposed, based on private experience, is that the State can compensate for the reductions through their existing mechanisms, and that with the transfer of rights to the State, after compensation, the State can look for the best option for the use of reductions, with a vision of sustainability for the country. That is, funds, markets or other arrangements. Existing mechanisms such as PINPEP, have a legal and financial structure that will allow proper management of the approach.

Also through the MARN, a governance reform is being requested through the creation of the Climate Change Act, which has specific articles that define the regulatory scheme for the reduction rights, depending on the system of ownership or possession of lands with forests. The law is in the Congress, pending for approval.

As the subject of rights on reductions is further clarified and defined, we can continue with the REDD+ process. This will allow the actions to be directed towards the implementation of a cost-effective REDD+, and also open spaces to make the recognition of the co-benefits.

Based on the experiences on recognition of the rights generated by existing mechanisms such as PINPEP and PINFOR, as well as REDD+ pilot cases in Sierra Lacandón, the Peten Maya Biosphere Reserve and in the Lachuá ecoregion, Alta Verapaz, we will seek to accomplish an analysis of existing plans or future alternatives to define rights on emissions reductions; the analysis shall include at least the following: (a) to identify specific or additional legal framework to establish a thematic conceptualization; (b) to establish legitimacy of environmental services and property rights; (c) to define a workable legal mechanism to recognize emission reductions rights; and (d) propose instruments to make the proposal viable. At national level, it is necessary to define these aspects and design instruments of easy application in accordance to the defined implementation framework of the strategy.

### **REDD+ Implementation**

REDD+ implementation will be carried out through the strategy options proposed in paragraph 2b that are agreed upon the process to cost-effectiveness, in regard to the causes and drivers of deforestation in each of the analyzed cases. It would be expected that the existing instruments that should be adapted or those new to be developed for each choice of strategy should have been identified and agreed with

stakeholders at this point. In this stage, a framework for the implementation of these instruments would be developed.

The implementation is proposed through existing mechanisms, with the appropriate modifications. For example, REDD+ coordination team has proposed developing mechanisms for benefit-sharing based on the achievements of the country's incentive programs, such as PINFOR and PINPEP, considering the experience, the results obtained and the credibility that the mechanisms have achieved among the stakeholders. The goals of programs like PINFOR and PINPEP should be more explicit in terms of the reduction of deforestation and forest degradation to ensure that the mechanisms used meet the requirements of the UNFCCC, even when these programs already include REDD+ activities.

It is clear that it will be necessary to make other improvements or adaptations to these mechanisms, as well as to ensure the financial sources to provide incentives and thus achieve the REDD+ objectives. Innovative mechanisms will be established to prevent the programs from being vulnerable to political interference, which can impact on the allocation of the annual budget.

It is also important to make progress in decentralization, capacity building and knowledge sharing to local stakeholders, which will be achieved with the training programs that were proposed in Component 1b, as well as participatory mechanisms that will be generated for the entire process and specific ones for consultations. While the alleviation of poverty is not the main objective of REDD+, given the levels of poverty in Guatemala, it is recommended that any REDD mechanism design set targets for its reduction.

Finally, the various programs must be integrated under a strategic framework to generate synergies and avoid duplication of efforts, which is being proposed as a National Strategy to Reduce the Deforestation (ENRD). It will also promote coordination and synergies with other forums and work teams established to implement initiatives consistent with the ENRD, such as the High Level Committee Against Illegal Logging, for example.

Another challenge, now that the voluntary carbon markets are interested in some of REDD+ pilot initiatives, is to clarify the legal and institutional framework for REDD and the development of an effective national strategy for its implementation. It will be ensured that demonstrative activities that will negotiate avoided emissions before REDD+ is agreed by the UNFCCC and in Guatemala, are accounted for in a national registry and double accounting is avoided when the country fully implements a REDD+ regime.

In the readiness framework, within the practical developing of the mechanism, demonstration activities in the field have been incorporated including the definition of a sub-national reference area, in the north part of the country, the developing of a baseline and models of deforestation to develop REDD+ projects in specific territories in the area of reference.

Guatemala has initiated the development of sub-national baseline scenarios at the same time that a comprehensive MRV system will be designed at the national level, so these sub-national scenarios should use methodologies and compatible and comparable data, so that when complete lines bases have been obtained, they can be complemented into a single national one. This is described in greater detail in Components 3 and 4 of this document.

### ***Mechanism for Benefits Sharing***

With the adaptation of the PINFOR and PINPEP instruments, one of the options can be generated to develop cost-effective mechanisms and equitable benefits sharing. This is based on the successful experience they have had up to now.

These programs have developed economic, legal and operational frameworks which have allowed their goals and targets to be met with high levels of efficiency and effectiveness. The financial sources of these programs are essentially from the State, through allocations covered in law; and on the other hand, there has also been funding through donations from international cooperation, and loans from multilateral

agencies. In a period of 13 years, these programs have invested more than 1.3 billion quetzals (US\$160 million) of which more than 75% corresponds to funds from State sources.

Moreover, there are also specific funds that finance environmental conservation activities through projects submitted in annual calls for proposals. These funds (FONACON, FCA, etc.) operate through joint Government, ONG's and international cooperation schemes, with their own financial mechanisms. These funds have been more limited in terms of financial coverage (20 million quetzals per year – 2.5 million dollars) and broader with regard to thematic areas to be funded. So the financial experience that can generate by the individual forest carbon projects that have been previously described must also be capitalized.

There is enough evidence that in Guatemala there is extensive experience in the use of financial schemes and mechanisms for conservation and generation of environmental services, which will facilitate the implementation of a REDD mechanism.

Financial schemes to be defined must comply with basic criteria of efficiency, effectiveness, fairness and flexibility. In addition, it must consider financial stability through public and private funding, national commitments, a portfolio of the mechanism and additionality on public funds.

### **Governance Reforms**

The definition of the implementation framework will take place under the current scenario in institutional, legal and economic matters. The process, **as pointed out in previous sections**, will identify specific reforms in governance, to ensure the viability of some of the defined thematic components.

However, there are other local reforms related with dialogues and agreements between strategic stakeholders, institutional arrangements, **transparency**, etc.

To monitor all the process it will be necessary to develop reforms to make an adequate monitoring, reporting and verification scheme viable.

Specifically on the issue of reporting and verification, the implementation framework requires the development of a greenhouse gas emissions registration and accounting system. To this effect, the system of sub-national references scenarios will be developed to establish the monitoring of land use changes and changes in emissions related to deforestation and degradation which will be addressed in Component 4. These sub-national lines will constitute a figure that will be the national reference scenario for avoiding double accounting, especially because the system of monitoring and registration of projects will be implemented nationally. **The national system for the registration of projects shall be established within the framework of this component.**

The implementation framework will be monitored through a specific component that includes institutional, financial, legal, economical and governance elements. This is different and additional to the MRV system, which will result in a joint scheme of monitoring and evaluation.

The proposal will allow the country to comply with investment, technical support, technology transfer, etc. premises.

### **Legal Arrangements**

**Inter-agency coordination will propose a dialogue to multiple stakeholders on viable legal plans to implement and give support to the actions described in the paragraphs above. In this regard, it may be necessary to amend laws or regulations, as well as to create new laws and specific regulations. This will be defined during the readiness phase.**

This will be the starting point to agree on consensus arrangements, schemes, mechanisms and governance reforms to properly define this critical point, considered by the stakeholders as the basis to continue the REDD+ Readiness process and implementation.

According to progress and experience, it is clear that the rights of indigenous peoples and local communities dependent on forests are the basis for discussion; as well as land ownership of private property or schemes of peaceful possession of forest territories.

As noted in previous chapters, the mechanisms which have shared benefits from forest activities, have recognized the right, under the existing schemes, and that do not generate conflicts between land possessors and owners or other arrangements of peaceful possession and without conflicts of land. Based on the schemes existing in the country, it will be necessary to modify them, and as they are governed by specific laws, they will require revisions, proposals for modification, liaison with stakeholders and before the Congress.

Table 2c: Summary of Implementation Framework Activities and Budget						
Main Activity	Sub-Activity	Estimated Cost (in thousands US\$)				
		2011	2012	2013	2014	Total
Institutional arrangements for implementation	Systematization experience (strengths and opportunities) institutional arrangements of the preparation phase and proposal for improvements for a implementation framework	1	1	1	10	10
	Management arrangements on the implementation work route (new institutional arrangements)	1	1		10	10
	Meetings	1	1		4	4
	Definition of procedures and responsibilities for the implementation of REDD+ activities on the field	1	1	5	5	10
	Strengthening of the institutional technical teams (forest and CC Units)	1	70	70	70	210
Actions to resolve rights on reductions	Analysis of existing schemes or future alternatives for definition of rights on emissions reductions	1	50	20	1	70
	Political management and approval of proposals (working with Ministers, Secretaries, Congressmen, civil society, etc.)	1	1	50	50	100
	Workshops, validation of proposals, training	1	2	5	3	10
	Participants' travel expenses, workshops and training	1	1	3	2	6



REDD+ Implementation	Development of implementation plans of the instruments agreed upon for each prioritized strategy option			50	50	100
	Analysis of sources and innovative financial plans to ensure instruments financing			25	25	50
	Dissemination and training activities			25	25	50
	Participants' travel costs workshops and training			8	8	16
	Publications and translation			10	10	20
Governance Reforms	Implementation of governance reforms at local and national level				50	50
	Proposals of dialogue and agreement plans, transparency, etc.				30	30
	Establishment of a national registry of projects		50			50
	Workshops and meetings planning and validation		5		25	50
Legal Arrangements	Proposals for viable legal plans to implement and support actions			15	15	30
	Management of amendments to laws, regulations, policies, etc. with stakeholders and corresponding authorities			30	30	60
	Workshops and Meetings logistics			20	20	40
	Participants' travel expenditure in meetings			7	7	14
Total		0	178	343	449	970
Domestic Government						0
FCPF						0
UN-REDD Programme (if applicable)						0
Other Development Partner 1						0
Other Development Partner 2						0
Other Development Partner 3						0



## 2d. Social and Environmental Impacts during Readiness Preparation and REDD-plus Implementation

Standard 2d the R-PP text needs to meet for this component:  
Assessment of social and environmental impacts:

The proposal includes a program of work for due diligence for strategic environmental and social impact assessment in compliance with the World Bank's or UN-REDD Program's safeguard policies, including methods to evaluate how to address those impacts via studies, consultations, and specific mitigation measures aimed at preventing or minimizing adverse effects. For countries receiving funding via the World Bank, a simple work plan is presented for how the SESA process will be followed, and for preparation of the ESMF.

In Guatemala, when the construction and implementation of a strategy for reducing deforestation has been put forward, where the REDD+ mechanism is one of its main instruments of implementation, the positions and perceptions of stakeholders have been diverse. However, the preparatory process proposes a consultation mechanism which in consensus defines the most cost-effective strategy options for reducing deforestation, and it will also be necessary to have the objective elements that identify, estimate and evaluate the social and environmental impacts that both the REDD+ strategy options as well as the policies can generate.

This process will be implemented through a strategic assessment of the social, **cultural** and environmental impacts. The first stage will be to define the structure of the environmental and social management of the REDD+ strategy, its reforms in governance and its actions. To do this, the methodological outline proposed by the World Bank with its safeguards policies can help developing a strategy to ensure minimum negative social and environmental impacts, accompanied by policies, instruments and actions for the mitigation of such impacts.

### Procedure for the SESA

During the readiness and implementation of REDD+, Guatemala will develop an assessment of the social and environmental impacts; through a strategic environmental and social assessment (SESA).

The SESA aims to:

Evaluate in a participative manner, the impacts that the REDD+ strategy options will generate in social and environmental terms; which will provide the technical, social, economic, environmental and political considerations to address the mitigation of such impacts, as well as the consideration in the policies and instruments to be developed.

Create a space for discussion and proposal within key stakeholders in the REDD+ strategy to evaluate the social and environmental impacts of REDD+ strategy, its options and actions in forest territories, especially **local** communities and indigenous peoples.

The incorporation of the evolution and results and the SESA, will be taken into account at two levels:

At local or territorial levels which will include the analysis of the social and economic impacts according to the REDD+ actions proposed in the options for specific territories. This level will have a very important

component for the participation of local stakeholders, especially forest-dependent communities and indigenous peoples.

At macro-level, which will make the national or sub-national evaluation of impacts that the policies and instruments of the strategy will have on the system economically and environmentally; from which the appropriate measures to propose reforms and policy instruments will be taken.

### Plan to develop the SESA

	Activity	Schedule (months)																	
		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
1	<b>Participatory</b> definition of stakeholders or stakeholder groups	X																	
2	<b>Establish</b> institutional arrangements for the management of the SESA	X	X																
3	Preparation/consensus of the plan to develop the SESA. It includes identification of necessary studies	X	X																
4	<b>Prioritization</b> and development of studies			X	X	X	X	X	X										
5	<b>Preliminary analysis of social, cultural and environmental impacts that could result from REDD+ activities</b>								X	X									
6	<b>Focus groups to define preliminary impacts</b>									X									
7	Analysis and participatory evaluation of the social, cultural and environmental impacts										X	X							
8	Preliminary report of impact assessment												X						
9	Outreach of the results of the evaluation													X					
10	Time for comments and validation of results													X	X				
11	Preparation of the SESA national report															X			
12	Participative preparation of the environmental and social management framework															X	X		

13	Outreach and validation of the environmental and social management framework																	X	
14	Environmental and social management framework defined																		X

# 1. Institutional arrangements for the management of the SESA

Within the framework of the definition of the institutional arrangements for the readiness process, the definition that the arrangement or institution will be responsible for conducting the management of SESA must also be included. The Ministry of Environment, where the national unit of climate change is, will coordinate this effort. Especially because the analyses and evaluations transcend the scope associated with forests. The responsible for this process should coordinate efforts from the government and other entities outside the government, to ensure that the largest number of stakeholders affected either positively or negatively with the actions and policies, are involved.

# 2. Definition of stakeholders or stakeholder groups

The update of the map of stakeholders, and before concluding it, this process should identify groups of stakeholders linked to the management and conservation of forests (e.g.: indigenous peoples and communities); also, stakeholders that previously are identified as causes and drivers of deforestation. It will be with these groups of people that the consultation process on the social and environmental impacts options for strategy and policies will begin. The identification of the necessary studies to substantiate the analysis is also necessary.

# 3. Preparation/consensus of the plan to develop the SESA. It includes identification of studies

After having defined the stakeholders, consensus will be sought with them to develop the SESA. The first steps will define the options and policies to evaluate and then identify the major studies that can support the discussion and conclusions.

# 4. Identification and development of studies

At this stage the studies to support the discussion of impacts, as well as specific studies needed to assess impacts on issues identified by stakeholders will be identified and carried out.

# 5. Analysis and assessment of social and environmental impacts

With the results of the studies the analysis of the social and environmental impacts will be deepened and the assessment will be performed. A format will be prepared to carry out the assessment and to collect all the elements of analysis, with evaluation criteria, where indicators will be defined to have objectivity. A process of feedback from key stakeholders will be important here.

The methods will be through focal groups, consultations, studies and evaluation methods implemented by the operating policies.

# 6. Outreach of the assessment results

The assessment and its results will be subject to outreach within the process of consultation that is defined in the Component 1c. The recommendations that contribute to establishing the steps for the preparation of the national environmental and social management framework impacts, considering the safeguard policies suggested by the World Bank and other schemes as the safeguards for REDD+ by the SES Initiative that promotes the CCBA, will be found here.

# 7. Preparation of the national SESA Report

The report generated from the SESA, will be the starting point for defining the framework for the management of the social impacts generated by the REDD+ strategy.

This will be through the Environmental and Social Management Framework known as ESMF.

# 8. Preparation of the Environmental and Social Management Framework, ESMF

The ESMF aims to define the procedures to manage the potential impacts on the environmental and social framework. Participation and feedback from stakeholders is essential to the validity of this process.

The content of the SESA and the ESMF is defined by at least:

- i. A report of the downside risks and benefits of strategy options prioritized by the stakeholders.
- II. Measures of mitigation and risk management options.
- III. Approach schemes of the social, environmental and political impacts.

The ESMF will take as a basis the World Bank's operational policies, and will also take into consideration the process of local analysis of safeguards of the CCBA.

Operational policies and their implementation instruments to be considered are:

### **Environmental Assessment**

OP 4.01. Environmental Assessment. To address the potential environmental impacts.

### **Social Assessment**

OP 4.10. Indigenous Peoples: Whereas the indigenous peoples of Guatemala are closely tied to natural resources, especially forests, in environmental, cultural, rights, food security, sources of energy, etc.

The consultation process with indigenous peoples is essential to legitimize and take into account their rights. This policy seeks to identify and address the impacts of REDD+ on indigenous peoples.

OP 4.12. Involuntary resettlement. It will evaluate the impacts by displacement and involuntary relocation of communities and indigenous peoples, especially by the land use changes, agro-industrial expansion, and livestock; or by negative impacts as a result of extreme weather events.

The cultural impact assessment will be a process to assess the likely impacts that REDD+ projects can cause regarding to a community's way of life, the assessment will analyze generally both beneficial and adverse impacts on their worldview, spirituality, principles and values, rules, statutes and laws, traditional knowledge, languages, customs, economy, relations with the local environment and particular species, social organization and traditions.

### **Indigenous rights and safeguards:**

The State of Guatemala will respect, recognize and implement within the framework of REDD+, the right of indigenous peoples to maintain and strengthen their own **spiritual relationship with the lands, territories, forests, waters, and other resources** that they have traditionally owned, occupied or acquired.

It will promote that indigenous peoples have the right to own, use, develop and control the **lands, territories and resources** that they possess because of traditional ownership or other traditional occupation or use, as well as those who have purchased in another form (legal forms like buying and selling, etc.). This applies to **lands and territories where REDD+ activities could be implemented**.

The State will ensure the legal recognition and protection of these **lands, territories and resources**. Such recognition shall duly respect customs, traditions and indigenous land tenure systems.

The indigenous peoples will be guaranteed their right to redress, by means that can include restitution or, when not possible, a fair and equitable compensation for the **lands, territories and resources** that traditionally have been owned or occupied or used otherwise, and which have been, taken, occupied, used or damaged **for the implementation of REDD+ actions** without their free prior and informed consent.

Indigenous peoples are guaranteed their right to the **conservation and protection of their forests and the productive capacity of their lands or territories and resources**. Hence, programs will be

established and executed as well as innovative support incentives for indigenous peoples to ensure conservation and protection, without discrimination and with the aim of ensuring the strengthening of existing structures.

In accordance with national legislation, knowledge, innovations and practices of indigenous and local peoples shall be respected, preserved and maintained relevant for the conservation and sustainable use of their forests.

Table 2d: Development of the SESA						
Main Activity	Sub-Activity	Estimated Cost (in thousands US\$)				
		2011	2012	2013	2014	Total
Definition of stakeholders or stakeholder groups	Facilitation, meetings and workshops		8			8
Establish institutional arrangements for the management of the SESA	Meetings, workshops		8			8
	Facilitation of workshops and meetings		5			
	Participants' travel expenses		2			2
Preparation/ consensus of the plan to develop the SESA. It includes identification of necessary studies	Consulting		5			5
	workshops, meetings, agreements		5			5
	Participants' travel expenses		2			2
Studies prioritization and development	Facilitation		5			5
	Preparation of studies		50			50
	Workshops		20			20
	Participants' travel expenses		5			5
Preliminary analysis of social, cultural and environmental impacts that could result from REDD+ activities	Consulting		4			4
	Focus groups (logistics)		2			2
Analysis and participatory evaluation of the social, cultural and environmental impacts	Facilitation of consultations and preparation of final report		6			6
	Regional workshops		15			15
	Participants' travel expenses		5			5
	Socialization and validation of the results of the evaluation		3			3

Publication of SESA national report	Publications		5			5
Participative preparation of the environmental and social management framework	Consulting		5			5
	Regional workshops socialization and validation		15			15
	Participants' travel expenses		5			5
Publication of environmental and social management framework	Publications		5			5
<b>Total</b>		<b>0</b>	<b>185</b>	<b>0</b>	<b>0</b>	<b>185</b>
Domestic Government						0
<b>FCPF</b>						0
UN-REDD Programme (if applicable)						0
Other Development Partner 1						0
Other Development Partner 2						0
Other Development Partner 3						0
<b>Total</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

## Component 3: Develop a Reference Level

### Standard 3 the R-PP text needs to meet for this component: Reference Level:

Present work plan for how the reference level for deforestation, forest degradation (if desired), conservation, sustainable management of forest, and enhancement of carbon stocks will be developed. Include early ideas on a process for determining which approach and methods to use (e.g., forest cover change and GHG emissions based on historical trends, and/or projections into the future of historical trend data; combination of inventory and/or remote sensing, and/or GIS or modeling), major data requirements, and current capacity and capacity requirements. Assess linkages to components 2a (assessment of deforestation drivers), 2b (REDD-plus strategy activities), and 4 (MRV system design).

(FCPF and UN-REDD recognize that key international policy decisions may affect this component, so a stepwise approach may be useful. This component states what early activities are proposed.)

### 3.1 Rationale

Different studies developed in recent years suggest that deforestation in Guatemala is a multi causal phenomenon strongly associated with processes such as the expansion of the agro industry, forest fires, public policies focused on the development of the agro industry, unfavorable economic conditions for forestry activities, the absence of job opportunities in rural areas and the disorderly growth patterns in human settlements.<sup>11</sup>

Forest coverage in Guatemala has been monitored since 1988, through the use of remote sensors and SIG. Many of the mapping efforts carried out since then have used diverse methodologies, data sources and classification systems, which makes it difficult to use those results in a multi temporal and systematic analysis of the deforestation in the national territory.

In spite of the aforementioned, Guatemala possesses a temporal data series on forest coverage from 1991 up to 2010 and which is actually being updated until 2010. This series has been developed using reasonably consistent methodologies and data source, which makes it a valuable resource for the establishment of a national baseline scenario.

Given the diversity of the country's physiographic and socioeconomic conditions, as well as the heterogeneous availability of historic information and current national capacities, Guatemala has urged under the framework of the UNFCCC the need to implement activities to reduce deforestation at a sub-national level; and in this way implement activities in regions that are defined as priority.

Guatemala has already started the development of the first sub-national baseline scenario in the region called Tierras Bajas del Norte – TBN, a region in which around 70% of the country's deforestation is concentrated. In order to boost this process, groups of government institutions related to forest resource management have been organized (MARN-CONAP-INAB) in strategic alliances with other organizations present in the region. This baseline scenario takes into account only deforestation and not degradation due to lack of information and the complexity of its analysis and monitoring. The method selected is based on historical data of forest coverage and deforestation rates and the spatial projection of deforestation over a 30 year scenario. The required carbon densities for the estimation of emissions have been obtained with the existing information on forest and carbon inventories available in the region.

The following table supplies details on the monitoring of forest coverage in Guatemala, from 1998 up to today:

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<sup>11</sup> IARNA-URL. Guatemala's Environmental Profile, 2006.



### **Historical monitoring of the forest cover in Guatemala, using data from remote sensors and SIG**

In 1998 the first efforts to quantify the country's forest cover using information from remote sensors was carried out. This effort was carried out by the Food and Agriculture Organization of the United Nations, through the Office for Monitoring the Forest Action Plan in Guatemala, PAFG. Using a visual Landsat TM image interpretation system, the results of this project revealed forest cover of 53% of the surface of the national territory.

In 1999 the National Forest Institute, INAB, quantified the forest coverage of the country through a similar methodology to that used by PAFG. In this opportunity, both visual interpretation as well as digital classification techniques of Landsat TM images were used. The forest cover for that year was 35% forest and 23% of forest associated with other land uses.

Also in 1999, the Ministry of Agriculture, Livestock and Food (MAGA) created a land use map for the country; the forest cover was 39.5%.

In 2004, a consortium of institutions integrated by the National Council of Protected Areas, the National Forest Institute, the Ministry of Agriculture, Livestock and Food and the Universidad del Valle of Guatemala, with the financial support of the Forest Action Plan for Guatemala, published a map of national forest coverage based completely on digital Landsat TM images from 2001; the forest cover was 39.9%

In 2006, CONAP, INAB and UVG, with the financial support of the Productive Agro-Food Re-conversion Support Program, PARPA (from MAGA), through a loan from the Inter-American Development Bank, IADB, published a study called "Dynamics of Forest Coverage in Guatemala during 1991, 1996 and 2001" which became the first effort at quantifying forest cover gains and losses in Guatemala. The determination of the forest cover for each year of study was carried out entirely by the means of digital classification of the satellite images. This allowed the level of precision of the mapping of the forest cover to be improved, in comparison to previous efforts. This study estimated an annual loss rate of 73,148 ha, equivalent to 1.43% of the forest cover at the beginning of the study. It also estimated that 64.82% of the losses were concentrated in Petén state.

In 2010 the limits for the sub national regional of Tierras Bajas del Norte –TBN were defined in a participatory process, the methodology of unplanned deforestation approved by Verified Carbon Standard- VCS was adopted; forest cover 2010 analysis was carried out and the methodologies for the maps of forest cover 2001 and 2006 were standardized, according to standard requirement with the aim of establishing the historical deforestation tendency for that period. Parallel to this a stratified analysis of agents and causes of deforestation was made, which allowed the main variables and actors that intervene in the deforestation dynamics to be identified. With this information a spatial model to project deforestation over a 30 years period was built. A recompilation was made of all the information contained in forest and carbon inventories, and their usefulness in estimating carbon contents was estimated. All this information was used to estimate the Scenario of GEI Emissions for the TBN sub-national Region.

The work in the TBN sub-national region responds to the objective of generating experience and national capacity in the establishment of an initial baseline scenario, as well as concrete field experiences that could apply as demonstrative activities in a region where the largest part of deforestation occurs.

In 2011 the effort to update Guatemala's Forest Cover Map using 2010 data was concluded. The results of this study indicated that Guatemala's Forest Cover in 2006 was 3,866,383 ha, the equivalent to 35.5% of the national territory. This same study reviewed 2001 data, determining that in that year forest cover was 38.1% of the national territory. This data enabled a net annual deforestation rate to be estimated (after discounting recovery from the gross rate) of 48,084 ha/year, during the 2001-2006 period.

### **3.2 Feasibility analysis for the establishment of a baseline scenario based on historical emission trends.**

The establishment of baseline scenarios based on historical trends of emissions requires the availability of solid historical data on forest cover and carbon density in the forests. Many developing countries do not have, or only partially have, this type of information. Guatemala does not escape this condition.

The following discusses the availability of critical historical information for the establishment of a baseline scenario based on historic trend.

#### **a) Forest Cover**

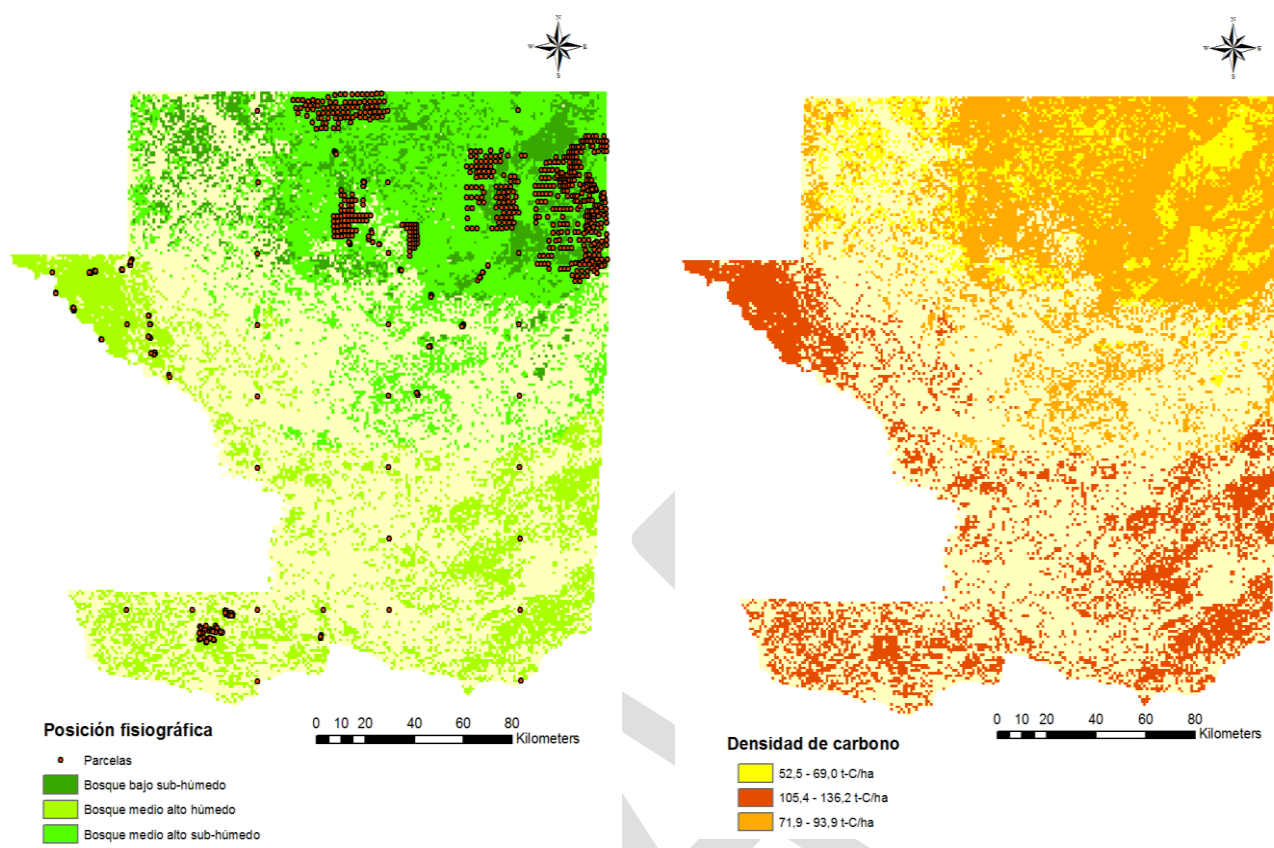
As it was previously explained, Guatemala has a series of historic data on forest cover that goes from 1991 up to 2006 and which is currently being updated to 2010. This series has been obtained using methodologies and data from remote sensors which are reasonably consistent, which makes it a valuable resource for establishing a national baseline scenario based on historic trends.

#### **b) Forest inventories**

A critical deficiency is the lack of data on national forest cover inventories that allows carbon densities in forests to be estimated. In this context, Guatemala relies on a (2003-2005) National Forest Inventory, carried out with FAO methodological and financial support. This inventory was originally developed to determine wood volumes and the physical conditions of the country's forests. This inventory is characterized by its low volume of sampling. Nonetheless, this data is considered as a viable base for the estimation, by indirect means, of the existence of carbon in different forest types.

In addition to the previous information, there are various regional and local efforts regarding to forest inventories, done over time by various institutors for different purposes, amongst them, mainly sustainable forest use, carbon emission estimations, scientific and academic investigations. A significant portion of this information is dispersed, due to the fact that no effort has been made to compile or systemize the data. At the same time, various methodologies have been used according to the particular objectives and circumstance of each initiative.

A relevant case is represented by the Mayan Biosphere Reserve region, in the north of the country where several forest inventories initiatives have been conducted with a greater intensity of sampling and with a system of permanent natural forests plots (Figure 6) developed by Forest Concessions due to the forest certifications which they are bound to obtain. It is considered that this information constitutes an adequate base to establish a regional baseline scenario.



**Figure 6: Forest inventory plots and preliminary carbon density map for the TBN region**  
(Source: Preliminary results of the study of base lines for Guatemala's Tierras Bajas del Norte)

In collaboration with various stakeholders from the civil society and with the assessment of an international consulting firm, a study to determine the reference emissions of the TBN sub-national region has been carried out. Through this initiative it was possible to collect data, to apply quality control and exhaustively analyze the data on forest and carbon inventories from multiple sources, accomplishing the development of a first carbon density map (Figure 6). It is foreseen that the study will be concluded at the end of 2011 for its national validation and submitted to an independent auditor for its international validation.

As it has been previously indicated, the generation of information for this sub-national region responds in the first place, to the fact that it is the area with highest deforestation rate in the country, counting on with ample information and, in a general sense, the need to create and strengthen national capacities, before advancing in the characterization of other areas of the country and their respective sub-national baseline scenarios, in order to do it properly. It is very clear that the characteristics of every sub-national region proposed up to now differ regarding to forest dynamics, deforestation causes and agents, etc; it is mainly due to these differences that the country has decided to establish a national baseline scenario based on sub-national scenarios.

### c) Analysis of causes and drivers of deforestation

Identifying the causes and drivers of deforestation and degradation of forests is a necessary activity in order to understand the dynamics that lead to deforestation. This understanding is an important step to try to model changes in the forest coverage and carbon densities in forests.

In Guatemala there is limited information (and even less spatially explicit) to be able to develop these models.

Based on the experience acquired in the developing of the sub-national baseline scenario of the Tierras Bajas del Norte, currently under development, one of the phenomena locally recognized due to their impact on forest cover and the carbon content in the forests are forest fires. According to official data, between 1998 and 2009, an average of more than 600.000 ha of forest annually were affected by fires, the largest part of them of an anthropic origin. Due to this being one of the worst threats faced by the country's forests, the System of Geospatial Information for the management of fires in Guatemala (SIGMA) was created. This system counts on spatially explicit information on forests affected by fires, with complete national cover and with temporary cover from 1998 up to 2009.

This information is considered to be a resource of great relevance for the establishment of a baseline scenario based on a historic trend. Nonetheless, it is necessary to develop a project for the identification and characterization of other causes and drivers of deforestation in the main deforestation points in the country.

A preliminary analysis of information for the establishments of a baseline scenario based in historic trend of the emissions is attached at the end of this chapter.

In spite of the gaps identified, it is considered that Guatemala has the historic information that makes it feasible to establish a baseline scenario based on the historic trend of emissions from the last 10 to 20 years.

The previous analysis has permitted the identification of a series of activities to develop, which are necessary to fill the information voids that have been detected. These activities are part of the readiness phase for the implementation of REDD+ in Guatemala and are taken into account in the present plan.

### **3.3 Feasibility analysis to develop previsions for changes in forest cover and carbon densities, based on current national conditions and different macroeconomic and development scenarios.**

Currently, there are no previously registered experiences in Guatemala where an attempt has been made to model the behavior of forest cover and carbon densities in the forests based on their relation with socioeconomic and development tools and indicators

Additionally, the incipient development of national macroeconomic and development scenarios in the long term, that will allow in the short term, the carrying out of analysis to identify the levels of correlation between the changes in the coverage and carbon density with the socioeconomic and development indicators that characterize these scenarios.

Some national experts consider that there is potential to review information already available related to past and future deforestation. Some examples of this include data which is connected directly or indirectly with deforestation and which is available on such things as the growth of production and export of sugar, palm oil, amongst others. On the other hand, the connection between variables such as the urbanization rates, localization of the beneficiaries of remittances, PINFOR orientation, among others, can eventually help find links between re-vegetation and reforestation according to the latest data available. Even if that data can probably not be used directly by a specific sub-national model because of the level of detail, it can explain some trends that have been observed.

The previous information allows us to perceive that a very complex effort on the construction of national macroeconomic and development scenario will be needed, as well as in the capacity building amongst stakeholders in the forest sector, prior to trying to implement these type of models.

This highlights the need of exploring the context and defining with more depth the local potential to develop projection models of the changes in forest cover and carbon densities based on current national circumstances and macroeconomic and development scenarios.

### 3.4 Plan for the development of a baseline scenario in Guatemala.

#### a) Institutional Arrangements:

As an institutional framework a coordination group was put together, integrated by the Ministry of Environment and Natural Resources, Ministry of Agriculture, Livestock and Food, the National Council of Protected Areas and the National Forest Institute, who are involved with the management of the country's forest resources; this coordination framework which was formalized through an inter-institutional agreement signed in June, 2011.

The objective of the Inter-Agency Coordination Group (GCI) will be to organize and build the Monitoring, Reporting and Verification System while promoting the participation of other stakeholders that can contribute with technical or financial aspects, amongst others. In view of the close relationship between the skills required for monitoring and building of baseline scenarios for REDD+, it is being considered that this institutional structure can handle both topics.

The proposal for implementation of the MRV system considers that it will be formed as an inter-agency collaborative system. Under this plan, a Steering Committee (Inter-Agency Coordination Group GCI - already created), a group of institutions generating information and a group of support organizations will be created; This, trying to preserve the existing structure of the forest cover monitoring program, which has produced positive results to date. It also proposes the creation of an Operational Unit of the MRV System, which according to the existing legal framework, will be conducted by the National Institute of Forests, as the governing body in the forest area, in coordination with the National Council of Protected Areas. This proposal should be discussed more widely with the other participating institutions. The specific responsibilities to each agency are described in the following table:

#### STEERING COMMITTEE (Inter-Agency Coordination Group –GCI-)

##### Members

- MARN
- INAB
- CONAP
- MAGA

##### Attributions (RL and MRV)

Members of the Steering Committee, whose attribution is to conduct, at the highest level, the activities of the system, make decisions on its administration and define policies for its development and operation.

#### GROUP OF INSTITUTIONS GENERATING INFORMATION

##### Members

- MARN
- INAB
- CONAP
- MAGA

##### Attributions (RL and MRV)

Group of institutions responsible for the technical process generating information on forest cover and other land uses, forest and carbon inventories. Provide support in the production of regular reports of emissions monitoring, reporting the technical procedures, subject their products to external verification. Identify ways in which the information generated by the MRV system will serve to improve public management of forests, within the competence framework of each institution. This group will rely on an operational unit, in charge of the National Institute of Forests

#### GROUP OF SUPPORT ORGANIZATIONS

##### Members

##### Attributions (RL and MRV)

<ul style="list-style-type: none"> <li>• Academic Institutions</li> <li>• Communities and Indigenous Peoples</li> <li>• National and international NGOs</li> <li>• International donors</li> <li>• Other stakeholders</li> </ul>	<p>Group of organizations that have been supporting the forest cover monitoring process. These organizations provide various supports to the system, including: technical support generating methodologies and research, image processing, field inspections, data gathering of forest and carbon inventories, financial and logistics support, among other.</p>
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## OPERATIONAL UNIT OF THE MRV SYSTEM

### Members

- In charge of the National Institute of Forests, in coordination with the National Council for Protected Areas

### Attributions (RL and MRV)

The Operational Unit of the MRV system will be responsible for:

Consolidating and systematizing the information generated and other contributions from the Groups Generating Information and Support Organizations, described above.

Keep the methodological uniformity between the members of the group of institutions generating information, to consolidate information at national level

Produce periodic reports of changes in forest cover and emissions monitoring

### b) Approach selection:

Given the country's diverse physiographic as well as socioeconomic conditions, and also the heterogeneous historic information available, and the country's national capacities, Guatemala has raised the need to implement activities to reduce deforestation at sub-national levels and in this way implement early activities in sub-national regions defined as priority.

To this effect, a technical-participatory process has been implemented in order to identify and delimitate sub national regions for the implementation of REDD+. This process incorporates the evaluation of a series of biophysical criteria (altitude, precipitation, slope, life zones), socio-economic, presence of deforestation agents, amongst others. Up to the date, it consists of a preliminary proposal which is been analyzed for its validation by the corresponding institutional stakeholders. This process presently constitutes the work instrument whilst the process advances and other decisions could be made regarding to sub national zoning, depending on new discussions and knowledge acquired in the process. This proposal is shown in Figure 7.

So far, this proposal constitutes the instrument of work while advancing in the process, and other decisions could be taken with regard to this sub-national zoning, depending on further discussions and learning in the process.





**Figure 7. Preliminary proposal for sub-national zoning for REDD+ implementation**



### **c) Preparation of baseline scenario for the sub-national region of “Tierras Bajas del Norte”:**

Since 2010 an inter-institutional agreement integrated by CONAP, MARN, INAB and other civil society organizations has been formed, to prompt a pilot project oriented at the establishment of a baseline scenario in the sub-national region called “Tierras Bajas del Norte” (TBN), by the institutions, local organizations interested in implementing REDD+ projects in this region with their own financing and international cooperation funds.

As part of this process, a methodological scheme has been developed with the assessment of an international consulting firm, which consists of the following phases:

- Diagnosing available historic information and identifying gaps (data on forest cover and carbon densities in forests)
- Compilation and evaluation of available information and generation of non-available information
- **Elaboration of a technical (revision of literature) and participatory analysis of agents and causes of deforestation and degradation of forests with government stakeholders, non government stakeholders and representatives of communities and local forest concessions.**
- Participatory identification of REDD+ activities that could potentially be implemented to reduce deforestation, according to particular circumstances in the reference region and analyzing the drivers and causes of deforestation. Defining deforestation reduction goals.
- Generating Geographic information for the **spatiality** of results of the analysis of causes and drivers of deforestation and degradation in forests.
- Analysis of the spatial deforestation pattern.
- Developing of a spatially explicit model to project future deforestation based on the historic trend and the influence of identified agents.
- Estimation of the current carbon content in the forests of the reference regions and projection of change in the same regions in scenarios “without REDD+ action” (BAU) and “with REDD+ action” (additionality), using methods accepted by IPCC.
- Validation of the baseline scenario by an accredited entity.
- Definition of a protocol for the periodic updating of the baseline scenario linked to the MRV system which is currently in the conceptual design phase and which is described in chapter 4.

Currently (July 2011), this process is in the developing phase of a spatial deforestation model. The process is expected to conclude at the end of 2011.

The establishment of the baseline scenario in the sub-national region of Tierras Bajas del Norte, is considered as a fundamental step in the preparatory phase in Guatemala to implement REDD+ activities, mainly because according to the monitoring data on national forest cover, more than 80% of national deforestation happens in this sub-national region.

**Even if the causes and drivers of deforestation (and degradation) may differ in other sub-national regions in the country, it is considered that a participatory and rigorously scientific methodology applied to Tierras Bajas del Norte is replicable in other regions of the country. As a matter of fact, the work methodology used in this first initiative allows the consideration of the particularities of each region and incorporates local knowledge in the development of a sub national baseline scenario. Also, the work methodology used in this first initiative proved that important knowledge is generated by the national, sub national and local stakeholders involved in the process. These stakeholders participate regularly in workshops to guide the advancement of the study and to share the information and data available. It is important to highlight that the participatory methodology allows the costs of the studies to be divided amongst the stakeholders (international, national, sub-national, and local) interested in the REDD+ issue in Guatemala, achieving the founding of the process, in a phase in which the country does not yet count on a specific national budget to establish a baseline scenario for emissions.**

**Emissions due to degradation are considered less important in comparison to emissions by deforestation and are also more difficult to estimate and map out. Nonetheless, in the specific case on forest concessions in the ZUM of the RBM, located in the North-East of Tierras Bajas del Norte, an estimation of**

the emissions by degradation caused by the exploitation of forests is being carried out, using reliable data from the forest concessions themselves. The results of these estimations are expected in late 2011.

Nowadays we do not have data on illegal usage for all the Tierras Bajas del Norte region and much less so for the rest of the country. At the moment, this activity will be excluded from the reference scenario, which will make it a conservative scenario. However, the planned national MRV system will analyze the feasibility of measuring degradation in Guatemala. In the event that a measurement of degradation were technically and economical feasible, the country's MRV system will generate data that will allow, in the future, the estimation of reference emissions caused by degradation.

The exploration of mechanisms to model the degradation of forests in this region has been identified as a necessary activity and in the future to complement the baseline scenarios with the data resulting from this process. The possibility of exploring methods approved by IPCC such as stock-difference and gain-loss is been taken into consideration.

#### **d) Establishment of baseline scenarios in the 4 remaining sub-national regions:**

It is thought that GCI (MARN, MAGA, CONAP e INAB), will prompt the establishment of multi sectorial alliances to adapt the region's experience in the lower northern lands to the other sub national regions that have been proposed for the national territory, to build baseline scenarios for each of the regions. Actually, coordination to start developing a baseline scenario in the region called "Sarstun-Motagua" has initiated, this area is second in importance at a national level as regards deforestation. For this reason, the institutions have initiated contacts and coordination with organizations that work in the area and are interested in promoting REDD+ initiatives in this region.

The experiences, lessons learnt and national capacities strengthened during the developing of baseline scenarios in Tierras Bajas del Norte, are considered to be of great help in the process of developing baseline scenarios in other sub national regions. Due to the differences in the biophysical, socio-cultural and economic dynamics of each sub national region, each of them will be developed in a certain way.

As part of the developing process of the baseline scenario of the northern lowlands it has been considered that the consulting company supporting the process, carry out a capacity-building and transfer of technology work focused on national experts involved in the developing of the baseline scenarios of the remaining sub-national regions.

Based on the TBN sub national region experience, it is estimated that 3 years will be needed to conclude the process of developing a sub national baseline scenario in each region, once the institutional arrangements and necessary financial support can be properly ensured. According to this panorama, the sub national baseline scenario and national baseline scenario could be concluded between 2014 and 2016, with the possibility of starting a parallel process in more than one region, according to the availability of funds and trained teams. This process could be accelerated and reduced to one or two years depending on the availability of financing and technical support.

The initial plan due to the high costs, is to prioritize the sub national regions with the most deforestation because REDD actions to be implemented will have a greater impact, which will depended on the possibilities of financing resulting from the negotiations under the UNFCCC- Convention.

Currently, the coordination to start the building of baseline scenarios in the "Sarstún-Motagua", region is underway, this region is second in importance at a national level as regards deforestation. For this reason, the institutions have initiated contacts and coordination with organizations that work in the area and are interested in promoting REDD+ initiatives in this region.

#### **e) Consolidation of sub-national baseline scenarios in a national baseline scenario and the updating of it:**

Guatemala's intention of adopting a sub-national approach is a transitory or interim disposition, which aims at favoring the implementation of early REDD+ actions, parallel to the development of the national capacities required for the implementation at a national level.

Based on the preceding information, the initial plans for the establishment of sub-national baseline scenarios were previously explained. With the purpose of avoiding duplicate results in accounting of emissions and removals, these scenarios will be later integrated in a national data base with the aim of generating a baseline, or final baseline scenario for emissions, that covers all the national territory. This task is directly linked with the MRV system which is currently in the initial design phase. The comparing of results on deforestation measurements will take place in future periods with the sub national baseline scenarios validated and added at a national level that will allow, in a transparent and consistently methodologically way, reductions of emissions in Guatemala to be established, and likewise, the explicit determination of where emissions are generated and where emission reductions occur. In this way it will be possible to determine precisely in which areas of the country more effort should be made to reduce deforestation (and degradation).

The periodic evaluation of sub national baseline scenarios is been considered, with the opinion that circumstances may evolve over time. And depending on the circumstances, the proper adjustments would be made. The baseline scenario will be presented and evaluated in the ways and times agreed upon in the context of UNFCCC international negotiations and other regulated areas that could emerge in the future.

All this will require permanent teams in the national government with the capacity to keep the country up dated on scientific, technological and regulatory advances.

As previously pointed out, it will be the MRV system's task to carry out the updating of the national baseline scenario, according to the methodologies accepted by IPCC

### **3.5 Evaluation of existing national capacities and requirements to develop baseline scenarios in Guatemala**

To adequately assess existing national capacities (existing data, human resources, technological and logistical resources), it will be necessary to develop a detailed diagnosis of the same, allowing structuring a detailed proposal for capacity-building to develop sub-national baseline scenarios that will later be consolidated in a national reference scenario.

Notwithstanding the above, as part of the proposal formulation process, a preliminary assessment of existing capacities has been developed which allows making initial estimates of gaps that must be covered to address the developing process of the reference levels. The table presented below, shows the results of this analysis:

**Table XX National capacities for establishing reference levels for REDD+**

Resource	Approach	Experiences, data and resources in Guatemala	Optimum for establishing reference levels purposes	Proposed activities to fill the gap in capacities and data to establish reference levels
Historical information on changes in the area covered by forest	Deforestation (loss in the area covered by forests) as an input to the estimation of the current rate of deforestation and the projection of the same	<ul style="list-style-type: none"> <li>Guatemala has an initiative of monitoring forest coverage, generating data for the years 1991, 2001 and 2010. This effort has used Landsat satellite images as a primary input, supplemented with various satellite and aerial images of various resolutions, in addition to field work. Currently, Guatemala is working to adjust the data obtained through the application of a uniform methodology.</li> <li>Existing historical data present an important constraint since they do not differentiate the types of forests or forest stages, important elements for establishing reference levels and for the projection the behavior of the deforestation in the future, given the differences in carbon intensities of different forest types in the country.</li> </ul>	<ul style="list-style-type: none"> <li>Count on consistent historical information about the dynamics of the forest cover, including differentiation by types of forest and stages thereof.</li> </ul>	<ul style="list-style-type: none"> <li>Define and establish a standard methodology of remote sensing image analysis for the monitoring of coverage compatible with the existing historical data and the projection of satellite data that will be available in the future and that incorporates the ability to differentiate between types of forest and subsequent stages (This activity is also considered in component 4: MRV)</li> <li>Strengthen capacities of national teams to test and implement the methodology described above. (This activity is also considered in component 4: MRV).</li> </ul>

Resource	Approach	Experiences, data and resources in Guatemala	Optimum for establishing reference levels purposes	Proposed activities to fill the gap in capacities and data to establish reference levels
		<ul style="list-style-type: none"> <li>• Information on forest and carbon stocks in existing forests at national level is not sufficient to adequately characterize the carbon content of different forest strata. There are scattered efforts of sampling quantification of forest carbon stocks in some regions of the country, but they are heterogeneous in terms of methodologies and have not been collected and systematically integrated at the country level. (Currently, the country is using the IPCC reference values for the calculation of carbon content in forests and their conversions).</li> <li>• Currently, Guatemala does not have spatially explicit information and of good quality on forest management (especially forestry exploitation) which is desirable to establish reference emission levels.</li> </ul>	<ul style="list-style-type: none"> <li>• Count on a forest stratification plan to extrapolate estimates of forest carbon of sampling plots to all land covered by forests and estimate carbon densities.</li> <li>• Count on quality and spatially explicit information on forest management to characterize the impact of it on carbon content in forests.</li> </ul>	<ul style="list-style-type: none"> <li>o Stratification of the country's forests by carbon densities</li> <li>o Allometric information for (biomass conversion of and expansion factors)</li> <li>o Fraction values of carbon according to a specific stratification in the country</li> </ul> <p>(These activities are also considered in component 4: MRV)</p> <ul style="list-style-type: none"> <li>• Complement existing data on forest and carbon stocks for the regions where data are insufficient, so that they can be used in the developing of baseline scenarios for REDD+.</li> </ul>
Analysis of causes and drivers of deforestation	Understanding and characterization of the deforestation phenomenon for its modeling.	<ul style="list-style-type: none"> <li>• There is limited information, analysis and understanding of causes, drivers and processes of deforestation and degradation of forests. As part of the ongoing baseline scenario developing process, of the Tierras Bajas y del Norte region, and applied a methodology for this analysis, whose results are being incorporated as inputs for modeling (projection) space of future deforestation in this region.</li> </ul>	<ul style="list-style-type: none"> <li>• Count on a permanent and spatially explicit monitoring system of forest areas affected by fires.</li> </ul>	<ul style="list-style-type: none"> <li>• Complete the developing process of the sub-national Tierras Bajas y del Norte region reference scenario</li> </ul>

Resource	Approach	Experiences, data and resources in Guatemala	Optimum for establishing reference levels purposes	Proposed activities to fill the gap in capacities and data to establish reference levels
Special modeling of deforestation	Bases for the construction of "without REDD+ actions" scenarios (BAU) and "with REDD+ (additional actions), using methods accepted by the IPCC".	<p>It is considered that this experience provides the basis for this analysis in the remaining sub-national regions.</p>	<ul style="list-style-type: none"> <li>Count on information on spatial and descriptive to allow a deep understanding of the causes and drivers of deforestation in different regions of the country. This information is crucial to shaping the future behavior of the deforestation, as part of the developing process of baseline scenarios.</li> </ul>	<ul style="list-style-type: none"> <li>Use the lessons and experiences gained in the construction of the baseline scenario of the "Tierras Bajas del Norte" as a methodological basis to develop participation-technical analysis of agents and drivers of deforestation in the remaining sub-national regions.</li> </ul>
		<ul style="list-style-type: none"> <li>As part of the ongoing process of developing of the baseline scenario of the "Tierras Bajas del Norte" region, a methodology is being developed and applied for spatial modeling (projection) of future deforestation in this region. This experience is an important methodological background which will be key to the developing of baseline scenarios in the remaining sub-national regions.</li> <li>There is national experience in spatial modeling of deforestation in the Maya Biosphere reserve.</li> <li>It is considered that in other regions of the country, the lack of information spatially explicit will be a major obstacle for modeling the future deforestation trend.</li> </ul>	<ul style="list-style-type: none"> <li>Existence of a standard, robust methodology for spatial modeling of deforestation behavior in all sub-national regions.</li> <li>Existence of geographical, statistical and descriptive data from all regions to apply the methodology of modeling.</li> <li>The institutions involved in the process are adequately trained and count on committed staff to develop deforestation models in all sub-national regions.</li> </ul>	<ul style="list-style-type: none"> <li>Creation of a methodological plan that allows to spatially modeling deforestation behavior in all sub-national regions, adapted to the existing conditions or likely to be locally generated data.</li> <li>Collect, systematize and generate geographical, statistical and descriptive data from all regions to carry out modeling.</li> <li>Creation of adequate and appropriate human resources in institutions involved in the process, to develop deforestation models in all sub-national regions.</li> </ul>

Resource	Approach	Experiences, data and resources in Guatemala	Optimum for establishing reference levels purposes	Proposed activities to fill the gap in capacities and data to establish reference levels
Basic information to establish a socio-economic and environmental baseline	Baseline for safeguards	<p>• Despite the described experiences, it is considered that there are limited technical capacities in national teams to apply these spatial modeling methodologies.</p> <p>In Guatemala there is a large amount of information that is generated and regularly maintained on the socio-economic and environmental fields. However, the monitoring plan has not yet been defined with precision on the environmental and social safeguards for REDD+ that the country should monitor.</p>	<p>• An outline of environmental and socio-economic indicators properly defined and validated to monitor the safeguards.</p> <p>• Basic information adequate in terms of quality, reliability and updating periodicity to carry out safeguards monitoring.</p>	<p>• Build an environmental and socio-economic indicators scheme, in a feasible and practical way, to allow monitoring environmental and social safeguards for REDD+.</p>



## **Main conclusions of the evaluation of existing national capacities and requirements to develop baseline scenarios in Guatemala**

- Guatemala has proposed a sub-national approach for the implementation of REDD+ activities. Currently, there is an advanced process to build a baseline scenario in the first sub-national region, called “Tierras bajas del norte”, region covering approximately xxxxxxxxxxxxxxxx

- The “Tierras bajas del norte” process has allowed to build certain basic, necessary skills for the development of REDD+ baseline scenarios, which, however, still require to be strengthened: methodological aspects to analyze the drivers and agents of deforestation; the development of diagnostics on the available historical information and identification of gaps (data on forest cover and carbon densities in forests) and alternatives to generate unavailable information, deforestation modeling techniques, among others.

- Despite the foregoing, it is necessary to work on the development of a national standard method for the estimation of carbon in forests, applicable in function of the available information and that which is likely to be generated. This method should be consistent with the conditions of the different sub-national regions.

- In spite of having monitoring forest coverage data for the years 1991, 2001 and 2010 based on Landsat satellite images, this information presents an important limitation since it does not differentiate types of forests or stages of the same, which are important elements to establish reference levels and the projection of the behavior of future deforestation given the differences in the carbon intensities in the country's different forest types. It is necessary to generate information that will allow developing an adequate stratification of forests which, in combination with forest carbon inventory data, will allow to do the necessary estimates for the construction of sub-national baseline scenarios

- The available information on forest and carbon stocks in forests is not enough to adequately characterize the carbon content of the country's different forest strata. There are scattered efforts of sampling for quantification of forest carbon stocks in some regions of the country, but they are heterogeneous in terms of methodologies and have not been collected and systematically integrated at the national level (currently, the IPCC reference values for the calculation of carbon content in forests and their conversions are being used). It is necessary to make efforts to increase the amount of information available to be able to use it in the construction of sub-national levels of reference.

- Notwithstanding that in Guatemala there is a lot of information that is generated and maintained periodically in the socio-economic and environmental fields, a plan for monitoring environmental and social safeguards that the country has to monitor for REDD+ has not yet been defined with precision. The definition of this plan is a necessary task to develop a baseline database on environmental and social safeguards that can subsequently be monitored (updated) (see component 4b)

### 3.6 CAPACITIES STRENGTHENING PLAN FOR THE DEVELOPMENT OF BASELINE SCENARIOS FOR REDD+

PHASES			
Components	National Strategy (2010-2012) →	Preparation (2012-2015) →	Implementation (2015) →
<b>Institutional strengthening</b>	<ul style="list-style-type: none"> <li>Establish alliances with institutions and organizations, necessary in each sub-national region for the development of the reference scenario, installing institutional support committees in each sub-national region</li> <li><b>Responsible: CGI (Steering Committee of the MRV)</b></li> <li>Management and monitoring of the developing process for the national referential levels system in each sub-national region.</li> <li><b>Responsible: MRV Operating Unit</b></li> <li>Strengthening of technical teams of CGI member institutions, both in number of staff and technical equipping.</li> <li><b>Responsible: Steering Committee of the MRV Operating Unit</b></li> <li>Development of capacities in the national academic sector to get involved in the validation of results of the NR and MRV</li> <li><b>Responsible: MRV Operating Unit, Group of Support Organizations</b></li> </ul>	<ul style="list-style-type: none"> <li>Strengthening of technical teams of CGI member institutions, both in number of staff and technical equipping.</li> <li><b>Responsible: Steering Committee of the MRV</b></li> <li>Development of capacities in the national academic sector to get involved in the validation of results of the NR and MRV</li> <li><b>Responsible: MRV Operating Unit, Group of Support Organizations</b></li> </ul>	<ul style="list-style-type: none"> <li>Maintain adequate institutional capacities for the periodic review of sub-national baseline scenarios</li> <li><b>Responsible: CGI (Steering Committee of the MRV)</b></li> </ul>
<b>Research and generation of national information</b>		<ul style="list-style-type: none"> <li>Complement the analysis of causes, drivers and processes of deforestation and degradation of forests, in each of the remaining sub-national regions, compiling and generating spatially explicit information to incorporate this analysis to future deforestation models.</li> <li><b>Responsible: MRV Operating Unit, Group of institutions generating information, Group of Support Organizations</b></li> <li>Strengthen and complement available information on forest coverage, including the distinction of forests types and if possible, subsequent stages of forests.</li> </ul>	

**Responsible: MRV Operating Unit, Group of institutions generating information, Group of Support Organizations**

- Complement and intensify existing data on forest and carbon stocks, in regions where such information is insufficient. Make emphasis on the least studied regions and forest ecosystems or lesser data availability of

**Responsible: MRV Operating Unit, Group of institutions generating information, Group of Support Organizations**

- Generation of initial information on matters affecting carbon content in forests such as: forest fires, forest exploitation, among others.

**Responsible: MRV Operating Unit, Group of institutions generating information, Group of Support Organizations**

- Develop geospatial projection models of the future deforestation trend of estimation of emissions (BAU scenarios and REDD+ activities) in the remaining sub-national regions.

**Responsible: MRV Operating Unit, Group of institutions generating information, Group of Support Organizations**

## Methodological development

- Development of a standard methodology for forest stratification based on forest types and consecutive stages thereof
- Develop a national methodology for modeling the future deforestation trend spatially.
- To develop a methodology for the estimation of emissions in BAU scenarios and REDD+ activities, based on future deforestation models and initial national information on emissions factors.

**Responsible: MRV Operating Unit, Group of institutions generating information, Group of Support Organizations**

Design a training plan for national technicians in the various fields of the development of reference levels for REDD+.

**Responsible: MRV Operating Unit, Group of institutions generating information, Group of Support Organizations**

- Implementation of the training plan for national technicians in the various fields of the development of reference levels for REDD+.

**Responsible: MRV Operating Unit, Group of Support Organizations**

## Training

#### 4. BUDGET

**Table 3: Summary of Reference Level Activities and Budget**

Main Activity	Sub-Activity	Estimated Cost (in thousands US\$)				
		2011	2012	2013	2014	Total
Institutional Strengthening	Strengthening of technical teams of CGI member institutions, both in number of staff and technical equipping. Including the MRV Operating Unit.	40	120	120	120	400
	Establish alliances with institutions and organizations, necessary in each sub-national region for the construction of the reference scenario, installing institutional support committees in each sub-national region	0	10	10	10	30
	Management and monitoring of the process of construction of referential national system in each sub-national region levels.	20	20	20	20	80
	Development of capacities in the national academic sector to get involved in the validation of NR and MRV results	10	10	10	10	40
Research and generation of national information	Collect and systematize and document available information. Diagnose on the quality and quantity of existing information and its potential to be used for the remaining sub-national 4 NR. Preparation of a plan to cover the identified information gaps	0	60	0	0	60
	Generation of initial information on matters affecting carbon content in forests such as: • forest fires, • forestry • forest cover, including the distinction of forest types and if possible, successional stages • Complement and intensify existing data on forest and carbon inventories, in regions where such information is insufficient.	80	80	80	80	320
	Develop geospatial models to project the future deforestation trend and estimation of emissions (BAU scenarios and REDD+ activities) in the remaining sub-national regions.	0	25	25	25	75
	Development of a standard methodology for forest stratification based on forest types and their consecutive stages for use in the estimate of carbon content in the different existing forest strata	20	20			40
Methodological development						

	Develop a national methodology for spatially modeling the future trend of deforestation.	25	25			50
	Develop a methodology for the estimation of emissions in BAU scenarios and REDD+ activities, based on the models of future deforestation and initial national information on emissions factors	20	20			40
	Development of unified protocol of methods and approaches to integrate sub-national NR in a national NR and its updating			20		20
Training	Design and implementation of the training plan for national technicians in the various fields of the development of reference levels for REDD+, among them: • Techniques of remote sensing applied to forest mapping and monitoring • Development of deforestation geospatial models • Techniques of forest and carbon inventories • Development of sub-national NR, among others • External validation of results (to build national capacities for future validation of NR and MRV results)	40	40	40	40	160
Validation of sub-national and national reference levels	External validation of national and subnational NR	15	15	15	15	60
<b>Total Government FCPF</b>						<b>1,375</b>
UN-REDD Programme (if applicable)						
Other Development Partner 1 (name)						
Other Development Partner 2 (name)						
Other Development Partner 3 (name)						

## Component 4: Design a Monitoring System

### Box 4-1: COP Decision -/CP.16, National Forest Monitoring System

*"71. ... (c) A robust and transparent national forest monitoring system for the monitoring and reporting of the activities referred to in paragraph 70 above, with, if appropriate, sub-national monitoring and reporting as an interim measure,<sup>7</sup> in accordance with national circumstances, and with the provisions contained in decision 4/CP.15, and with any further elaboration of those provisions agreed by the Conference of the Parties;*

*<sup>7</sup> Including monitoring and reporting of emissions displacement at the national level, if appropriate, and reporting on how displacement of emissions is being addressed, and on the means to integrate sub-national monitoring systems into a national monitoring system"*

source: [unfccc.int/files/meetings/cop\\_16/application/pdf/cop16\\_lca.pdf](http://unfccc.int/files/meetings/cop_16/application/pdf/cop16_lca.pdf)

## 4a. Emissions and Removals

### Standard 4a the R-PP text needs to meet for this component: Emissions and Removals

The R-PP provides a proposal and work plan for the initial design, on a stepwise basis, of an integrated monitoring system of measurement, reporting and verification of changes in deforestation and/or forest degradation, and forest enhancement activities. The system design should include early ideas on enhancing country capability (either within an integrated system, or in coordinated activities) to monitor emissions reductions and enhancement of forest carbon stocks, and to assess the impacts of the REDD strategy in the forest sector.

The R-PP should describe major data requirements, capacity requirements, how transparency of the monitoring system and data will be addressed, early ideas on which methods to use, and how the system would engage participatory approaches to monitoring by forest-dependent indigenous peoples and other forest dwellers. It should also address independent monitoring and review, involving civil society and other stakeholders, and how findings would be fed back to improve REDD-plus implementation. The proposal should present early ideas on how the system could evolve into a mature REDD-plus monitoring system with the full set of capabilities.

(FCPF and UN-REDD recognize that key international policy decisions may affect this component, so a staged approach may be useful. The R-PP states what early activities are proposed.)

### 4.1 GENERALITIES OF THE MRV SYSTEM THAT GUATEMALA IS PLANNING TO CREATE

Guatemala is proposing the creation of a monitoring, reporting and verification system, as part of its readiness plan to implement REDD+. The main purpose of this monitoring system will be to generate verifiable information on GHG emissions related to forest deforestation and degradation with the appropriate methodological consistency so they can be compared to the reference scenario or baseline.

The proposal is that the system be designed in a way that will allow the monitoring of degradation and deforestation in forests.



The system will be developed in phases, based on the current capacities of the national institutions and the information available. The scope of the system will increase in proportion to the strengthening of capacities and the availability of international financing.

A critical conceptual element in the design of Guatemala's MRV system is that it is directed not only at satisfying international requirements for the monitoring of GHG emissions related to forest deforestation and degradation, but also will focus on filling a series of gaps in currently existing information on spatial dynamics and forest characteristics which limit the institutional capacities in terms of public forest management, policy evaluation, programs, projects, amongst others. These information gaps have been identified through a consultation process with different official entities in charge of managing the country's forest resources.

## 4.2 LEVEL OF DETAIL OF THE INFORMATION TO BE GENERATED BY THE MRV SYSTEM

Most of the data will be collected in stretches 2 and 3 of the IPCC and data generated from models calibrated in fields will be progressively incorporated, such is the case of that related to fires, forest degradation indicators measured through the forest inventory and the impact of wood extraction in the carbon stocks.

## 4.3 INSTITUTIONAL ARRANGEMENTS

The proposal for implementation of the MRV system considers that it will be formed as an inter-agency collaborative system. Under this plan, a Steering Committee (Inter-Agency Coordinating Group GCI), a group of institutions generating information and a group of support organizations will be created; this, trying to preserve the existing structure of the forest cover monitoring program, which has produced positive results to date. It also proposes the creation of an Operational Unit of the MRV System, which according to the existing legal framework, will be conducted by the National Institute of Forests, as the governing body in forest matters, in coordination with the National Council of Protected Areas. This proposal should be discussed more widely with the other participating institutions. The specific responsibilities to each agency are described in the following table:

### STEERING COMMITTEE (Inter-Agency Coordination Group –GCI–)

#### Members

#### Role in the MRV

- MARN
  - INAB
  - CONAP
  - MAGA
- Members of the Steering Committee, whose attribution is to conduct, at the highest level, the activities of the system, make decisions on its administration and define policies for its development and operation.

### GROUP OF INSTITUTIONS GENERATING INFORMATION

#### Members

#### Role in the MRV

- MARN
  - INAB
  - CONAP
  - MAGA
- Group of institutions responsible for the technical process generating information on forest cover and other land uses, forest and carbon stocks. Provide support in the production of regular reports of emissions monitoring, documenting the technical procedures, subject their products to external verification. Identify ways in which the information generated by the MRV system will serve to improve public management of forests, within the competence framework of each institution. This group will rely on an operational unit, in charge of the National Institute of Forests

## GROUP OF SUPPORT ORGANIZATIONS

Members	Role in the MRV
<ul style="list-style-type: none"> <li>• Academic Institutions</li> <li>• Communities and Indigenous Peoples</li> <li>• National and international NGOs</li> <li>• International donors</li> <li>• Other stakeholders</li> </ul>	<p>Group of organizations that have been supporting the forest cover monitoring process. These organizations provide various supports to the system, including: technical support generating methodologies and research, image processing, field inspections, data gathering of forest and carbon stocks, financial and logistics support, among other.</p>

## OPERATIONAL UNIT OF THE MRV SYSTEM

Members	Role in the and MRV
<ul style="list-style-type: none"> <li>• In charge of the National Institute of Forests, in coordination with the National Council for Protected Areas</li> </ul>	<p>The Operational Unit of the MRV system will be responsible for:</p> <p>Consolidating and systematizing the information generated and other contributions from the Groups Generating Information and Support Organizations, described above.</p> <p>Keep the methodological uniformity between the members of the group of institutions generating information, to consolidate information at national level</p> <p>Produce periodic reports of changes in forest cover and emissions monitoring</p>

## 4.4 METHODS TO BE USED AND ELEMENTS TO BE INCLUDED IN THE MRV SYSTEM

The proposed methods to be used for monitoring emissions associated with forest deforestation and degradation will be based on the adaptation to national conditions of the methodologies and guidelines suggested by IPCC Practice Guidelines on Land Use, Land Use Change and Forestry (LULUCF) and GOF-C-GOLD REDD Sourcebook and their periodic updating.

The elements under consideration to be included in the monitoring system are:

### a) Changes in forest cover (deforestation)

The availability of information on forest cover and its changes is fundamental for the monitoring of carbon stocks in forests. It is necessary to count on spatially explicit information which includes: forest lands (including secondary forests), permanent crops with a high biomass value and other wooded land (bushes and scrubland and lands with trees outside the forest).

The baseline scenario and monitoring reports should contain the most possible information available on the extension of forest cover (including secondary ones), permanent crops and other wooded land.

With the information obtained at the moment of the evaluation and confronted with the previous period, it will be possible to deduce gains and losses in forest biomass land.

IPCC directives describe three different approaches to represent activity data<sup>12</sup> (changes in the area of the different categories of land): Approach 1 typically represents the area under each category of land based on non spatial national statistics, but does not provide information on conversions between class and land use, only the net changes in the area, which makes it inadequate for REDD. Approach 2

<sup>12</sup> REDD Source Book, GOF-C-GOLD.

involves the determination of changes between the different categories of land use, resulting in a non spatial matrix of conversions on land use. Approach 3 extends approach 2 through the use of spatially explicit information (territorial mapping techniques such as images from remote sensors, in a continuous way or based on samples) in order to quantify the conversion area between different land uses. In a similar way, under the Kyoto Protocols requirements, it is currently foreseen that the REDD mechanism will require that changes in land use would be identifiable and traceable in the future. Based on that monitoring based on approach 3 will be required for the implementation of REDD.

As previously mentioned, the monitoring of changes on national forest coverage will be done by continuing the monitoring effort on forest coverage that Guatemala has been implementing for many years and which currently counts on historical data from 1991 to 2010, with updates every 5 years. Based on data from remote sensors with medium and medium high resolution, preferably with free access, spatially explicit data will be produced on change dynamics in the surface covered by forests and the conversions from and towards other land uses. This information shall be updated using field information, or through the use of high spatial resolution images from remote sensors (no larger than 5m). Subsequently, the results will be subject to auditing by an independent entity.

It has been proposed that Guatemala's national MRV system adopt approach 3. In order for the methodological approach used for monitoring forest coverage from 1991 to 2010 to be consistent with aforementioned approach 3, it is necessary to carry out improvements to this methodology. The required improvements include:

- Mapping of different forest types (broadleaf, coniferous, mixed)
- Mapping of use of non-forest lands

The implementation of these improvements, besides representing a technical challenge for the national teams responsible for this task, also constitutes a political challenge, in the context of unifying the objectives, methods, and results expected by the different government institutions involved with the mapping of land use in Guatemala. The lack of unification between the current forest coverage monitoring system and the mapping of land use done by the Ministry of Agriculture, Livestock and Food –MAGA, causes there to be ambiguity in the official data on forest coverage, besides complications in the adaptation of types of land use in the calculation of national greenhouse gases inventories.

From the preceding information it can be derived that one of the most important challenges is the institutionalization of the current forest coverage monitoring system, which works under the figure of a project in which different government institutions as well as academic sector and non government organizations under the coordination of an academic institution participate. The current lack of an institutional framework for this system, does not allow its sustainability to be guaranteed in the long term nor does it allow the system to count on human, technological and data resources, which allow it to fulfill Guatemala MRV objectives and commitments.

The information of changes in forest coverage generated from remote sensors will be complemented with geo referenced data from forest cover activity, for example: voluntary forest plantations registered in the National Forest Registry, commitments of reforestation, reforestation projects which are beneficiaries of the states incentive programs (PINFOR, PINPEP), amongst others.

## **b) Forest Degradation**

Guatemala has little experience in monitoring forest degradation. One of the few experiences which was possible to document is related to the incidence of forest fires, a phenomenon which is known as one of the main drivers causing forest degradation in Guatemala. In this context, Guatemala has developed the Geospatial Information System for fire management in Guatemala (SIGMA-I). This system generates spatially explicit information on forests affected by fires, with a complete national cover and temporary cover from 1998 to 2010.

This information is considered a very important resource for the monitoring of emissions from forest degradation. Nonetheless, national information on the impact of forest fires (and its recurrence) has not been generated on the carbon stocks of the different forest ecosystems present in the country, which limits the current capacity to estimate carbon emissions associated with this phenomenon. Additionally, it is necessary to analyze other drivers that produce degradation and generate national information on impacts of these drivers in carbon stocks.

In view of the available information and described national capacities, it is proposed that in its initial stage, the national MRV system only consider the deforestation variable, whilst capacities are being built and minimal data is generated for its subsequent incorporation to the monitoring of emissions by forest degradation.

The proposed forest degradation monitoring is to be based on the estimation of GHG emissions produced by forest fires, the monitoring of forest degradation indicators through a new national forest inventory system and statistics on legal wood products extraction. Other forms of forest degradation, such as wood extraction or the effects of natural disasters will be taken into consideration in later refinements to the monitoring system, if it is determined that they generate significant emissions.

According to the current plans, the use of the following tools for monitoring forest degradation is under consideration:

- **Implementing a national forest inventory system**

The proposed implementation of a national forest inventory system, based on a methodology and an adequate intense monitoring sampling of forest degradation indicators, the calculation of carbon intensities in different forest types, but also the collection of useful information for managing national forests which currently present gaps, such as valuable timber, forest composition, and the existence of non timber products, etc. The design of a methodology is also being proposed to be used and fed by data collected by a network of collaborators composed of institutional stakeholders, academic entities, emission reductions project proponents, incentive programs beneficiaries, amongst others.

- **Monitoring of forest fires**

Using data from remote sensors which will be annually estimated in areas affected by forest fires<sup>13</sup>. This data from remote sensors will be, whenever possible, of medium resolution, but in cases of an absence of appropriate data, images of a lower resolution may be used. Accurate values of annual data generated will be estimated using independent field information collected in person or with remote geo referenced data sensors with a very high resolution.

The monitoring by remote sensors will be complemented with field evaluations which will determine the effect of forest fires (including recurrent burnt areas) besides those from carbon. Periodical evaluation on affected areas generate data which will allow in the future the modeling of carbon stocks in areas affected by fires, including reductions and recovery.

- **Wood extraction statistics due to family consumption:**

In Guatemala data is collected and stats generated on a national and municipal level on the extraction of wood for family consumption. Nonetheless, it is considered that this system is not systemically implemented countrywide therefore registration is incomplete. It is proposed as a future refinement to the MRV system, that data generation based on the use of wood for family consumption could improved, thus allowing forest degradation monitoring also to improve.

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<sup>13</sup> The Guatemalan geospatial information system for management and prevention of forest fires was previously described.

- **National Legal Wood Extraction Registry**

A national registry of legal and illegal extraction will be kept by the National Forest Institute and the National Council for Protected Areas with detailed and spatially explicit information on legal and illegal wood extraction. This registry will permit the documentation of carbon stock reductions derived from wood extraction. In combination with data from forest inventories, this information will be used to estimate the behavior of carbon stocks caused by wood extraction and incorporate this information into the monitoring of GHG emissions. This registry does not currently exist and the intention is that the responsibility would be given to regional forest management committees to implement a registry of authorized forest licenses volumes.

- **Forest Degradation caused by wood extraction**

In Guatemala, the extraction of wood for domestic and productive purposes is part of the culture in various regions around the country. Thus, the extraction of wood is nationally recognized as an important driver of forest degradation. Nonetheless, national capacity is very limited in generating information which would allow the effect of this activity on forests and the carbon reserves therein to be estimated. In order to incorporate this activity into the monitoring of GHG emissions, it is necessary to design a methodology and implement a system which would allow the collecting of adequate information to characterize and quantify this impact.

### **c) Other REDD+ Elements**

“Plus” activities such as sustainable forest management, conservation and increased carbon stocks, forestation and reforestation, etc, require monitoring by the national MRV system. In this readiness phase, the incorporation of this monitoring as a later refinement of the national MRV system is being considered; meanwhile methodological guides to approach this subject are being developed under the context of the UNFCCC.

### **4.5 EVALUATING CURRENT NATIONAL CAPACITIES FOR MRV**

The IPCC guidelines for good practices for LULUCF stipulate the measuring and estimating of two main variables for calculating forest carbon reserves and monitoring changes:

**a) Changes in forest area:** there is a requirement to generate spatially explicit (geographical) information on the changes on forest cover (deforestation and recovery of forests), preferably corresponding to level or tier 3 of the IPCC 2003 guidelines. In this context, it is universally accepted that techniques such as remote sensor or sensing are adequate and accessible for developing countries to evaluate historical and future deforestation rates, in order to monitor changes in the forest area (GOFC-GOLD,2009)

**b) Changes in forest reserves or emission factors:** the IPCC has established levels of detail or exactness (tiers) in which level 1 corresponds to global values by default, level 2 requires the collection of national data (carbon forest inventories) and level 3 in which detailed measurements of changes in forest carbon reserves are required, for different carbon stocks.

The IPCC good practice guidelines define five general principles for the estimations on changes of the forest carbon stocks, these being: coherency, comparability, transparency, exactness and thoroughness (UNFCCC, 2009). It is clear that the existing data, estimations and capacity of many developing nations such as Guatemala, still do not satisfy these principles. The aforementioned highlights the importance of adopting an approach to the MRV national system implementation which, based on a national capacity building plan, will allow the fulfillment in the near future with the mentioned principles.

In the Herold study (2009) the current capacities on monitoring changes in the forest carbon stocks in 99 tropical countries not belonging to the list in Annex 1, amongst them Guatemala, were evaluated. The results of this investigation showed that most of these countries have limited capacities to undertake complete and exact estimations of GHG emissions and forest loss. Less than 20% of these countries have submitted a complete GHG national inventory, and only 30 of the 99 countries have capacities

considered as “good” for such tasks as monitoring changes in forest cover and carrying out national forest inventories.

According to the aforementioned study, Guatemala is part of the group of countries that have a big gap in monitoring capacities, this gap being understood as the difference between what is required and what currently exists for a country to be able to measure and verify the level of success of the REDD+ actions implemented, in accordance with the methods established in the IPCC good practice guidelines. From the previously stated it can be derived that MRV's capacities to develop national activities must be the central point of the national plans or strategies to implement REDD+, in both readiness and implementation phases.

As part of the proposal's formulation process, an analysis of the gaps in national capacities for monitoring, reporting and verifying changes in the carbon forest stocks has been done, from the perspective of international requirements, as well as national requirements on information on forests and their dynamics. The results of these evaluations are shown here:

**a) Evaluating the gap in MRV's national capacities regarding to international requirements for REDD implementation**

For evaluating the gap in MRV's national capacities regarding to international requirements for REDD implementation, a revision was carried out of the texts of the different national agreements reached under the UNFCCC context, specifically in reference to REDD+, as well as technical documents to which the texts refer, specifically the good practice guidelines for LULUCF (PICC, 2003) the draft on REDD methodology produced by SBSTA in 2009, the REDD Source Book (GOFC-GOLD) such as they are currently conceptualized. This information was contrasted with national experiences and capacities which it were possible to document.

Table 5 shows the evaluation of the gap between national MRV capacities as regards international requirements:

**Table 5 National MRV capacities regarding REDD+, according to international requirements:**

<b>Data</b>	<b>Approach</b>	<b>Experiences and data existing in Guatemala</b>	<b>Optimal conditions for monitoring</b>	<b>Activities proposed to fill the gap on capacities and data for monitoring</b>
Changes in surface covered by forests (activity data)	Deforestation (losses in areas covered by forests)	<ul style="list-style-type: none"> <li>Guatemala conducts a monitoring initiative on forest cover, which generated data for years 1991, 2001, 2006 and is currently generating data for 2010. This effort has used as its primary source Landsat satellite images, complemented with diverse satellite and aerial images with different resolutions, in addition to field work. Currently work is being done on adjusting data obtained through the application of a homogenous methodology.</li> <li>The previous and other efforts on a regional scale currently face the problem of continuity in the future in the supplying of satellite base information. The Landsat program has provided images with no charge since 2008, but currently its two operating satellites (Landsat 5 and 7) present technical difficulties. The launching of satellite Landsat 8 is scheduled for 2011 or 2012, which puts the supply of future "comparable" images at risk.</li> </ul>	<ul style="list-style-type: none"> <li>A formally institutionalized system which monitors forest cover at defined time intervals.</li> <li>The utilization of a standardized methodology, compatible with historical existing data which will be available in the future.</li> <li>The improvement of methodology in the sense of identifying different types of existing forests in the country and its successive state, which is of great importance when calculating emissions.</li> <li>Institutional capacity building which allows for the continuous improvement of the national ability to apply and replicate methodology</li> <li>Counting with a "reasonably safe" methodology of data from remote sensors with medium spatial resolution, with free access, as base information for monitoring.</li> <li>Analytical capacities which allow data on forest coverage dynamics to be linked with the country's forest policies and strategies (threats to forests, identifying forest drivers, etc)</li> </ul>	<ul style="list-style-type: none"> <li>To revise and to make official the basic definitions that may affect the functioning of a national monitoring, verification and reporting system on forest carbon (forest, deforestation, degradation, reforestation etc.)</li> <li>To promote and to reach the institutionalization of the monitoring initiative on monitoring forest cover which for many years is been carried out by a group of institutional stakeholders under the coordination of an academic institution.</li> <li>To develop a plan to build national capacities which adequately to guarantee the existence and availability of a critical mass of human and technological resources for the periodic and continuous realization in this task.</li> <li>To define and to establish a standard methodology of images from remote sensors for the monitoring of forest cover compatible with historical existing data which will be available in the future which has the capacity to differ between types of forest and successive states</li> </ul>



**Table 5 National MRV capacities regarding REDD+, according to international requirements:**

Data	Approach	Experiences and data existing in Guatemala	Optimal conditions for monitoring	Activities proposed to fill the gap on capacities and data for monitoring
				<ul style="list-style-type: none"> <li>To explore available options and to establish contacts, and the necessary international ties in order to ensure the future supply of remote sensors images with medium spatial resolution, with free access for monitoring forest cover, as well as for high resolution images for verification.</li> <li>To develop analytical institutional capacities that will allow information on forest cover dynamics to be aligned with the country's forest strategies</li> </ul>
	Reforestation <sup>14</sup> (gains in area covered by forests)	<ul style="list-style-type: none"> <li>The existing incentive for monitoring forest cover has also generated data on gains on forest cover, even though it is considered that its precision in detecting gains is lower.</li> <li>There is no consistent and geo-referenced historical registry on reforestation activities (commercial and voluntary plantations,</li> </ul>	<ul style="list-style-type: none"> <li>To develop a spatially explicit registry system of reforestation and its cycles which allow the consistent inclusion of dynamic forest cover monitoring, given the difficulty in detecting it through remote sensors in the earlier growth stages.</li> </ul>	<ul style="list-style-type: none"> <li>For corresponding institutional agents (INAB, CONAP) to implement and to update, a spatially explicit registry system on reforestation activities and their dynamics.</li> </ul>

<sup>14</sup> According to the Forest Act, REFORESTATION or REAFFORESTATION is a set of actions that leads to populate a specific area with trees (Article 4. Definitions), activity that can be carried out through: a) Natural controlled regeneration; b) New shoots of stumps; c) Direct seed sowing; d) Indirect sowing or plantation; e) Combination of the previous or other methods tending to forest replacement.

**Table 5 National MRV capacities regarding REDD+, according to international requirements:**

Data	Approach	Experiences and data existing in Guatemala	Optimal conditions for monitoring	Activities proposed to fill the gap on capacities and data for monitoring
		reforestation commitments, incentive programs, management of natural regeneration, etc)	.	
Changes In carbon stocks/ emissions factors	Changes in the use of lands, forest degradation, increase in carbon contents (aboveground carbon)	<ul style="list-style-type: none"> <li>There is a preliminary effort which consists of generating a map on carbon densities, based on existing carbon stocks at national level, stratified according to life zones.</li> </ul> <p>This effort could be used as a base for forest stratification by carbon intensity required in the MRV system</p> <ul style="list-style-type: none"> <li>The carbon inventories at a national level are not yet enough, thus for this reason the previous map will give indications on other forest types by inventory (actually IPCC reference values are being used to calculate carbon contents and their conversions)</li> <li>There are disperse sample quantification efforts on forest carbon stocks in some regions of the country, but they are heterogeneous in terms of methodology and have not been collected and integrated on a national level.</li> </ul>	<p>To establish a national forest inventory system based on adequate methodology and intensity sampling, to generate the minimum information needed for estimating carbon content in forests, degradation detection and the estimation of its impact on carbon content; but which would also produce relevant data for national management of forests (potential forest productivity, potential of non timber products, condition and forest management, etc.)</p> <p>To set up of a forest stratification scheme that would allow the extrapolation of forest carbon content estimations of all sample land plots covered by forests and</p>	<p>To establish the necessary institutional capacities and arrangements to implement a national system which includes the measuring and systematic monitoring of forest carbon including:</p> <ul style="list-style-type: none"> <li>Stratification of the country's forests by carbon density</li> <li>Allometry information ( for biomass conversion and expansion factors)</li> <li>Values of carbon fractioning according to the specific stratification in the country</li> </ul> <p>To establish inter-institutional ties and arrangements to involve the key stakeholders in the national forest inventory system (communities, project proponents, academia, etc)</p>

**Table 5 National MRV capacities regarding REDD+, according to international requirements:**

<b>Data</b>	<b>Approach</b>	<b>Experiences and data existing in Guatemala</b>	<b>Optimal conditions for monitoring</b>	<b>Activities proposed to fill the gap on capacities and data for monitoring</b>
		<ul style="list-style-type: none"> <li>Currently Guatemala cannot count on spatially explicit quality information on forest management (spatially forest use) that could be incorporated into the forest carbon content monitoring process.</li> </ul>	<p>the estimation of carbon densities.</p> <ul style="list-style-type: none"> <li>To involve key Stakeholders in the national forest inventory system (communities, projects proponents, academia, etc.)</li> <li>To have quality and spatially explicit information on forest management for...(INCOMPLETE IN ORIGINAL VERSION IN SPANISH)</li> </ul>	<ul style="list-style-type: none"> <li>To implement a system which generates relevant and spatially explicit information on forest management, especially areas of use which could be incorporated into the monitoring of carbon content in forests.</li> <li>.</li> <li>To establish a measurement program focused on monitoring key areas of REDD+ activities (projects)</li> <li>To establish long term efforts to quantify the emission factors and net carbon changes for the different degradation processes under observation in the country.</li> <li>To make emphasis on monitoring activities that cause forest degradation.</li> <li>.</li> </ul>
	Other carbon reservoirs (especially soils)	<ul style="list-style-type: none"> <li>There is very limited information on carbon stocks in the different land uses (coffee and other forestry systems)</li> <li>Currently there is no national information on forests, on an adequate scale with enough data to estimate carbon contents.</li> <li>There is no local information on the impacts of deforestation and forest degradation in the carbon content in</li> </ul>	<ul style="list-style-type: none"> <li>To have the basic information, with adequate characteristics to make national estimations on the soil carbon content and its changes, including:</li> <li>To map soils with adequate detail</li> </ul>	<ul style="list-style-type: none"> <li>To incorporate the collection of relevant information to estimate the carbon content in soils in the national forest inventory system</li> <li>To develop a mapping of the national coverage of the soils and adequate scale to serve as a base in the calculation of carbon contents in soils.</li> <li>To promote research in order to generate knowledge and information</li> </ul>

**Table 5 National MRV capacities regarding REDD+, according to international requirements:**

<b>Data</b>	<b>Approach</b>	<b>Experiences and data existing in Guatemala</b>	<b>Optimal conditions for monitoring</b>	<b>Activities proposed to fill the gap on capacities and data for monitoring</b>
		soils.	<ul style="list-style-type: none"> <li>• Systematic samplings for measuring carbon content</li> <li>• Impact of deforestation and degradation processes on soil carbon content</li> </ul>	<p>on the impact of deforestation and degradation of forests and their soil carbon contents.</p> <ul style="list-style-type: none"> <li>• Initial evaluation of all the carbon reservoirs, through the forest inventory system, with the purpose of identifying the key reservoirs that should be monitored by the country in the long term.</li> </ul>
Burning of biomass	Emissions of different types of greenhouse gases	<ul style="list-style-type: none"> <li>• In 2010 the results of the Geospatial Information System for the management of fires in the Republic of Guatemala, were published. This multi-institutional system has the objective of collecting and analyzing spatially explicit information for the prevention and management of the country's forest fires, through three products: the fire Atlas of Guatemala (AFG), the analysis of patterns and causes of ignitions Model (MAPCI) and the dynamic fire risk System (SIDRIF). This system is considered appropriate for estimating forest and non-forest surfaces affected by fires, on a consistent temporary basis.</li> <li>• No local information which allows the quantification of damage to the carbon content (in different reservoirs)</li> </ul>	<ul style="list-style-type: none"> <li>• To have a permanent and spatially explicit monitoring system of forest surfaces affected by fires.</li> <li>• To have access to information on fire impacts on carbon contents, in all the reservoirs of the forest ecosystems existing in Guatemala</li> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• To guarantee continuity in the use of the Geospatial Information System for management of fires in the Republic of Guatemala to monitor the surfaces affected by fires in a permanent way.</li> <li>• To establish processes for generating local information which allow the quantification of damages to carbon content (in the different reservoirs) due to the occurrence and recurrence of fire, in the country's different forest ecosystems.</li> <li>•</li> </ul>

**Table 5 National MRV capacities regarding REDD+, according to international requirements:**

<b>Data</b>	<b>Approach</b>	<b>Experiences and data existing in Guatemala</b>	<b>Optimal conditions for monitoring</b>	<b>Activities proposed to fill the gap on capacities and data for monitoring</b>
		caused by the occurrence of fire and its recurrence in the country's different forest ecosystems, has been generated.		
Infrastructure of spatial data	<p>Spatial data base related to forest dynamics</p> <p>Information on deforestation and degradation drivers and causes in forests</p>	<ul style="list-style-type: none"> <li>• Great amount of existing spatial information related with forest cover and its change dynamics.</li> <li>• Diversity of scales, coverage, methodologies and mapping objectives.</li> <li>• Nonexistent official standards on the production of geographical information on use and coverage of land.</li> <li>• Information dispersed in multiple institutions and organizations.</li> <li>• Spatial data infrastructure in an incipient stage (SEGEPLAN) and which currently contains very little information on land use dynamics, specifically on forest cover.</li> </ul>	<ul style="list-style-type: none"> <li>• Existence of a national spatial data infrastructure which collects and systematizes the diverse monitoring initiatives for land use in the country.</li> <li>• National standards for the spatial monitoring of the dynamics in land use.</li> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• Incorporation of a great quantity of existing geographical data on dynamics of land use into a national infrastructure of spatial data SEGEPLAN. Also, the establishment of a system for collecting and incorporating other data required by the GBP from IPCC for reporting purposes.</li> <li>• To establish national methodological standards for generating information on dynamics of land use, specifically forest cover.</li> <li>•</li> </ul>

**b) Evaluation of gaps in MRVs national capacities with regarding the REDD national strategy and local demands for information on forests and carbon stocks in forest land**

REDD+ national policies should focus on forest emissions agents and will need to attend the main causes and processes that affect carbon reservoirs in the country. To design a roadmap for developing a national MRV forest carbon system it is necessary to understand the drivers and active processes of forest emissions. It is also necessary to count on adequate information and procedures to evaluate its importance (its impact on carbon stocks), as well as having policies which allow the fulfillment of REDD+ objectives in the country.

The aforementioned underlines the need to make national decisions related to REDD+ national strategies and policies jointly or simultaneously with the design of MRV procedures. In other words it is necessary for Guatemala to develop a MRV system which satisfies REDD+ requirements and at the same time, select REDD+ actions (policies) that are feasible and realistic in terms of MRVs national capacities.

A generally accepted principle is that long term sustainability of the MRV national system in the long term is directly linked to the fact that such system may be able to fill national existing gaps regarding availability of information on forest coverage and carbon stocks which allow national forest management to fulfill its mandates and objectives (including REDD+ objectives)

The need to evaluate the gap between MRV national capacities and the availability of current information with respect to REDD national strategy and the information gaps faced by the national forest administration has been discussed. For this reason, a consultation process with the relevant local stakeholders' forest management was carried out; this allowed information to be generated on local needs of this type of data, seen from the perspective of the state forest administration and other relevant key stakeholders in the sector. The information collected through this process is documented in the following table:

**Table 6. Current availability of information on the MRV System with specific reference to REDD+ and the information gaps faced by the national forest management**

<b>Data</b>	<b>Detail (scale, geographic area)</b>	<b>Purpose of the information</b>	<b>Ideal updating periodicity</b>	<b>Main limitations</b>
<b>Maps and cartography</b>				
1.-Maps on forest cover and dynamics, at a regional detail level and by types of forests	Between 1:25,000 and 1:50,000, depending on each region's extension	Identifying critical coverage loss areas, guide on promoting incentive programs	5 years	Cost Lack of specific personnel in the regions Lack of equipment and budget
2.- Map of critical areas for illicit extractive activities	Between 1:25,000 and 1:50,000, depending on each region's extension	To design of regional strategies for the reduction of illegal activities	5 years	Basic information which is difficult to collect Cost Lack of specific personnel in the regions Lack of equipment and budget
3.- Geo-referenced information of areas under forest management (plantations, forest use, recovery) and areas benefiting from incentive programs (PINFOR,PINPEP)	1:10,000	Improving the monitoring capacities of forest licenses. Improving capacities to authorize, supervise and certify forest incentives	Annual	Lack of specific personnel in the regions Lack of equipment and budget Cost Weak normative as regards beneficiary involvement
4.- Map of land use capacity	1:50,000	Improving planning and administrative capacities activity, such as: Evaluation of entry petitions to the issuance of forest license	Once	Methodology complexity High requirements of field information Cost



		incentive programs		Lack of specific personnel
<b>Forest Inventories</b>				
1. Forest Inventory based on permanent plots	Intensity of measurement sampling	To obtain dasometric parameters which allow the estimation of regional timber existence: short annual permissible, total volumetric growth rates, estimation of non timber products existence (extraction), calculation of forest stats to comply with national and international reporting commitments. Provide basic information by other means such as: land use mapping, land use capacity, soils, etc.	Updating every 5 years	Lack of a sole national methodology, High need of field information Cost Lack of specific personnel Need to involve civil society stakeholders in data lifting
<b>Forest Statistics</b>				
<p>Forest management statistics:</p> <ul style="list-style-type: none"> <li>• Areas under forest management</li> <li>• Authorized volumes</li> <li>• Used volumes (by type, species and region)</li> <li>• Use or destination of timber forest products (Carbon stored in timber products)</li> </ul> <p>Other forest statistics:</p> <ul style="list-style-type: none"> <li>• used for family consumption</li> <li>• consumption of wood as an energy source</li> <li>• areas affected by fires</li> </ul>	Detail	<p>Strengthen the State's forest management capacities</p> <p>To improve the statistical information in the forest sector</p> <p>To guide the formulation and evaluation of instruments for policies, programs and projects.</p>	Annual	<p>Lack of a consistent methodological scheme for the collection and processing of information</p> <p>High requirements of field information</p> <p>Cost</p> <p>Lack of specific personnel</p>

## Conclusions on the evaluation of gaps in MRVs national capacities

The evaluation of the gaps in MRVs national capacities has allowed us to reach to a series of important conclusions, to be incorporated into the design of the roadmap for the development of the national MRV forest carbon stock system. The most important conclusions are described in the following:

- Guatemala has a spatially explicit forest cover monitoring system based on remote sensor data at its disposal. This system has generated information whose characteristics make it useful to contributing to the establishment of a national baseline scenario. At the same time, this system has developed procedures and methods which are compatible with REDD+ international requirements regarding monitoring changes in the forest area, even though it requires improvements which allow it to discriminate between forest types. This system has generated local capacities distributed through a group of involved organizations and institutions. Nonetheless, this process does not have a formal institutional framework, which does not guarantee its sustainability in the long term with human, technological and data resources that would allow it to comply with Guatemala's MRV objectives and commitments.
- There is currently, no consistent geo reference registry of activities which positively affect forest cover and which are not effectively detected by spatial remote sensor techniques (commercial forest plantations, voluntary, reforestation commitments, areas under programs of forest incentives, management of natural regeneration, areas under forest management, etc). The aforementioned limits the effectiveness of measuring and accounting these activities.
- Guatemala does not currently have a national forest inventory system that has the minimum characteristics to effectively measure the carbon intensities in forests nor monitor changes in carbon stocks in different types of forests and strata, as a consequence of different processes such as forest degradation, their natural growth, etc. There are disperse sampling efforts to quantify forest carbon existences in some regions in the country, but they are heterogeneous in methodological terms and have not been collected and integrated at country level.
- In reference to the other carbon reservoirs, not enough national information has been generated on the carbon content of soils under the different coverage and land uses. At the same time, there is no local information on the impact of deforestation and degradation on forest and their carbon content in the soil. In general, it is considered that the information and existing national capacities for monitoring carbon reservoirs different to the biomass, is very limited.
- There is limited information, analysis and understanding of drivers, causes and processes on forest deforestation and degradation. Guatemala has a multi institutional system whose objective is to collect and analyze spatially explicit information for the prevention and management of forest fires in the country, through three products: the fire Atlas of Guatemala (AFG), the Model for analyzing patterns and causes of ignitions (MAPCI) and the dynamic fire risk system (SIDRIF). This system is considered appropriate for estimating forest and non forest surfaces affected by fire, on a consistent temporary basis; nonetheless, it is necessary to strengthen institutional arrangements for this effort to continue at a national level. No local information which would allow the quantifying of damages to the carbon contents (in different reservoirs) caused by the occurrence and recurrence of fire in the different forest ecosystems of the country has been generated.
- In general it is necessary to analyze and to generate information on other drivers for the reduction of forest carbon reserves, such as the conversion of forest into land for agricultural activity, selective forest use, wood extraction, illicit cutting among others.
- Guatemala does not have a consistent policy in relation to its national spatial data infrastructure. There is a great amount of spatial information related to land use, forest cover and its change

dynamics, with scale diversity, cover, methodologies and mapping objectives. It is necessary to define official standards as regards the production of geographical information on the land use and land cover. The information is dispersed in multiple institutions or organizations. The national spatial data infrastructure is at a very incipient stage (SEGEPLAN) and currently has very little information on land use dynamics, specifically forest coverage and its changes.

#### 4.6 METHOD FOR ESTIMATING CO2 EMISSIONS

Based on the described monitor elements, it can be concluded that MRV system should monitor:

- The changes in carbon reserves derived from implementing identified and prioritized activities from the national REDD strategy.
- A group of indicators which allows the level of success in the implementation of the strategy *per se* as it was designed to be evaluated.
- Additional benefits associated with REDD

In order to monitor the changes in the carbon stocks in the forests that remain as forests (category of land use where deforestation occurs), the IPCC guidelines for LULUCF suggest the use of two methods:

**Loss-Gain Method:** In general, this method is applicable for Tiers 1, 2 and 3. The calculation is based on the estimation of activity data (changes in the forest area), to which emission factors are applied (national or by default, according to the national availability of information). This method also requires the estimation of biomass growth rates. For Tier 2, it is possible to use a combination of methods that allow the monitoring of only some carbon reservoirs.

**Stock Differences Method:** This method is appropriate for Tiers 2 and 3, since its application implies the use of exact and complete data of forest stock based on sampling plots.

Based on the evaluation of available national information and the analysis of MRV national capacities, it is possible to conclude that the Guatemalan MRV system should start the monitoring of its emissions based on the Loss-Gain method. As part of a readiness phase, and whilst national capacities are being built and the minimal national data is generated, it is proposed that an evaluation of applicability of both methods be carried out, with the objective of determining the viability and convenience in the future, in case of applying the stock difference method.

From the preceding paragraph it can be derived that the initial approach for monitoring will require the following:

- To generate a national forest cover map, without differentiating between forest types or succeeding and management state.
- For areas covered by forest, a systemic sample plot scheme will be established, by means of which the type of forest will be determined and the biomass will be calculated by hectare, and with this the national factors of emission will be determined. This will, at the same time, allow the generation of basic information for refining (ex-post) the forest coverage map to differentiate forest types.
- Based on this information, the total carbon estimation is carried out.

Over the time, this system will enable improved information on national emission factors for different forest types. To apply this improved data in a future monitoring event, the reserves of the baseline scenario as well as previous monitoring, should be re-estimated.

#### 4.7 REPORT AND VERIFICATION OF THE MEASUREMENTS ON CHANGES IN CARBON STOCKS

### **Report:**

The principles of transparency, consistency, comparability, totality and precision should define the Guatemalan MRV system report framework. This framework has not actually been defined by UNFCCC, for which reason existing criteria for the report on National Greenhouse Gas Inventories are currently the prevailing guide in this respect.

The aforementioned would include the following data:

- Presentation of matrixes for land use by category, for the start and final dates of the monitored period.
- Identification and measurement of activity data
- Emission factors
- Total changes in carbon reserves
- Total emissions

It is considered that the report should be started from the initial phases of REDD implementation, even before the MRV system has been completed, through the use of interim indicators, mainly data on forest area, which is consistent with current capacities and available national data.

### **Verification:**

The principle of compensation based on results suggests that robust control and data quality control procedures need to be implemented.

In this sense, the proposed methodologies should be subject to precision evaluations oriented at identifying and characterizing possible mistakes, uncertainties and biases. Taking into account that this proposal considers the creation of the MRV system as a long term process, it is expected that the data generated by these evaluations allow a gradual refinement of the methods and quality in general of the information supplied by the system.

Validation and verification of national as well as international instances are necessary in this context. Readiness for REDD national activities must include this aspect since a transparent and open attitude towards verification of national data, could send a positive message to the stakeholders involved in the upcoming REDD mechanism.

## **4.8 PLAN FOR NATIONAL CAPACITY BUILDING**

The formulation process of the present proposal, as regards REDD international requirements for MRV, identification of gaps concerning national information on forest and the use of land and the evaluation of the gaps in MRVs national capacities, has underlined the need to design a plan to build national capacities, which allows the country to appropriately face the challenges that come with the implementation of its national MRV system for REDD.

In this sense, we briefly put forth, the fundamental areas and points in which Guatemala needs to strengthening its capacities to implement a robust, effective and transparent MRV for REDD.

**Table 7. Fundamental areas and points in which Guatemala needs to strengthen its capacities to implement a MRV system for REDD+**

AREA	THEME
RESERCH AND GENERATION OF NATIONAL INFORMATION	<p>Allometry information on forest types and states of different carbon reservoirs, to generate national emission and absorption factors.</p> <p>Impact of fires and their recurrence in carbon reserves</p> <p>Analysis of forest degradation and deforestation agents, drivers and processes. Identification of possible actions to reduce deforestation and degradation; viability analysis, socio-economic and environmental impact and national capacities to monitor them.</p> <p>To generate relevant and spatially explicit information on forest management, especially areas of usage, which could be incorporated into forest carbon content monitoring.</p>
INSTITUTIONAL STRENGTHENING	<p>Creation of coordination/directive instances for the MRV system</p> <p>Creation of an executive/operative instance for the MRV national system</p> <p>To define the institutional competences for following up on the implementation of the Geospatial System for Management of Forest Fires, currently in use.</p> <p>To develop an institutional plan to establish a new forest and carbon stock system, which would enable the generation of basic and monitoring information (types of forests, reservoirs, emission factors, degradation indicators, etc)</p> <p>To strength the capacities of forest services to collect geo referenced activity data which complements the mapping based on remote sensors: forest plantations, areas under forest management reforestation commitments, areas benefiting from the national programs for forest incentives (PINFOR,PINPEP)</p> <p>To explore available options and establish the international contacts and links necessary to ensure the future supply of medium spatial resolution images from remote sensors, with free access, for monitoring forest cover, as well as high resolution images for verification. Observe the evolution of a future international mechanism for the supply of data under UNFCCC.</p> <p>To strength the process of creation and updating of the national spatial data infrastructure (SDI) which is currently managed by SEGEPLAN</p>
METHODOLOGICAL DEVELOPMENT	<p>To improve the locally produced methodology to produce maps on forest cover, incorporating the differentiation of forest types, as well as non forest land use.</p> <p>To develop a methodological plan to establish a new forest and carbon stock system, this would enable the generation of basic and monitoring information (forest types, reservoirs, emission factors, degradation indicators, etc.)</p>
CAPACITATING	<p>Capacitating is the backbone in the national plan for capacity building for REDD. The main identified capacitating requirements are related to the following topics:</p> <ul style="list-style-type: none"> <li>• Methods for processing images from remote sensors for mapping land use and detection of land changes</li> <li>• Methods for processing images from remote sensors for estimating forest degradation</li> <li>• Methods for forest and carbon stocks, as well as emissions</li> <li>• Technical- participatory methods for analyzing forest deforestation and degradation agents and drivers</li> </ul>

## PLAN FOR THE DEVELOPMENT OF A NATIONAL MONITORING, REPORTING AND VERIFICATION SYSTEM

	PHASES		
	National Strategy (2010-2012)→	Readiness (2012-2015)→	Implementation (2015) →
<b>Objectives</b>	Collect and to integrate historic information, filling information gaps, developing REDD's scope and national policies	Capacity building, methodologies, generation of national data, institutional strengthening	Establish a consistent and continuous MRV system, which monitors REDD national actions, reporting and international verification, in compliance with international requirements
<b>Key results</b>	<ol style="list-style-type: none"> <li>1. National plan for implementing the MRV system, outreached and approved by the stakeholders involved</li> <li>2. A formally established and operating Steering Committee for the MRV system.</li> <li>3. Design and approval of an institutional framework for MRV's development of REDD.</li> <li>4. Definition of the approach for the implementation of the REDD mechanism in the country (national, sub national or nested approach)</li> <li>5. Definition of a conceptual framework for the analysis of agents and drivers of deforestation and degradation of different forest types</li> <li>6. Definition of approaches for the establishment of reference levels, ties between MRV and national policies</li> </ol>	<ol style="list-style-type: none"> <li>1. An institutional platform established for REDD monitoring.</li> <li>2. National capacity building and continuous systems of acquisition and data analysis for monitoring emissions consistent with Tier 2 of the IPCC at a national level, promoting the reaching of Tier 3 in demonstration sites.</li> <li>3. Reference levels based on historical data and future projections using internationally accepted methods, established for the entire country.</li> <li>4. To have a national plan for the implementation of the REDD mechanism, which is updated and based on the national data obtained by the MRV.</li> <li>5. Periodic monitoring and reporting of REDD activities in sample places, which would</li> </ol>	<ol style="list-style-type: none"> <li>1. A operative MRV system, generating national information consistent with Tier 2, and with capacities to gradually reach Tier 3 of the IPCC</li> <li>2. A MRV system capable of generating verifiable information for compensation based on the results of REDD activities</li> <li>3. A national forest data infrastructure for calculating national inventories of greenhouse gases, which Guatemala periodically reports to UNFCCC.</li> <li>4. Formulation and implementation of ongoing plans to test new technologies and methods which would allow the reduction of uncertainties and an increase in the efficiency of the MRV system.</li> </ol>

		<p>allow the evaluation of its performance</p> <p>6. Carry out of a first event on monitoring of emissions at national level</p>	<p>5. There is a framework which allows the incorporation of information generated by MRV into national forest policies</p>
<p><b>Institutional Strengthening</b></p>	<ul style="list-style-type: none"> <li>• Identification and assurance of local/international financing sources to enable the implementation of the MRV system. <b>Responsible: Steering Committee of the MRV.</b></li> <li>• Formalization of a coordination/directive instance for MRV. <b>Responsible: Participating institutions.</b></li> <li>• Creation of an executive/operative instance for the national MRV system carried out by the National Institute of Forests. <b>Responsible: Steering Committee of the MRV.</b></li> </ul>	<ul style="list-style-type: none"> <li>• Define institutional competences for monitoring the implementation of the Geospatial System for Management of Forest Fires, currently established. <b>Responsible: Steering Committee of the MRV.</b></li> <li>• Development of an institutional plan to establish a new forest and carbon stock system, which would allow the generation of basic and monitoring information (forest types, reservoirs, emission factors, degradation indicators, etc) <b>Responsible: Steering Committee of the MRV.</b></li> <li>• Strengthen the INAB and CONAPs capacities to collect geo referenced data on activities that compliment mapping based on remote sensors: forest plantations, areas under forest management, reforestation commitments, areas benefiting from forest incentive programs, (PINFOR, PINPEP) <b>Responsible: Steering Committee of the MRV and MRV Operational Unit.</b></li> <li>• Explore the available options and establish contacts, international links necessary to ensure the future</li> </ul>	<ul style="list-style-type: none"> <li>• Development of an analysis framework for the formulation of public forest policies, incorporating inputs produced by MRV. <b>Responsible: Steering Committee of the MRV, Group of institutions generating information.</b></li> </ul>

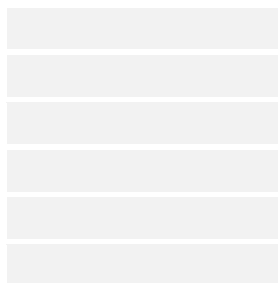
		<p>supply of images from remote sensors with medium spatial resolution, of free access, for monitoring forest cover, as well as high resolution images for verification. Observe the evolution of a future international mechanism for supplying data under UNFCCC. <b>Responsible: Steering Committee of the MRV.</b></p> <ul style="list-style-type: none"> <li>Strengthen the process for creating and updating of national spatial data infrastructure (SDI) currently managed by SEGEPLAN. <b>Responsible: MRV Operational Unit.</b></li> </ul>	
<p><b>Research and generation of national information</b></p>	<ul style="list-style-type: none"> <li>Analysis of forest deforestation and degradation agents, drivers and processes of deforestation and degradation of forests. <b>Responsible: MRV Operating Unit, Group of institutions generating information, Group of support organizations.</b></li> </ul>	<ul style="list-style-type: none"> <li>Revision of basic national definitions related to activities eligible for REDD+. <b>Responsible: MRV Operating Unit, Group of institutions generating information.</b></li> <li>Analysis of forest deforestation and degradation agents, drivers and processes. <b>Responsible: MRV Operating Unit, Group of institutions generating information, Group of support organizations.</b></li> <li>Generation of allometric information of forest types and stages and the different carbon reservoirs, to generate national factors of emission and absorption. <b>Responsible: MRV</b></li> </ul>	<ul style="list-style-type: none"> <li>Carry out an evaluation and analysis of existing gaps, to achieve a MRV system consistent with Tier 3 of the IPCC. <b>Responsible: MRV Operating Unit, Group of institutions generating information.</b></li> </ul>



		<p><b>Operating Unit, Group of institutions generating information, Group of support organizations.</b></p> <ul style="list-style-type: none"> <li>• Creating national information on the impact of forest fires and their recurrence in carbon reserves. <b>Responsible: MRV Operating Unit, Group of institutions generating information, Group of support organizations.</b></li> <li>• Identification of possible actions to reduce deforestation and degradation; feasibility analysis (cost opportunity), socio-economic and environmental impact and national capacities to monitor them. <b>Responsible: Steering Committee of the MRV.</b></li> <li>• Generate relevant and spatially explicit information on forest management, especially in exploitation areas, which could be incorporated to the monitoring of carbon content in forests. <b>Responsible: Group of institutions generating information.</b></li> </ul>	
<b>Methodological development</b>	<ul style="list-style-type: none"> <li>• Evaluation of current monitoring methodologies for forest coverage and biomass, to determine the improvements needed for the monitoring of REDD</li> </ul>	<ul style="list-style-type: none"> <li>• Improve the currently used methodology to produce forest cover maps, incorporating the differentiation of forest types, as well as the use of non forest lands. <b>Responsible: Operating Unit of</b></li> </ul>	<ul style="list-style-type: none"> <li>• Implementation of a continuous evaluation policy for new technologies and methods, which would enable the reduction of uncertainties and improve the quality of results from the MRV system.</li> </ul>

	<ul style="list-style-type: none"> <li>Monitoring the evolution of international negotiations in aspects related to the production of methods and technical specifications for the different elements to be monitored</li> </ul>	<p><b>the MRV, Group of institutions generating information, Group of support organizations.</b></p> <ul style="list-style-type: none"> <li>Development of a methodological plan to establish a new forest and carbon stock system, to enable generating basic and monitoring information (forest types, reservoirs, emission factors, degradation indicators, etc). <b>Responsible: Operating Unit of the MRV, Group of institutions generating information, Group of support organizations.</b></li> <li>Establishment of a cooperation framework with academic and research institutions, which allows monitoring methodologies to be improved and updated. <b>Responsible: Operating Unit of the MRV, Group of institutions generating information, Group of support organizations.</b></li> <li>Follow up on the evolution of international negotiations in aspects related to the production of methods and technical specifications for the different elements to be monitored. <b>Responsible: Steering Committee and Operating Unit of the MRV.</b></li> </ul>	<p><b>Responsible: Operating Unit of the MRV, Group of institutions generating information.</b></p> <ul style="list-style-type: none"> <li>Follow up on the evolution of international negotiations in aspects related to the production of methods and technical specifications for the different elements to be monitored. <b>Responsible: Operating Unit of the MRV, Group of institutions generating information.</b></li> </ul>
		<ul style="list-style-type: none"> <li>Development of a permanent training plan for national technicians; in the various fields of REDD monitoring areas. <b>Responsible:</b></li> </ul>	<ul style="list-style-type: none"> <li>Implementation of a permanent training plan for national technicians; in the various fields of the REDD monitoring areas. <b>Responsible:</b></li> </ul>

<p><b>Training</b></p>		<p><b>Operating Unit of the MRV.</b></p> <ul style="list-style-type: none"> <li>• Methods for processing images from remote sensors for mapping of land use and the detection of changes on it. <b>Responsible: Operating Unit of the MRV, Group of institutions generating information, Group of support organizations.</b></li> <li>• Remote sensing image processing methods for estimating forest degradation. <b>Responsible: Operating Unit of the MRV, Group of institutions generating information, Group of support organizations.</b></li> <li>• Methodologies for forest and carbon stocks, as well as emissions. <b>Responsible: Operating Unit of the MRV, Group of institutions generating information, Group of support organizations.</b></li> <li>• Technical-participatory methodologies for analyzing forest deforestation and degradation causes, and drivers. <b>Responsible: Operating Unit of the MRV, Group of institutions generating information, Group of support organizations.</b></li> </ul>	<p><b>Operating Unit of the MRV, Group of institutions generating information, Group of support organizations.</b></p> <ul style="list-style-type: none"> <li>•</li> </ul>
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<b>Table 4a: Summary of MRV and Budget</b>						
<b>Main Activity</b>	<b>Sub-Activity</b>	<b>Estimated cost (in thousands US\$)</b>				
		<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>Total</b>
<b>RESEARCH AND GENERATION OF NATIONAL INFORMATION</b>	Allometry information on forest types and states and the different carbon reservoirs, to generate national emission and absorption factors	50	50	50	50	<b>200</b>
	Impact of fires and its recurrence in carbon reserves	20	20	20	20	<b>80</b>
	Analysis of Forest deforestation and degradation drivers, causes and processes	See Comp 2	See Comp 2	See Comp 2	See Comp 2	<b>0</b>
	Identification of possible actions for reducing deforestation and degradation; viability analysis, socio-economic and environmental impacts and national capacities to be monitored	30	30			<b>60</b>
	To generate relevant spatially explicit information on forest management, especially in exploitation areas, which could be incorporated into the monitoring of carbon reserves in forests.	20	20	20	20	<b>80</b>
<b>INSTITUTIONAL STRENGTHENING</b>	Creation of a coordination/directive instance for the MRV system	Existing	Existing	Existing	Existing	<b>0</b>
	Creation and strengthening of implantation / operative unit for the national MRV system	200	200	100	100	<b>600</b>
	To define institutional competencies and follow-up the implementation of the National Geospatial Forest Management System; this is currently in use.	25	25	25	25	<b>100</b>

	To develop an institutional scheme for establishing a new forest and carbon stock system, which would allow the generation of basic and monitoring information (forest types, reservoirs, emission factors, degradation indicators, etc)	250	100	100	100	<b>550</b>
	To strengthen forest service capacities (INAB, CONAP) to collect geo referenced activity data which complements the mapping based on remote sensors: plantations, areas under forest management, reforestation commitments, areas benefited by national forest incentive programs (PINFOR,PINPEP)	200	50			<b>250</b>
	To explore available options and to establish the international contacts, ties necessary for guaranteeing the future supply of images from remote sensors with medium spatial resolution, free access, for monitoring forest coverage, as well as high resolution images for verification. To observe the evolution of a future international mechanism for supplying data under UNFCCC	Institutional	Institutional	Institutional	Institutional	<b>0</b>
	To strength the process for the creation/updating of national spatial data infrastructure (SDI) which is currently managed by SEGEPLAN	Institutional	Institutional	Institutional	Institutional	<b>0</b>
METHODOLOGICAL DEVELOPMENT	To improve the methodology used locally to produce maps on forest cover, incorporating the differentiation of forest types, forest degradation as well as the use of non forest lands.	50	50	25	25	<b>150</b>

	To develop a methodological scheme to establish a new forest and carbon stock system, which allows the generation of basic and monitoring information (forest types, reservoirs, emission factors, degradation indicators, etc)	30				30
	To develop reporting and verification protocols	40	40			80
CAPACITATING		150	150	150	150	600
<b>TOTAL</b>						<b>2780</b>
Domestic Government						
FCPF						
UN-REDD Programme (if applicable)						
Other Development Partner 1 (name)						
Other Development Partner 2 (name)						
Other Development Partner 3 (name)						

## 4b. Multiple Benefits, Other Impacts, and Governance

### Standard 4b the R-PP text needs to meet for this component: Other Multiple Benefits, Impacts, and Governance:

The R-PP provides a proposal for the initial design and a work plan, including early ideas on capability (either within an integrated system, or in coordinated activities), for an integrated monitoring system that includes addressing other multiple benefits, impacts, and governance. Such benefits may include: e.g., rural livelihoods, conservation of biodiversity, key governance factors directly pertinent to REDD-plus implementation in the country.

(The FCPF and UN-REDD recognize that key international policy decisions may affect this component; so a staged approach may be useful. The R-PP states what early activities are proposed.)

### Additional benefits which the REDD+ process can contribute

As previously mentioned the process of readiness and possible implementation of REDD+ activities, requires a huge amount of work and it is thought that forests provide many other benefits besides that of carbon fixation in the atmosphere

Amongst the multiple benefits that conservation and sustainable forest management can provide are:

- Regulation of the hydrological cycle
- Sustaining springs and water recharging zones
- Conservation of biodiversity
- Livelihood for communities and people who live in them: food, housing, energy, medicine, etc.
- Religious and spiritual sites of indigenous communities
- Soil conservation
- Places for recreation and relaxation (scenic beauty)
- And others

All these benefits are directly related to the implementation of social and environmental safeguards. The monitoring of some of them is not easy, since there is no specific methodology or their quantification is relative with respect to verification or counting means. Nonetheless, it is important to take them into account and be able to inform on the advances on the implementation of measures that safeguard these benefits or intangible values.

To collect information on social and environmental safeguards, the elements described below are proposed.

### Registration and monitoring of areas of forest importance

There is currently no accurate information (detailed) on priority forest areas, which provide data on sustainability of these process, the contribution to the local and national economic system, contributions in terms of generation of jobs, income, sustainable livelihood for communities that depend on forests, etc.; also the participation of this activity in the carbon balance in the country.

So it will be necessary to generate a plan of identification and registration of priority forest areas to quantify and qualify the elements plus that forest management provides in terms of provision of livelihoods for a sustainable life, increased carbon stocks, added value to the forest incrementing its cost



of opportunity, among other things. This information will complement the national system of monitoring forest planned to be established.

### **Information on socioeconomic and biodiversity indicators for the monitoring of safeguards**

In line with the Cancun Agreement, in which it was determined that countries shall establish a system to provide information about how the social and environmental safeguards are addressed, even if the information will be consolidated by a national system of forest monitoring, which will be designed and implemented in a testing stage during the REDD+ Readiness phase.

An activity which will be developed in this readiness phase will be the development of a participatory and feasible plan that allows the monitoring of social and environmental safeguards pertaining to REDD+ implementation. Part of the actions during readiness will consist of establishing indicators and schemes to inform on the social and environmental safeguards approach.

In order to guarantee that the process of REDD implementation will generate a balance of social, economic and environmental benefits in forest territories and connected populations. As was mentioned in chapter 2d, there will be analysis made under safeguard monitoring schemes such as for example CCBA and others which are considered pertinent; nonetheless the stakeholders will be the ones whose participation will define the most effective indicators for carrying out this monitoring.

### **Plan and methods**

In order to determine the best methods to monitor and establish an information system on REDD+ additional benefits, it will be necessary to analyze different methodologies that have been recently developed by volunteer standard, as well as by international organizations interested in the subject.

Below is a preliminary plan for developing an information system on the multiple benefits of REDD+ implementation, regarding the social and environmental safeguards:

#### **OBJECTIVE**

Build, in a participatory manner, a transparent system to inform on social and environmental safeguards relating to Reducing Emissions from Deforestation and Degradation of forests (REDD+)

#### **ACTIVITIES AND RESULTS**

1. **Stakeholders related with monitoring of Safeguards:** as a first step, it is necessary to identify, among the universe of stakeholders involved directly or indirectly with REDD+, those who will have a role within the monitoring of safeguards, both at Government level and forest dwellers. Once identified, it will be necessary to enable them to contextualize them with the process and share the tools that will be used for the monitoring of safeguards.

**EXPECTED RESULT:** To have a list of stakeholders involved in the monitoring of safeguards; implementation of a training plan. **TIME:** Month 1. **RESPONSIBLE:** MARN

2. **Institutional arrangements for the monitoring of safeguards:** with stakeholders identified for this activity, a minimum coordination structure for the flow of information and transparency, as well as to receive feedback from the process will be defined. As part of this activity, it will be necessary to specify the roles of each of the stakeholders.

**EXPECTED RESULT:** To agree on coordination structure, roles of stakeholders and information flow. **TIME:** Month 2. **RESPONSIBLE:** MARN

3. **Determine, in a participatory manner, additional benefits to consider:** through the use of participatory methodologies, identify and prioritize the additional benefits important to Guatemala, of REDD+, taking into account the results of subparagraphs 1 and 2 above.

**EXPECTED RESULT:** A list prioritizing additional benefits defined in a participatory manner. **TIME:** Month 3. **RESPONSIBLE:** MARN -CONAP-INAB

4. **Review of existing methodologies for monitoring safeguards and analysis for adaptation to national conditions:** as the subject of safeguards is fairly recent, it will be necessary to carry out a review and analysis of existing methodologies and determine the feasibility of adapting one to national circumstances, or the need to create our own methodology.

**EXPECTED RESULT:** A document that compiles and analyzes existing methodologies and makes recommendations for the implementation in Guatemala. **TIME:** Month 3. **RESPONSIBLE:** MARN -CONAP

5. **Establish indicators for each of the benefits to monitor:** Consultancy to propose indicators and consultation with stakeholders, socialization and validation of indicators for each prioritized benefit.

**EXPECTED RESULT:** Indicators for each prioritized benefit, defined and agreed with stakeholders. **TIME:** Month 3. **RESPONSIBLE:** MARN -CONAP

6. **Develop a tool for information gathering:** this activity will require the advice of experts in the field, which design the tool, outreach and validate it with stakeholders.

**EXPECTED RESULT:** Developed, outreached and validated tool. **TIME:** Month 5. **RESPONSIBLE:** MARN -CONAP-INAB

7. **Pilot implementation of the information system and its management:** at this point and with the results of the previous steps, the information system on safeguards in test or pilot mode will be implemented to evaluate its functioning and improve it for its final operational capacity.

**EXPECTED RESULT:** Operation of the validated system and making feedbacks if necessary. **TIME:** Month 6. **RESPONSIBLE:** MARN -CONAP-INAB

8. **Workshops of outreach and validation of proposals:** this activity relates to the logistical organization and facilitation of workshops during the design and implementation of the safeguards information system, they are mentioned in each of the preceding paragraphs as outreach and validation activities.

**EXPECTED RESULT:** Validation of proposals agreements for progress in the process. **TIME:** Variable, it is cross-cutting and dependent on the progress of the proposals. **RESPONSIBLE:** MARN

9. **Work meetings:** it refers to the organization, facilitation and documentation of working meetings to coordinate the work in the different activities of this plan.

**EXPECTED RESULT:** Coordination of activities, improve progress in the process. **TIME:** Variable, depending on the needs during the process. **RESPONSIBLE:** MARN

10. **Publication of the process aide memoire:** having finally implemented the information system on safeguards, an aide memoire of the process will be published documenting the details of it and collecting the information basis for the construction of the system.

**EXPECTED RESULT:** Document on the process published and outreached. **TIME:** Month 10. **RESPONSIBLE:** MARN

Table xx. Schedule of activities to develop an information system on safeguards relating to REDD+ in Guatemala.

Activity	Timetable (months)									
	1	2	3	4	5	6	7	8	9	10
To decide about the main stakeholders who will participate in safeguards monitoring process	x									
Institutional arrangements for safeguard monitoring		x								
Participatory decision about the additional benefits that will be taken into account on a national level		x								
Revision of existing methodologies and analysis to adapt to national conditions			x							
To establish the indicators for each of the benefits that will be monitored										
To develop tools for collecting information				x						
Participatory design of information and management system					x	x				
Workshops on outreach and proposals validation			x		x	x				
Work meetings	x	x	x	x	x	x	x	x	x	
Initial Publication and implementation of Safeguard Information System and multiple REDD+ benefits										x

### Information on Socio-economic and Biodiversity Indicators for the Monitoring of Safeguards

The term "safeguards" as it is known on a daily basis, emerges from the one used by the World Bank, which is designed to help staff to promote sustainable development approaches in environmental and social terms and at the same time, to ensure that such activities do not harm people or the environment (World Bank, 2012).

Therefore we can conclude that a safeguard is a technical instrument to be used in cases where the current national legislation has gaps in implementation and is necessary to prevent damage to communities and the environment as a result of a determined action.

Within the safeguards aspect in which Guatemala has great advance, are:

- (a) Transparency in the management of public funds
- (b) Free Access to Information
- (c) Government Statistical Information Systems for International Reporting

On the issue of transparency of funds public and social audit of the investment made by the Government, the following legal mechanisms and technical reporting tools, include:

- **State Purchase and Contracts Act:** Established with Decree-Law number 57-92, this law is aimed at the purchase, sale and procurement of goods, supplies, works and services which require bodies of the State. Its decentralized and autonomous organizations, implementing units, municipalities and public State or municipal companies abide to this Act and its regulations, except for the provisions in international conventions and treaties of which Guatemala is part. Donations that in favor of the State, its dependencies, institutions and municipalities are made by people, entities, associations or other States or foreign Governments are governed only by what is agreed between the parties, but if

such entities or units have to make some contribution, with the exception of the municipalities, they should previously hear the Ministry of public finance.

According to this law, international funds may require the State of Guatemala compliance with its laws of procurement and contracting, to acquire the services and equipment necessary for the implementation of REDD activities in the national territory, and may be audited by the Accounts Auditor-General

- **Guatecompras:** It is the name assigned to the Contracting and Acquisitions of the State Information System. Guatecompras is an electronic market, operated through Internet, its email address is [www.guatecompras.gob.gt](mailto:www.guatecompras.gob.gt)

Guatecompras allows the procurement process stages to be in the light of all. Thus, entrepreneurs are aware of business opportunities; public bodies which are buyers, known all available offers in advance, citizens may monitor the processes and know the prices paid for each acquisition. This increases competition and reduces corruption. The electronic catalogue of open contracts creates a virtual showcase with selected products, its suppliers, prices and conditions (Guatecompras, 2012).

- **SNIP Guatemala:** This is the National Public Investment System under the Ministry of Planning and Programming of the Presidency; it is responsible for monitoring public investment requested, assigned and executed at sectorial, municipal and projects level. Finally, the SNIP's main purpose is to improve the quality of investment leading to the allocation of resources to more cost-effective social projects in accordance with national priorities (SEGEPLAN, 2009).
- **Integrated System of Municipal Financial Management:** This module contains information on transfers by constitutional mandate assigned to the municipalities. It also includes information on the distribution in partnership that is carried out in accordance with Guatemalan law, for certain income items, which are transferred to the municipalities (SIAF-MUNI, 2012).

Regarding the free access to information we can mention the following linked national legislation and its implementation tools:

1. **Free Access to Information Act:** established in national legislation under the Decree-Law 57-2008 which in its article number 1 describes the following objectives:

1. Guarantee to any interested person, without any discrimination, the right to request and to have access to public information in possession of the authorities and subjects bound by this Act;
2. Ensure to every individual the right to know and protect the personal data that could be recorded on the individual in the State archives, as well as upgrades of the same;
3. Ensure the transparency of public administration and of the obligors and the right of everyone to have free access to public information;
4. Establish as mandatory the principle of maximum publicity and transparency in public administration and to the subjects obliged in this Act;
5. Establish, by way of exception and in a limitative manner, assumptions in restricting access to public information;
6. Encouraged by the State, accountability to the people, so that they can audit the performance of the public administration;
7. Ensure that everyone has access to public administration acts.

- **National Transparency Web Platform:** the project **OpenWolf** is motivated by the Free Software community and the **Government of the Republic of Guatemala**. It is an initiative that aims to develop a platform that will enable the Government to comply with the **Access to Public Information Act**. The law encourages the Government to handle information not reserved in the institutions of the State with transparency and stipulates that the Guatemalan people should be allowed to access the same at any time. The name OpenWolf comes from its acronym in English: *Open Workflow OnLine Facility* (open platform for online workflow).

In its beginnings it was a tool developed as proprietary software, however, thanks to the proposals and reflections about the advantages of using free software, an agreement was reached re – implementing and structuring it adopting the name of OpenWolf. Currently, the Free Software community is responsible for the development of the platform. (<http://www.transparencia.gob.gt>, 2012)

Within the government statistical information systems for international safeguards reporting we can mention:

## 1. Health

### 1.1 Health Management Information System

<http://sigsa.mspas.gob.gt/>

## 2. Education

### 2.1 Educational Statistics of Guatemala

<http://www.mineduc.gob.gt/portal/index.asp>

## 3. Biodiversity

### 3.1 CDB compliance by Guatemala:

<http://www.chmguatemala.gob.gt/convenios/convenios-y-politicas/convenio-sobre-diversidad-biologica-cdb-niveles-nacional-regional-y-global/cbd-nacional/cumplimiento-de-guatemala-ante-la-secretaria-del-cdb>

### 3.2 <http://www.cbd.int/reports/search/>

## 4. Agriculture

### 4.1 Markets Information System

[http://portal.maga.gob.gt/discoverer/viewer?eul=owb\\_sim&cn=cf\\_a127&wb=REP\\_SIM\\_PUBLICO&ws=Precios+de+Hoy](http://portal.maga.gob.gt/discoverer/viewer?eul=owb_sim&cn=cf_a127&wb=REP_SIM_PUBLICO&ws=Precios+de+Hoy)

## 5. Finance

### 5.1 Financial Administration Integration System

<https://sicoi.minfin.gob.gt/sicoiweb/login/frmllogin.htm>

## 6. Social and living conditions

The information detailed below is officially provided and published by the National Institute of Statistics and can be consulted on [www.ine.gob.gt](http://www.ine.gob.gt).

### 6.1 Prices

#### 6.1.1 Consumer Price Index CPI

#### 6.1.2 Construction Materials Index

#### 6.1.3 Vital Basic Basket

#### 6.1.4 Food Basic Basket

### 6.2 Economic Statistics

#### 6.2.1 Municipal Finances

#### 6.2.2 Foreign Trade

#### 6.2.3 Transport and Services

### 6.3 National surveys

#### 6.3.1 National Survey of Living Conditions –ENCOVI-

#### 6.3.2 National Employment and Income Survey–ENEI-

#### 6.3.3 National Agricultural Survey Encuesta Nacional Agropecuaria –ENA-

#### 6.3.4 National Survey of Income and Family Expenses –ENIGFAM-

#### 6.3.5 National Survey of Maternal and Child Health –ENSMI-

- 6.4 Social Statistics
- 6.4.1 Hospital statistics
- 6.4.2 Vital Statistics
- 6.4.3 Judicial Misconduct

#### 7. International Report of Millennium Goals

Published by the Ministry of Planning and Programming of the Presidency in the following link  
[http://www.segeplan.gob.gt/2.0/index.php?option=com\\_content&view=article&id=503&Itemid=348](http://www.segeplan.gob.gt/2.0/index.php?option=com_content&view=article&id=503&Itemid=348)

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<b>Table 4b: Summary of Multiple Benefits, Other Impacts and Governance Activities and Budget</b>						
<b>Main Activity</b>	<b>Sub-Activity</b>	<b>Estimated Cost (in thousands US\$)</b>				
		<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>Total</b>
To decide about the stakeholders who will participate in safeguard monitoring process			6			6
Institutional arrangements for monitoring safeguards			3			3
Participatory decision about the additional benefits to be taken into account at a national level			5			5
To establish indicators for each of the benefits that will be monitored			3			3
To develop tools for collecting information			3			3
Participatory design of the information and management system			3			3
Outreach and validation proposal workshops			10	10	10	30
Work meetings			3	3	3	9
Travel expenses			1	2	2	
Publication and initial implementation of the Safeguard Information System and multiple REDD+ benefits			15	15	10	40
<b>Total</b>		<b>0</b>	<b>52</b>	<b>30</b>	<b>25</b>	<b>107</b>
Government						
<b>FCPF</b>						
UN-REDD Programme (if applicable)						
Other Development Partner 1 (Fundacion Defensores de la Naturaleza) (In support to the design and implementation of REDD+ Safeguards (includes staff and workshops)		15	15	10	10	50
Other Development Partner 2 (name)						
Other Development Partner 3 (name)						

## Component 5: Schedule and Budget

### Standard 5 the R-PP text needs to meet for this component: Completeness of information and resource requirements

The R-PP proposes a full suite of activities to achieve REDD-plus readiness, and identifies capacity building and financial resources needed to accomplish these activities. A budget and schedule for funding and technical support requested from the FCPF and/or UN-REDD, as well as from other international sources (e.g., bilateral assistance), are summarized by year and by potential donor. The information presented reflects the priorities in the R-PP, and is sufficient to meet the costs associated with REDD-plus readiness activities identified in the R-PP. Any gaps in funding, or sources of funding, are clearly noted.

**Table 5: Schedule and Budget**

Main Activity	Sub-Activity	Estimated Cost (in thousands US\$)				
		2011	2012	2013	2014	Total
Structure consolidation	Policy facilitation at a high level (with Ministers, congressmen, etc)	12	50	50	20	132
	Technical facilitation of workshops, meeting, etc	7	22	22	22	73
	Meetings	1	3	1	1	6
Readiness infrastructure management	Coordinator of the Readiness process	30	30	30	30	120
	Workshops and meetings	10	10	5	5	30
	Communications and publications	5	10	3	3	21
Institutional technical workshops	Workshop facilitators	7	20	20	10	57
	Workshops (logistics)	4	5	5	5	19
	Participants' travel expenses	1	1	1	1	4
	Preparation and evaluation meetings	1	3	3	3	10
Workshops for the formation of indigenous and communitarian facilitators	Workshops Facilitation	7	8			15
	Workshops	8	10			18



	(logistics)					
	Participants' travel expenses	2	3			5
	Preparation and evaluation meetings	1	2			3
Outreach workshops at local-communitarian-territorial levels	Workshops Facilitation		15			15
	Workshops (logistics)		120			120
	Participants' travel expenses		35			35
	Preparation and evaluation meetings		25			25
Dialogue with representatives of various sectors (IP, local communities, private, etc)	Facilitation (management of interviews, meetings and information systematization, etc)	3	10	10	10	33
	Dialogue events (logistics)	1	4	4	4	13
	Participants' travel expenses	1	1	1	1	4
	Meetings for planning and follow-up	1	1	1	1	4
Creation and strengthening of national capacities	Diagnostic of national capacities and capacitating plan	5				5
	Instrumentation for capacities building	0	15	5	5	25
	Planning meetings	2	5	2	0	9
	Communications, publications, translation into local languages	2	15	15	10	42
	Equipment and office furniture		15	10	5	30

Preparation of consultation plan	Adaptation of REDD+ stakeholders map results		10			<b>10</b>
	Identifying existing consultation structures	4	8			<b>12</b>
	Preparation of consultation plan	2	7			<b>9</b>
	Design and implementation of a communication and outreach mechanism		30	15	10	<b>55</b>
	Transparency strategy		100	20	20	<b>140</b>
	Conflict resolution mechanism		50	30	30	<b>110</b>
	Workshops for outreach and proposal validation with key Stakeholders (includes IP and local communities)	1	20	10	10	<b>41</b>
	Planning meetings		10	10	10	<b>30</b>
	Facilitating process		20			<b>20</b>
	Participants' travel expenses	1	7			<b>8</b>
	Communications and publications	1	5	5		<b>11</b>
Implementation of consultation plan	Workshops and consultation events general, local, territorial)	2	200	200	100	<b>502</b>
	Meetings for planning, approaching stakeholders, etc)		15	15	15	<b>45</b>
	Facilitation	1	50	5	24	<b>80</b>

	Travel expenses	1	50	50	35	<b>136</b>
	Technical memoires of the consultation process		5	5	5	<b>15</b>
	Communications, publications, translation into local languages		50	50	20	<b>120</b>
Execution of action plan for the analysis of deforestation causes and drivers	Systematization of existing information and analysis of information gaps	2	25			<b>27</b>
	In depth analysis on the origin and provision and consumption of wood in Guatemala	2	10			<b>12</b>
	Social, economic and biophysical analysis of deforestation and degradation causes of forest in a regional and national environment.		15			<b>15</b>
	Study the dynamics of the main deforestation and degradation fronts existing in the country, including the analysis of forest cover dynamics up to 2010.		10			<b>10</b>
	Dynamics of conflicts in the use of land with categories Not suited for current and potential use capacity		5			<b>5</b>
	Analysis of the implementation of national policies on natural resources and institutional frameworks in force	25	50	50		<b>125</b>

Analysis of a regulatory framework for the definition reduction rights	30	70			<b>100</b>
Identify the impact of current laws governing forests			15		<b>15</b>
Identify different norms and policies - different to the environmental ones- which influence deforestation (in both a positive and negative way)			50		<b>50</b>
Analysis of forest conservation of communal lands and deforestation causes			5		<b>5</b>
Analysis of experiences based on current incentive instruments	5		5		<b>10</b>
Analysis of land and REDD+ costs of opportunity			50		<b>50</b>
Study on monitoring of indigenous indicators for forest conservation			5		<b>5</b>
Technical studies on forest carbon and its importance as an environmental service				10	<b>10</b>

	Economic and environmental valuations of environmental services generated by forest and their mitigation potential and adaptation to climate change				30	<b>30</b>
	Evaluation and validation workshops	8	10	8	5	<b>31</b>
	Travel expenses	3	4	3	2	<b>12</b>
	Communications and publications	3	5	5	2	<b>15</b>
(i) Harmonization of the framework of policies, plans and instruments, of sectors linked to land use, change in the land use, and environmental forest management	Specific propositions for necessary modifications to guarantee the reduction of deforestation		20	10		<b>30</b>
	Dialogues with sectors related with these policies		10	5	3	<b>18</b>
	Proposal validation		2	2	2	<b>6</b>
	Participants' travel expenses, validations and workshops		3	3	3	<b>9</b>
(ii) Strengthen institutional capacities on forest surveillance and protection, justice application and control of illegal timber cutting	Adaptation and updating of environmental regulation		50	100	50	<b>200</b>
	Strengthen institutional capacities (technical and financial)	5	90	70	50	<b>215</b>
	Technical propositions for improving the application of forest and environment legislation		30	30		<b>60</b>

	Identification of factors limiting the application and operation on the strategy against illegal timber cutting		5			5
	Develop management instruments which allow securing resources: economic, human, infrastructure which improve the performance and strategy against illegal timber cutting		10	10		20
	Dialogues, workshops, capacitating	2	5	5	3	15
	Travel expenses	1	3	3	2	9
iii) Territorial Management for development activities	Technical proposals for territorial organization		50	50	5	105
	Adaptation of local and municipal policies		20	50	50	120
	Validation and approval of proposals		15	10	5	30
	Travel expenses		5	5	3	13
(iv) Strengthening of existing programs and creation of new incentive	Analysis of gaps for readapting existing incentives		30			30

mechanisms for activities (economic and non economic) of conservation, protection and forest management, agro forestry systems and energy forest production						
	Rethinking PINFOR Management		15	15	15	<b>45</b>
	Rethinking PINPEP Management		15	15		<b>30</b>
	Identification and proposal of new incentive schemes		30	15		<b>45</b>
	Validation and approval of proposals		10	10		<b>20</b>
	Travel expenses		5	5		<b>10</b>
(v) Development of a regulatory framework and the institutionality related to the economic recognition of environmental goods and services , including forest carbon	Analysis of the existing regulatory framework and information gaps regarding the compensation by environmental services and rights on the reduction of emissions	25	30			<b>55</b>
	Development of policy and normative instruments related to environmental services, compensation, property and equitable benefits sharing		25	15	10	<b>50</b>
	Strengthening of institutional team (legal departments) on the specific subject		65	65	65	<b>195</b>
	Capacitating Program for legal teams		25	10		<b>35</b>

vi) Promoting productive activities and livelihood compatible with conservation and sustainable management of forest and agro-forestry landscape	Systematization of experiences: Fundación Lachua, Peten Concessions, etc	2	10			12
	Viable technical proposals for different circumstances and regions in the country		15	15		30
	Workshops, Capacitating		10	10		20
	Travel expenses		5	5		10
	Implementation of demonstrative activities with innovative alternatives		20	65	65	150
vii) Strategy for the sustainable use of wood as an energy source	Technical proposals for establishment of energy forests		5			5
	Awareness campaigns and information dissemination		5	5	5	15
	Identifying alternative energy other than wood for Guatemalan case		5			5
	Workshops, validation proposals, capacitating		10	10	5	25
	Workshop Participant travel expenses and capacitating		7	7	3	17



	Pilot experiences with different alternative energies		50	50		100
OTHER	Systematization of RIC and FONTIERRA experience regarding to the regularization of land and deforestation		25			25
	Evaluation of feasibility of the strategy options (cost/benefit, additionality, leaks)			100	50	150
	Management and policies for the approval of proposals (including work with Ministers, Congressmen, etc)		20	60	20	100
	Travel expenses		20	20	20	60
	Communication, publications, translations into local languages		10	10	5	25
Institutional arrangements for implementation	Systematization experience (strengths and opportunities) institutional arrangements in improvements for the implementation of a framework of the preparation and proposal phase				10	10
	Management of agreements on the route work for implementation (new institutional arrangements)				10	10

	Meetings	1	1		4	4
	Definition of procedures and responsibilities for the implementation of REDD+ field activities	1	1	5	5	10
	Strengthen the institutional technical teams (Forest Units and CC)	1	70	70	70	210
Actions to resolve rights on reductions	Analysis of existing schemes or future alternatives to define of rights on emissions reductions	1	50	20	1	70
	Political management and approval of proposals (working with ministers, secretaries, congressmen, civil society, etc)	1	1	50	50	100
	Workshops, validation of proposals, training	1	2	5	3	10
	Participants' travel expenses and training	1	1	3	2	6
REDD+ Implementation	Development of implementation plans of the instruments agreed upon for each prioritized strategy option	1		50	50	100
	Analysis of sources and innovative financial schemes to ensure financing instruments	1		25	25	50

	Dissemination and training activities			25	25	50
	Participants' travel expenses and training			8	8	16
	Publications and translations			10	10	20
Governance Reforms	Implementation of governance reforms at national and local levels				50	50
	Proposed plans for dialogue and agreements, transparency, etc.				30	30
	Establishment of a national registry of projects		50			50
	Planning and validation workshops and meetings		5		25	30
Legal arrangements	Proposals of viable legal schemes to implement and give support to actions			15	15	30
	Management of changes to laws, regulations, policies, etc. with stakeholders and authorities			30	30	60
	Workshops, meetings logistics			20	20	40
	Participants' travel expenses in meetings			7	7	14
Definition of Stakeholders or Group of Stakeholders	Facilitation, meetings, workshops		8			8
Establishing	Meetings, workshops		8			8

institutional arrangements for SESA management						
	Facilitation workshops and meetings		5			5
	Participant travel expenses.		2			2
Drafting/consensus for SESA development plan	Consultancy		5			5
	workshops, meetings, agreements		5			5
	Participant travel expenses		2			2
Prioritization and development of Studies	Facilitation		5			5
	Preparation of studies		50			50
	Workshops		20			20
	Participants' travel expenses		5			5
Preliminary analysis for social, cultural and environmental impact that REDD+ activities could have	Consultancy		4			4
	Focal groups (logistics)		2			2
Participatory analysis and evaluation of social, cultural and environmental impacts	Facilitation of consultations and drafting of the final report		6			6
	Regional workshops		15			15
	Participants' travel expenses		5			5

	Outreach and validation of the evaluation results		3			3
Publication of SESAs national report	Publications		5			5
Participatory Preparation of the environmental and social management framework	Consultancy		5			5
	Outreach and validation of regional workshops		15			15
	Participants' travel expenses		5			5
Publication the environmental and social management framework	Publications		5			5
Evaluate and diagnose information availability, identifying information gaps, collecting it, systematizing it and planning the required activities to fill the gaps for each of the sub national regions	Collecting existing information	5	10	10	10	35
	Diagnose its potential use for NR sub national regions	5	10	10	10	35
	Systematize and document available information	10	10	10	10	40
	Prepare a plan to fill information gaps	10	10	10	10	40
Analysis of underlying drivers and causes of deforestation-reforestation	Collect, analyze and synthesize relevant literature for a preliminary analysis on deforestation and reforestation causes for each sub national region	5	25	25	25	80

	Participatory consultations for validating a preliminary analysis on deforestation and reforestation causes for each sub national region	5	15	15	15	<b>50</b>
	Final version, of the preliminary analysis on deforestation and reforestation causes for each sub national region validated in a participatory manner	2	5	5	5	<b>17</b>
Developing a data base which will fill information gaps to model deforestation and reforestation in sub national regions	Developing the geospatial data bases	10	10	10	10	<b>40</b>
	Developing compiled carbon stocks information data base	10	10	10	10	<b>40</b>
	Feasibility evaluation and proposal for monitoring the degradation of carbon stocks due to fire, timber and firewood extraction	10	10	10	10	<b>40</b>
	Initial activities related to stock monitoring (development of models of carbon stocks dynamics due to degradation, network of permanent plots of carbon stock monitoring, follow-up of national forest inventory, etc)	50	50	50	50	<b>200</b>
Deforestation-reforestation and integration modeling of a national NR	Technical discussion workshops on the modeling approach for sub national regions	8	10	10	10	<b>38</b>

	Development of models for sub national region	20	50	50	50	<b>170</b>
	Participatory validation of the results of sub national models	10	10	10	10	<b>40</b>
	Development of a unified protocol for methods and approaches for updating NR sub national regions				15	<b>15</b>
	Sub-national NR Integration at a national level				20	<b>20</b>
	External validation of sub national and national NR				50	<b>50</b>
	Dissemination of results and feedbacks of REDD strategy			30	30	<b>60</b>
Institutional strengthening	Capacitating		20	20	20	<b>60</b>
	Team (1 technician in each GCI institution I)		65	65	65	<b>195</b>
	Equipment (hardware and software)		25	15	15	<b>55</b>
	Image Acquisition		100	50	50	<b>200</b>
RESEARCH AND GENERATION OF NATIONAL INFORMATION	Allometry information of forest types and states and different carbon reservoirs, in order to generate national emission and absorption factors.	50	50	50	50	<b>200</b>
	Fire impact and its recurrence in carbon reserves	20	20	20	20	<b>80</b>

	Analysis of forest deforestation and degradation causes and processes	See Comp. 2	See Comp. 2	See Comp. 2	See Comp. 2	0
	Identification of possible actions to reduce deforestation and degradation; viability analysis, socio-economic and environmental impact and national capacities to be monitored	30	30			60
	To generate relevant and spatially explicit information on forest management, especially in exploited areas, that could be incorporated into forest carbon stocks monitoring.	20	20	20	20	80
INSTITUTIONAL STRENGTHENING	Creation of a coordination/directive instance for the MRV system	Existent	Existent	Existent	Existent	0
	Creation and strengthening of an implementation/operative unit for MRV's national system	200	200	100	100	600
	To define institutional competences and monitoring on the implementation of the Geospatial Forest Fire management system, which currently in use	25	25	25	25	100



	Development of an institutional scheme to establish a new forest and carbon stock system, which will allow the generation of basic and monitoring information (forest types, reservoirs, emission factors, degradation indicators, etc)	250	100	100	100	<b>550</b>
	Strengthen forest service capacities (INAB, CONAP) for collecting geo referenced activity data which complements the mapping based on remote sensors: forest plantations, forest commitments, areas benefited by national forest incentive programs, etc (PINFOR,PINPEP)	200	50			<b>250</b>
	To explore available options and to establish necessary international contacts and ties in order to ensure the future supply of images from remote sensors of medium spatial resolution, free access, for monitoring forest cover, as well as high resolution images for verification. Observe the evolution of a future international mechanism for supplying data under UNFCCC	Institutional	Institutional	Institutional	Institutional	<b>0</b>

	To strengthen the creation and updating process for the national spatial data infrastructure (SDI) currently lead by SEGEPLAN.	Institutional	Institutional	Institutional	Institutional	<b>0</b>
METHODOLOGICAL DEVELOPMENT	Improve the locally used methodology for producing forest cover maps, incorporating the differentiation of forest types, forest degradation, as well as non forest lands use.	50	50	25	25	<b>150</b>
	Development of an institutional scheme to establish a new forest and carbon stock system, which will allow the generation of basic and monitoring information (forest types, reservoirs, emission factors, degradation indicators, etc	30				<b>30</b>
	Development of reporting and verification protocols	40	40			<b>80</b>
TRAINING		150	150	150	150	<b>600</b>
To decide about Stakeholders who will take part in the monitoring of the safeguards			6			<b>6</b>
Institutional arrangements for safeguard monitoring			3			<b>3</b>
Participatory decision of additional benefits to be taken into account at a national level			5			<b>5</b>

To establish the indicators for each of the benefits to be monitored			3			3
Development of tools for information collection			3			3
Participatory design of the information system and its management			3			3
Outreach and validation proposals workshops			10	10	10	30
Work meetings			3	3	3	9
Travel expense			1	2	2	5
Initial Publication and implementation of REDD+ Safeguard and multiple benefits system			15	15	10	40
Total	1461	3766	2856	2121	10,204	
Government						
FCPF						
UN-REDD Programme (if applicable)						
Other Development Partner 1 (Fundación Defensores de la Naturaleza) (in support of the design and implementation of REDD+ Safeguards (includes staff and workshops)	15	15	10	10	50	
Other Development Partner 2 (name)						
Other Development Partner 3 (name)						

## Component 6: Design a Program Monitoring and Evaluation Framework

**Standard 6 the R-PP text needs to meet for this component:  
Design a Program Monitoring and Evaluation Framework**

The R-PP adequately describes the indicators that will be used to monitor program performance of the Readiness process and R-PP activities, and to identify in a timely manner any shortfalls in performance timing or quality. The R-PP demonstrates that the framework will assist in transparent management of financial and other resources, to meet the activity schedule.

The RPP Monitoring and Learning System has two components: a. Process Monitoring and b. Improvement Management and Administration System. In general, the system is based on the same sequential logic used in the structure of the document to allow a better analysis and comprehension of the different products to be generated, their articulation and their expected performance regarding the creation of an appropriate implementation framework for the emission reductions by deforestation and degradation

The Monitoring component is aimed at determining indicators in terms of: time, cost, volume, quality or any other element which demonstrates *“the efficacy and efficiency with which different actions contemplated by the RPP are carried out in terms of obtaining the products expected in the implementation of the REDD+ strategy under the plans conceived”*

In this sense, a baseline instrument is formulated which in global terms, defines the main learning questions and different success (products) indicators, required in the 4 thematic components of the REDD+ strategy. The instrument simultaneously defines; the different method for verification, their execution period and the responsible party for establishing deviations of norms considered as critical, defining their causes and consequences and finally, developing corrective actions or improvement mechanisms with regard to control with an anticipatory effect which would allow us to: *“ensure that the different actions to be developed; will be adequately carried out regarding to time, budget, volume and that all that; are adjusted and in accordance with the plans generating the expected products”*.

The results of the monitoring will be given to Forest, Diversity and Climate change groups every 4 months. The results will be systemized in a report format and analyzed in the context of identifying critical deviation points; as well as relevant lessons for the improvement of local, institutional as well as inter institutional performance. It is proposed that a critical analysis of the improvement will be carried out in participatory workshops with strategic groups composed of different stakeholders in a representative and effective manner.

The approach of improvement groups for each line of action is intended to make a more efficient use of resources and time of the managers and stakeholders involved in the process in aspects considered as relevant to accomplish the results expected; ensuring adequate representation and capacity to make decisions.

In this process fundamentally it is analyzed if the expected product was obtained or not and the critical deviations are corrected through the application of the change theory. Accomplishments are analyzed, as well as the causes and consequences, how can good or bad actions be improved, a system of premises is developed, that serves as a base for future decision making, The redefinition of the set of plans in which critical deviations exist or where a substantial improvement can take place is carried out and finally; an implementation route map is developed to the give closure and initiate the Strategy's administrative cycle.

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<b>Component 1: Organization and Consultation</b>			
<b>Component 1.a Arrangements for Readiness Administration</b>			
<b>Number</b>	<b>Indicative Criteria</b>	<b>Product</b>	<b>Verification Tools</b>
1.a.1	Is there a basic structure for the management for Readiness whose levels, integration and representativeness of all stakeholders will allow the actions proposed for REDD+ development to be implemented; as well as its monitoring and evaluation? Yes, No, Why?	Basic structure for the arrangement for Readiness	Documents on roles and functions and tools generated by the structure under the implementation framework
1.a.2	Is there an organizational system for inter institutional work governed by the environmental cabinet which allows the different stakeholders involved to know their roles, functions, lines of authority, communication mechanism and cooperation in strategy development? Yes, No, Why?	Inter-institutional framework Agreement for efficient and effective development.	Inter - institutional agreement document to carry out REDD+.
<b>Component 1.b Information Sharing to Build Dialogue</b>			
<b>Number</b>	<b>Indicative Criteria</b>	<b>Product</b>	<b>Verification Tools</b>
1.b.1	Has there been a capacity analysis of the main stakeholders involved in implementing REDD+ strategy in Guatemala? Yes, No, Why?	Analysis of Capacitating Needs for Key Stakeholders	Analysis Document
1.b.2	Has a capacitating program for key stakeholders (INAB, MARN, CONAP, NGO, Private Sector, Forest Communities and Indigenous peoples), based on the analysis been developed and implemented to facilitate the comprehension of concepts and processes to ease the integration of an effective participation and consultation mechanism; as well as for the development of a strategy? Yes, no, Why?	Program for capacity building to strengthen REDD + implementation and consultation	Capacitating program, Workshops Carried Out, List of Participants

<b>Component 1.c Consultation Mechanism</b>			
<b>Number</b>	<b>Indicative Criteria</b>	<b>Product</b>	<b>Verification Tools</b>
1.c.1	Have the objectives, system and stakeholders in the consultation process for the development of a REDD+ strategy under locally accepted methods which validate the agreement 169 of ILO been defined in a participatory manner? Yes, No, Why?	Consultation system, Content of the Consultation and Stakeholders to Be Consulted	Content Document and Consultation Procedure
1.c.2	Has the consultation for the development of the strategy been carried out in a legitimate, representative, civic, efficient and effective way? Yes, No, Why?	Consultation Implemented	Records, Workshops Memoirs, Discussion Committees
1.c.3	Is there an existing mechanism to approach and solve conflicts identified throughout the process? Yes, No, Why?	Defined Mechanism for Conflict Resolution	Document for the approach and Conflict Resolution
1.c.4	Have the results of the consultations been outreach and validated? Yes, No, Why?	Validated and Implemented Consultation Process	Validation Documents, Workshops, Aide Memoires
<b>Component 2: Strategy Development</b>			
<b>Component 2.a: Evaluation of Policies and Scenario for the Development of the Strategy</b>			
<b>Number</b>	<b>Indicative Criteria</b>	<b>Product</b>	<b>Verification Tools</b>
2.a.1	Have the main deforestation fronts been identified for the approach of different instruments involved in the strategy development?	Identified and Characterized deforestation fronts	Analysis Document of Drivers and Deforestation Fronts

2.a.2	Is there an analytical diagnostic on past, present and future deforestation drivers and causes in the country that serves as a baseline scenario for the development of the strategy? Yes, No, Why?	Prospective Analysis of Deforestation Drivers and Causes	Analysis Document of Drivers. Workshops Aide Memoire
2.a.3	Has a series of lines of actions for emission reductions from deforestation and degradation based on causes, political, economic and institutional feasibility been prioritized? Yes, No, Why?	Strategic lines for specific REDD+ development	Strategy Document
<b>Component 2.b: Strategy Options</b>			
<b>Number</b>	<b>Indicative Criteria</b>	<b>Product</b>	<b>Verification Tools</b>
2.b.1	Have strategic objectives, operations and actions been defined for the emission reductions in a clear and measurable way? Yes, No, Why?	Strategic Objectives, Operations, Actions for the Strategy	Strategy Document
<b>Component 2.c: Implementation Framework</b>			
<b>Number</b>	<b>Indicative Criteria</b>	<b>Product</b>	<b>Verification Tools</b>
2.c.1	Have the institutional agreements that made the implementation of strategies viable through necessary political and normative arrangements, been done? Yes, No, Why?	Defined Inter institutional Strategy Framework.	Strategy Document
2.c.2	Is there a legal framework for the development of a strategy that defines the mechanics of possession and rights on Carbon reductions? Yes, No, Why?	Legal Framework Which Determines Property Rights on Carbon Reductions	Government Agreements, Norms and Others



2.c.3	Are there ways and means of financing the implementation of the strategy in the context of programs, policies and projects in general to be generated? Yes, No Why?	Adequate Financing System for the Implementation of Actions in Time and Quality	Programs, Financial Products or Other
2.c.4	Has a system for the benefits sharing generated by the implementation of REDD+, which has been outreach and validated, been defined? Yes, No, Why?	Mechanisms for sharing of outreach and validated benefits	Generated Instruments and Strategy Document

### Component 2.d: Social and Environmental Impact Caused by the Development of the Strategy

Number	Indicative Criteria	Product	Verification Tools
2.d.1	Have the strategy's main social and environmental impacts been identified in a participatory manner? Yes, No, Why?	Social and environmental impact analysis for the development of safeguards	SESA Evaluation Document and Workshop Memoires
2.d.2	Have the main measurements of social and environmental mitigation generated by the strategy in the territories and their implementation framework been defined? Yes, No, Why?	Implementation of defined and validated safeguards framework	Implementation Framework Document. Workshops Memoires

### Component 3. Development of a base line:

Number	Indicative Criteria	Product	Verification Tools
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3.1	Have a series of criteria for the modeling of a forest cover dynamic based on physiographic, biological, social and economic aspects that condition the existing livelihood and that influence the current and future deforestation rates been defined Yes, No, Why?	Defined methods for projecting the cover dynamic to be modeled outreached and validated.	Document of National and Sub National Reference Scenario. Workshop Memoires
3.2	Have a series of reference regions for the development of baselines that allow a better approximation and modeling of emission based on defined criteria been defined and validated? Yes, No, Why?	Reference regions for consensual and validated modeling	Workshop Memoire. MRV System
3.4	Is there a series of sub national baselines that allow the establishment of deforestation dynamic to quantify emissions and the additionality generated? Yes, No, Why?	Developed Sub National Reference Base Lines	Baseline Documents

#### Component 4. Monitoring, Reporting and Verification:

Number	Indicative Criteria	Product	Verification Tools
4.1	An implementing unit for the REDD+ Monitoring, Reporting and Verification System has been set up.	Institutional Platform to Implement MRV	Operative Plan in Execution
4.2	According to existing forestry evaluation mechanisms, have needs for information, equipment, personal and logistics that make the MRV design and implementation viable, been established?	Analysis of MRV Gaps for Effective Implementation	Analysis Document

4.3	Has the implementation of the safeguards developed for social and economic impacts resulting from REDD+ implementation, been evaluated?	Monitoring System and Safeguard Evaluation	M & E System
<b>Component 5: Program and Budget</b>			
<b>Number</b>	<b>Indicative Criteria</b>	<b>Product</b>	<b>Verification Tools</b>
5.1	Is there a roadmap that estimates the time of execution of the different activities given the connection and articulation of products to be obtained in the relevant topics to RPP?	RPP Program and Roadmap.	Implementation Program
5.2	Have the different actions for the development of a budget and its needs in terms of resources been evaluated?	RPP Implementation Budget	BUDGET and PERT
<b>Component 6: Monitoring, Follow-up and Improvement</b>			
<b>Number</b>	<b>Indicative Criteria</b>	<b>Product</b>	<b>Verification Tools</b>
6.1	The products, criteria, indicators and verification means for RPP development, have been defined.	RPP Monitoring Matrix	Monitoring Matrix

## **Annexes for the R-PP (Optional)**

For the purpose of convenience, the annexes will be attached in a in an additional file folder

### **Annex 1a: National Readiness Management Arrangements**

Annex 1a-1 GCI Agreement  
Annex 1a-2 Support Memoires 1st ENRD Meeting  
Annex 1a-3 CICC Government Agreement  
Annex 1a-4 Government Agreement on Socio-Environmental Cabinet

### **Annex 1b: Information Sharing and Early Dialogue with Key Stakeholder Groups**

Annex 1b-1 Reports technical consultations workshops, year 2009  
Annex 1b-2 Agenda and list of participants on “Basic Outreach on Forests and Climate Change” workshop

### **Annex 1c: Consultation and Participation Process**

Annex 1c-1 Reference documents on consulting workshop, January 2011  
Annex 1c-2 Executive Resume TFD Guatemala  
**Annex 1c-3 General description of Development Council Systems**

### **Annex 3: Develop a Reference Level**

Please present the early ideas or draft input to ToR for work to be carried out.

Annex 3-1 Preliminary analysis on information gaps for baseline scenario  
**Annex 3-2 Analysis of existing information.**