

INTERNATIONAL TROPICAL TIMBER ORGANIZATION

ITTO

PRE-PROJECT PROPOSAL

TITLE:	ESTABLISHMENT OF ENABLING CONDITIONS FOR THE RESTORATION AND SUSTAINABLE DEVELOPMENT OF FORESTS IN THE SOUTHERN AREA OF THE SIERRA DE LACANDON NATIONAL PARK, MAYA BIOSPHERE RESERVE, GUATEMALA
SERIAL NUMBER:	PPD 186/16 Rev.2 (F)
COMMITTEE:	REFORESTATION AND FOREST MANAGEMENT
SUBMITTED BY:	GOVERNMENT OF GUATEMALA
ORIGINAL LANGUAGE:	SPANISH

SUMMARY

The Congress of the Republic of Guatemala recently approved Decree No. 2-2015 – “Law to promote the establishment, restoration, rehabilitation, management, production and protection of forests in Guatemala”, known as the “PROBOSQUE Law”. This legislation provides for a 30-year extension of a successful forest incentives programme aimed at the management of natural forests and forest plantations. Objective (d) of this programme is to promote *inter alia* the restoration of degraded forest lands through the establishment of agroforestry systems, forest plantations and other alternatives to contribute to the production of firewood and timber in rural areas and the restoration of the production and protection resource base in degraded forest lands. This pre-project will promote this new incentive programme – PROBOSQUE – among the local communities and will propose the most suitable alternatives for the population in the target area.

At the beginning of this year, the National Forest Institute launched a National Forest Restoration Strategy, which incorporates the forest landscape restoration component as part of public policy guidelines for the Guatemalan forest sector.

The objective of this proposal is to develop a participatory strategy for forest restoration, sustainable use and production development in the Buffer Zone of the Sierra del Lacandon National Park. More specifically, the proposal seeks to establish enabling conditions for the design and implementation of a project for forest landscape restoration through sustainable forest development, climate change adaptation and biodiversity conservation in 5 communities in the Buffer Zone of the Maya Biosphere Reserve (MBR) in the southern area of the Sierra de Lacandon National Park (PNSL).

EXECUTING AGENCY: FUNDACIÓN DEFENSORES DE LA NATURALEZA (FDN)

COOPERATING GOVERNMENTS:

DURATION: 6 MONTHS

APPROXIMATE STARTING DATE: UPON APPROVAL

BUDGET AND PROPOSED SOURCES OF FINANCE:	Source	Contribution in US\$
	ITTO	48,261
	FDN	3,840
	Other sources	9,863
	TOTAL	61,964

Table of contents

LIST OF ACRONYMS	3
PART 1. PRE-PROJECT CONTEXT	4
1.1 Origin and justification	4
1.2 Relevance	5
1.2.1 Conformity with ITTO's objectives and priorities.....	5
1.2.2 Relevance to the submitting country's policies	6
PART 2. JUSTIFICATION OF THE PRE-PROJECT.....	7
2.1 Objective	7
2.1.1 Development objective.....	7
2.1.2 Specific objectives.....	7
2.2 Preliminary problem identification	7
PART 3. PRE-PROJECT INTERVENTIONS	10
3.1 Outputs.....	10
3.2 Activities, inputs and unit costs	10
3.3 Operational strategy	11
3.3.1 Strategy to achieve output 1	11
3.3.2 Strategy to achieve output 2	11
3.4 Work plan	12
3.5 Budget.....	13
3.5.1 Master budget	13
3.5.2 Budget by component – ITTO.....	16
3.5.3 Budget by component – Executing agency (<i>Defensores de la Naturaleza</i>)	16
3.5.4 Budget by component – Other sources (Rainforest Alliance, National Council for Protected Areas).....	17
PART 4. IMPLEMENTATION ARRANGEMENTS	18
4.1 Executing agency and organizational structure	18
4.2 Pre-project management.....	19
4.3 Reporting.....	19
ANNEX 1. PROFILES OF THE EXECUTING AGENCIES	20
ANNEX 2. Executing agency experts	21
ANNEX 3. Terms of reference of consultants funded by ITTO	22
ANNEX 4. Response to the recommendations of the ITTO Expert Panel	24

LIST OF ACRONYMS

BZ:	Buffer Zone
CONAP:	Consejo Nacional de Áreas Protegidas (<i>National Council for Protected Areas</i>)
FDN:	Fundación Defensores de La Naturaleza (<i>Nature Advocacy Foundation</i>)
MBR:	Maya Biosphere Reserve
MUA:	Multiple-Use Area
PNSL:	Parque Nacional Sierra de Lacandón (<i>Sierra de Lacandón National Park</i>)
RA:	Rainforest Alliance

PART 1. PRE-PROJECT CONTEXT

1.1 Origin and justification

The Sierra de Lacandon National Park (*Parque Nacional Sierra de Lacandón* – PNSL) is part of the core zone of the Maya Biosphere Reserve (MBR) in Peten. With a total area of 202,865 hectares, it is the second largest national park in Guatemala. It was designated as a National Park together with the Maya Biosphere Reserve through Decree No. 5-90 issued in 1990. Since 1999, the Park has been co-managed by the FDN (*Fundación Defensores de La Naturaleza - Nature Advocacy Foundation*) and the National Council for Protected Areas (*Consejo Nacional de Áreas Protegidas - CONAP*). In 1999, the National Council for Protected Areas (CONAP) signed a co-management agreement with FDN for the administration and management of the PNSL, a role the Foundation has been playing to date with CONAP's support.

A large area on the boundaries of the National Park coincides with the Guatemala-Mexico border and therefore, the Park constitutes a bridge between protected areas in Peten and the State of Chiapas in Mexico. Furthermore, it is highly significant for the bi-national conservation of species and biodiversity associated to the Usumacinta River. The National Park includes 7 ecosystem types, flood lowlands, savannas and different types of lagoons. This region is characterized by the presence of lacustrine wetlands, and is the natural habitat of various endangered species such as jaguar, puma, tapir and red guacamaya.

In the southern area of the Buffer Zone of the Maya Biosphere Reserve – Sierra de Lacandon National Park, there are 5 communities that have been organized in cooperatives since the 1970's and currently have individual family lands under property titles (Bethel, La Felicidad, Retalteco, Monte Sinai and La Técnica Agropecuaria). In the past, these communities had started to implement forest management practices but given their specific focus on timber products and the degradation of their forests, they had to discontinue this production activity. Given that these communities are located outside the boundaries of the PNSL, they have not received any technical assistance in the last few years to promote community forest development, unlike other communities settled in the PNSL Special Use and Restoration Area.

Natural resource use restrictions in the MBR Buffer Zone are not as strict as in core areas and multiple-use areas, which has resulted in increased deforestation and agricultural encroachment in this area with the presence of forest remnant patches. Thus, there is a real risk of deforestation extending to the south boundary of the PNSL Special Use Area. The wetland areas have already been disturbed and are currently used as pasture lands¹. The main deforestation driver in this region is extensive cattle-raising. Agricultural encroachment is concentrated to the south-east of the PNSL, to the south of the Mendoza lagoon. Between 1992 and 1995 alone, an area of approximately 200 *caballerías* (9000 hectares) of forest was deforested to introduce improved pastures for almost 20,000 head of livestock². Even though the number of grazing areas has now remained stable, there is a potential threat of encroaching into the National Park given the availability of water bodies in its core zone.

The communities located in the buffer zone of the PNSL are beginning to have a renewed interest in sustainable forest management and forest cover restoration because agricultural products have been very vulnerable to extreme natural events such as droughts and flooding. Since these problems have affected their livelihoods, they have requested assistance from the organizations working in their area to strengthen forest activities through the protection of remaining forests, the restoration of the forest cover and the diversification of economic production activities. In some cases, they have started to implement projects on their own but they need technical assistance to ensure adequate planning and implementation, which has been provided by FDN and RA.

The *Defensores de la Naturaleza* Foundation (FDN) has more than 15 years experience in the management of this protected area and in the implementation of community forest development projects. Rainforest Alliance (RA) has 15 years experience in supporting good governance and sustainable livelihoods through forest value chains as a mechanism to protect biodiversity. The National Council for Protected Areas (CONAP), on the other hand, is the government agency responsible for law enforcement and facilitation of local government actions related to natural resources.

These organizations seek to join their expertise to generate a substantial change in the quality of life of these communities and the restoration of biodiversity and natural ecosystem processes in the area (including wetlands, riparian forests and production forests). Given the interest expressed by the local

¹ INAB-CONAP. 2015. Forest Map by Forest Type and Sub-type. 2012. GUATEMALA. Technical report. 26 pp.

² FDN-CONAP. 2005. Master Plan 2006-2010 - Sierra de Lacandón National Park. Guatemala. 192 pp.

communities in forest harvesting and restoration and the fact that there is no updated information available, it was considered necessary to propose this pre-project to carry out a diagnostic study of the area and based on community consultations, formulate a sustainable forest development proposal for the communities involved.

Map of Project Area



1.2 Relevance

1.2.1 Conformity with ITTO’s objectives and priorities

This proposal is consistent with objective (j) of the ITTA 2006 i.e. “Encouraging members to support and develop tropical timber reforestation, as well as rehabilitation and restoration of degraded forest land, with due regard for the interests of local communities dependent on forest resources”. The pre-project seeks to restore the forest cover in areas that were degraded by land-use changes in the MBR Buffer Zone, Guatemala.

By implementing activities aimed at promoting the use and marketing of native species, the use of timber and non-timber forest products, and the protection and restoration of forest landscape (through natural regeneration and enrichment planting), this pre-project seeks to ensure the conservation of biodiversity, the sustainable harvesting of natural resources in remaining forests and the restoration of the forest cover within the MBR Buffer Zone in the southern area of the PNSL with the participation of local communities. Thus, this proposal is consistent with strategic priority 3 as set out in the ITTO Strategic Action Plan 2013 – 2018: “Enhance the conservation and sustainable use of biodiversity in tropical timber producing forests”, as well as with the main objective of the Joint ITTO-CBD Collaborative Initiative: “Enhance biodiversity conservation in tropical forests with the direct participation of local stakeholders, addressing the main drivers of biodiversity loss in tropical forests: deforestation and forest degradation”.

1.2.2 Relevance to the submitting country's policies

The Congress of the Republic of Guatemala recently approved Decree No. 2-2015 – “Law to promote the establishment, restoration, rehabilitation, management, production and protection of forests in Guatemala”, known as the “PROBOSQUE Law”. This legislation provides for a 30-year extension of a successful forest incentives programme aimed at the management of natural forests and forest plantations. Objective (d) of this programme is to promote *inter alia* the restoration of degraded forest lands through the establishment of agroforestry systems, forest plantations and other alternatives to contribute to the production of firewood and timber in rural areas and the restoration of the production and protection resource base in degraded forest lands. This pre-project will promote this new incentives programme – PROBOSQUE – among the local communities and will propose the most suitable alternatives for the population in the target area. At the beginning of this year, the National Forest Institute launched a National Forest Restoration Strategy, which incorporates the forest landscape restoration component as part of public policy guidelines for the Guatemalan forest sector.

The following forest management strategies are outlined in the updated Master Plan for the Buffer Zone: “In this respect, the main strategies established are aimed at overcoming these constraints. Strategies such as forest enrichment, natural species regeneration and technical assistance to small producers, are all geared to increasing the value of remaining forests”.

PART 2. JUSTIFICATION OF THE PRE-PROJECT

2.1 Objective

2.1.1 Development objective

Develop a participatory strategy for the restoration of the forest cover and associated biodiversity, sustainable use and production development in the Buffer Zone of the Sierra del Lacandon National Park.

2.1.2 Specific objectives

Establish enabling conditions for the design and implementation of a project for forest landscape restoration through sustainable forest development, climate change adaptation and biodiversity conservation in 5 communities in the Buffer Zone of the Maya Biosphere Reserve (MBR) in the southern area of the Sierra de Lacandon National Park (PNSL).

2.2 Preliminary problem identification

The Maya Biosphere Reserve (MBR) was established in 1990, together with different types of forest management areas, including more restrictive areas like national parks and biotopes, Core Zones – CZ and other less restrictive areas such as the multiple-use area – MUA and buffer zones – BZ. Regarding the buffer zone, an article of the Law on Protected Areas stipulates that: *“in this zone the management of the Reserve shall promote and implement activities and programs aimed at avoiding negative effects on the natural resources of the Maya Biosphere Reserve. The population, landowners and authorities must make every possible effort to ensure that this area effectively performs its functions as a buffer zone.”* One of the weaknesses of Law No. 5-90 is that the Core Zones were established in areas that have a number of human settlements.

Since then, the institutions involved in the conservation of the MBR focused their efforts on reducing the impact of these settlements on forest lands in the most restrictive areas. The work undertaken with the communities in the buffer zone was aimed at legalizing land tenure arrangements and more sustainable agricultural production systems. It is important to note that over the past 15 years, conservation and sustainable forest production efforts were aimed at forest concessions in the Multiple-Use Area, leaving these communities without any assistance.

Scientific studies³ have clearly shown that deforestation rates are ten times higher in the BZ of the MBR than in the MUA. It is for this and other reasons that the communities have needed to access natural resources and have required sustainable economic alternatives. Currently, in the BZ there are only forest remnants that are smaller in size than forest concession areas in the MUA, with a relative absence of high-value timber species. Therefore, there is an urgent need to incorporate production models such as agroforestry systems, implement reforestation and ecological rehabilitation activities, particularly in wetlands and areas surrounding bodies of water, and implement forest management and other activities for the restoration of the forest landscape.

The BZ of the Maya Biosphere Reserve is an area that has been scarcely studied by biological scientists. According to recent data from the Master Plan of the BZ⁴, three types of ecosystems have been identified in the BZ area, to the south of the PNSL: high-medium broadleaved forests, wetlands and pasturelands. The high-medium broadleaved forests are deciduous forests that grow on hills or small elevations, with some species losing their leaves in the dry season, especially in the crests of the hills due to extremely dry conditions. The wetland areas include cenotes, lagoons, ponds, streams, rivers, mangroves and flood areas, accounting for 3.67% of the total area of the BZ. The Usumacinta River, the largest river of the BZ, and its banks are considered important areas because they serve as a biological corridor and provide ecosystem services. The pasturelands are man-made ecosystems used for livestock ranching.

In 2007, there was a total of 118 villages in the BZ with an estimated total population of 94,164. According to data from that same year, there were 61 villages in the La Libertad municipality with a total population of 54,390, which accounted for 58% of the total population of the BZ. The

³ Hodgdon B., Hughell D., Ramos V.H., McNab R. 2015. *Deforestation Trends in the Maya Biosphere Reserve*. 14pp.

⁴ National Council for Protected Areas. 2015, Master plan of the Maya Biosphere Reserve. Volume 1. Buffer Zone. Guatemala. 334pp.

communities considered by this project are grouped in small villages (500 to 1,000 inhabitants)⁵ and their main economic activity is agriculture. According to INE⁶, the population growth in the municipality of La Libertad is greater than that of other municipalities in the BZ.

The five communities that have been considered for this pre-project (Retalteco, La Técnica Agropecuaria, La Felicidad, Bethel and Monte Sinai) are located in the La Libertad municipality, Peten, in the southern area of the Sierra de Lacandon National Park and bordering the Usumacinta River (see Map 1). They are locally known as communities along the “Bethel trail”. According to data from the 2001 census, 21.3% of the population of the “Bethel trail” are of Maya origin (Q’eqchi’, Mam, Q’anjob’al, Jakalteco, K’iche’, Kaqchiquel, Mestizos) while the remaining 77.7% are of Ladino origin. Between 1998 and 2008, the population of the “Bethel trail” increased by 57%(Suter and Lopez-Carr 2010)⁷. Table 1 shows general data on the target communities of this pre-project. To date, we do not have relevant data on the communities in La Tecnica Agropecuaria, La Felicidad and Monte Sinai.

Table 1. General data on the communities of the pre-project

<u>Community</u>	<u>Year of establishment</u>	<u>Approximate area</u>	<u>Estimated % of encroachment into the PNSL</u>	<u>Projected population by 2008</u>	<u>Density (people/caballeria [approx. 112 acres])</u>
<u>1.Retalteco</u>	<u>1979</u>	<u>4500</u>	<u>80</u>	<u>5093</u>	<u>42.4</u>
<u>2.Bethel</u>	<u>1968</u>	<u>4200</u>	<u>10</u>	<u>1114</u>	<u>11.9</u>
<u>3.La Técnica Agropecuaria</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>
<u>4.La Felicidad</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>
<u>5.Monte Sinai</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>

Source: Taken from Suter & López-Carr 2010; - = No data available

In this area, the main economic activity is agriculture and the average wage in 2008 was Q.40 per day. The communities in this area have access to electricity, although sometimes they do not have the means to pay for it. Nearly all the families in Bethel use propane gas heaters. Both the access to electricity and the use of propane gas, instead of using firewood for cooking, require these families to have access to income sources other than agriculture.

In relation to land tenure in Retalteco and Bethel, most community members have titles to their properties, and the others either rent lands or have appropriated them. Tables 2 and 3 show the public services available in the 5 target communities (electricity, water, access to education and health services) To date, we do not have similar data about the communities of La Tecnica Agropecuaria, La Felicidad and Monte Sinai.

Table 2. Public services available in the target communities

<u>Community</u>	<u>Electricity</u>	<u>Sources of water</u>	<u>Primary school</u>	<u>Number of teachers in primary school</u>	<u>Attendance % in primary school</u>	<u>Basic education school</u>	<u>Number of teachers in basic education schools</u>	<u>Number of children in basic education schools</u>
<u>1.Retalteco</u>	<u>Yes</u>	<u>piped</u>	<u>Yes</u>	<u>11</u>	<u>90</u>	<u>Yes</u>	<u>3</u>	<u>45</u>
<u>2.Bethel</u>	<u>Yes</u>	<u>Stream/spring</u>	<u>Yes</u>	<u>6</u>	<u>-</u>	<u>No</u>	<u>0</u>	<u>20</u>
<u>3.La Técnica Agropecuaria</u>								
<u>4.La Felicidad</u>								
<u>5.Monte Sinai</u>								

Source: Taken from Suter & López-Carr 2010; - = No data available

⁵ Centre for Evaluation and Monitoring of the National Council for protected Areas-CEMEC-2007.

⁶ National Institute for Statistics. 2007. Population projections.

⁷ Suter and Lopez-Carr, 2010. The Level of Human Development in the Sierra del Lancandon National Park. Technical and financial contributions from: The Nature Conservancy, Fundacion Defensores de la Naturaleza, National Council for Protected Areas. The Richardson Charitable Trust.

Table 3. Health services available in the target communities

<u>Community</u>	<u>Health promoters</u>	<u>Trained midwives</u>	<u>Health Ministry Unit</u>	<u>Health Centre</u>
<u>1.Retalteco</u>	<u>2</u>	<u>2</u>	<u>Yes</u>	<u>No</u>
<u>2.Bethel</u>	<u>0</u>	<u>3</u>	<u>No</u>	<u>Yes</u>
<u>3.La Técnica Agropecuaria</u>				
<u>4.La Felicidad</u>				
<u>5.Monte Sinaí</u>				

Source: Taken from Suter & López-Carr 2010; - = No data available

According to surveys carried out with the families of the communities of the “Bethel trail” (Suter and Lopez-Carr, 2010), the most urgent needs in the Retalteco and Bethel communities are, in order of priority, improvement of school infrastructure, access to health services and access to safe drinking water. The same survey indicated that 83% of heads of households in Retalteco and 63% in Bethel were involved in agricultural activities. The others are involved in other activities or are absent from their homes. It should be noted that none of the heads of households in these two communities are involved in forestry activities, which represent a production alternative that has been wasted in this area.

Development projects have traditionally been located in the Special Use and Rehabilitation Areas of the PNSL. Up to 2008 there was no institutional presence in the Bethel Trail communities in the southern area of the PNSL. **Over the past few years, the *Fundacion de Defensores de la Naturaleza*, with the cooperation of the Richardson’s Trust Fund, have implemented projects to facilitate access to sexual and reproductive health for the communities of Retalteco. However,** the communities living in the Bethel Trail have only received limited technical assistance over the past few years to implement sustainable forest management projects. Many community members in these areas are involved in subsistence agriculture activities and have abandoned former forest management practices. Despite the fact that the area has lands suitable for forestry, local community forests have been excessively exploited in the past and high-value species have already been harvested. In view of the above, it is of vital importance to raise awareness among community members of the need to resume sustainable forest management practices in this area, while at the same time assessing their needs and interests as the basis for the formulation of a project proposal for direct intervention in the area.

PART 3. PRE-PROJECT INTERVENTIONS

3.1 Outputs

Output 1: Socioeconomic information has been collected as required for the formulation of a community-based forest development plan and a baseline for its monitoring in the Buffer Zone in accordance with the existing Master Plan for the PNSL.

Output 2: A full project proposal has been formulated for sustainable forest development to promote increased community income, forest landscape restoration and biodiversity conservation in 5 communities in the Buffer Zone of the Maya Biosphere Reserve.

3.2 Activities, inputs and unit costs

This pre-project will be implemented by a team of highly qualified experts from the FDN Foundation (*Fundación Defensores de la Naturaleza*), Rainforest Alliance and CONAP, which will provide the technical assistance required to achieve expected pre-project outputs. By the end of the process, the following is expected to be produced: a socioeconomic and environmental survey of the pre-project area; a memorandum of understanding with the local communities; and a full project proposal for sustainable forest development.

Given the location of the work area, land and air (Guatemala – Flores) travel will be required for the consultants and Coordinating Committee members in charge of pre-project activities. Highly participatory and inclusive workshops will be organized so as to carry out consultations with key stakeholders. Planned activities, inputs and total costs by activity are given below. A detailed budget is included in section 3.5.

<u>Activities</u>	<u>Inputs</u>	<u>Total cot</u>
Output 1: Socioeconomic information has been collected as required for the formulation of a community-based forest development plan and a baseline for its monitoring in the Buffer Zone in accordance with the existing Master Plan for the PNSL.		
i. Identification of biophysical, social and economic characteristics of the project region and interviews with community leaders.	Interviews with community leaders, Assistant Coordinator, forest consultant, research and monitoring officer, sociologist, office supplies, field visits, vehicle rental	10,480
ii. Mapping of the socioeconomic and environmental context of the region.	GIS team, field technicians, research and monitoring officer, office supplies	2,800
Output 2: A full project proposal has been formulated for sustainable forest development to promote increased community income, forest landscape restoration and biodiversity conservation in 5 communities in the Buffer Zone of the Maya Biosphere Reserve.		
i. Discussion of production alternatives for the local communities (timber and non-timber forest products, silvopastoral systems)	Meetings with community members, forest consultant, field technicians, Pre-Project Coordinator, Assistant Coordinator, fuel, vehicle rental, air travel, accommodation	10,560
ii. Identification of markets and value chains for products to be developed	Value chains consultant	6,000
iii. Analysis of potential supply by species in different value chains	Forest consultant	5,400
iv. Development of full project proposal	Meetings with community members, research and monitoring officer, forest consultant, field technicians, Pre-Project Coordinator, Assistant Coordinator, office supplies, air travel, accommodation	7,850

3.3 Operational strategy

3.3.1 Strategy to achieve output 1

Initially, field visits will be carried out to the target area and interviews will be held with community leaders so as to help the team identify existing information gaps. The different consultants of the team will compile information on the biophysical, social and economic characteristics of the project area. With the support of local stakeholders, the main land-use activities and relevant stakeholders will be identified and mapped. Once identified, and with the support of the GIS consultant, current land-use maps will be produced as well as other maps deemed necessary for the appropriate analysis of the information among stakeholders. To this end, all the information generated over the past few years will be reviewed and then validated in the field.

3.3.2 Strategy to achieve output 2

In order to analyse potential scenarios for sustainable forest development, experts will be invited to advise the communities on topics such as value chains, forest restoration, biodiversity and other important issues that should be included in the full project proposal. Different financial scenarios will then be analysed with the support of these experts, including the potential supply of each species for the various value chains, using a specialist in this field.

The information generated will then be disseminated and production alternatives for forest development will be discussed. Furthermore, a consensus will be sought amongst stakeholders to promote measures aimed at supporting sustainable forest development. With the support of the team from *Defensores de la Naturaleza* Foundation and Rainforest Alliance, the information generated during the workshops will be systematized and a complete project proposal will be formulated which will firstly be disseminated to the stakeholders of the target area.

3.4 Work plan

Outputs /Activities	Responsible Party	Schedule (in months)						
		1	2	3	4	5	6	7
Output 1: A socioeconomic and environmental survey of the pre-project area has been carried out								
Activity 1.1. Identification of biophysical, social and economic characteristics of the project region and interviews with community leaders.	FDN-RA							
Activity 1.2. Mapping of the socioeconomic and environmental context of the region.	FDN							
Output 2: A full project proposal has been formulated for sustainable forest development to promote forest landscape restoration, climate change adaptation and biodiversity conservation in the buffer zone of the MBR, to the south of the PNSL.								
Activity 2.1. Discussion of production alternatives for the local communities (timber and non-timber forest products, silvopastoral systems)	FDN-RA							
Activity 2.2 Identification of markets and value chains for products to be developed	RA							
Activity 2.3 Analysis of potential supply by species in different value chains	RA							
Activity 2.4 Development of full project proposal	FDN-RA							

3.5 Budget

3.5.1 Master budget

Output/ activities	Description	Budget Component	Qty	Units	Unit cost US \$	Total cost US \$	Year 1 (6 months)
Output 1	<i>Socioeconomic information has been collected as required for the formulation of a community-based forest development plan and a baseline for its monitoring in the Buffer Zone in accordance with the existing Master Plan for the PNSL.</i>						
Activity 1.1	<i>Identification of biophysical, social and economic characteristics of the project region and interviews with community leaders</i>						
	Director of the Sierra del Lacandon National Park	10	5	days	100	1,000	500
	Research and monitoring officer	10	5	days	100	1,000	500
	Sociologist	10	5	days	100	1,000	500
	Forest consultant	10	6	days	170	2,040	1,020
	Value chains consultant	10	6	days	130	1,560	780
	Pre-project Coordinator	10	5	days	200	2,000	1,000
	Assistant Coordinator	10	5	days	100	1,000	500
	Workshops	61	5	events	400	4,000	2,000
	Fuel	30	10	days	60	900	600
	Vehicle rental	30	5	days	100	1,000	500
	Air travel	30	5	air fares	250	2,000	1,250
	Accommodation and meals	30	19	days	70	2,380	1,330
Activity 1.2	<i>Mapping of the socioeconomic and environmental context of the region</i>						
	Pre-project Coordinator	10	5	days	200	2,000	1,000
	Assistant Coordinator	10	5	days	100	1,000	500
	GIS technician	10	5	days	75	350	0
	Research and monitoring officer	10	5	days	100	1,000	500
	Director of the Sierra del Lacandon National Park	10	5	days	100	1,000	500
	Office supplies	50	6	months	50	800	300

Output/ activities	Description	Budget Component	Qty	Units	Unit cost US \$	Total cost US \$	Year 1 (6 months)
Output 2	<i>A full project proposal has been formulated for sustainable forest development to promote increased community income, forest landscape restoration and biodiversity conservation in 5 communities in the Buffer Zone of the Maya Biosphere Reserve.</i>						
Activity 2.1	<i>Discussion of production alternatives for the local communities (timber and non-timber forest products, silvopastoral systems)</i>						
	Pre-project Coordinator	10	10	days	200	3,000	2,000
	Assistant Coordinator	10	10	days	100	1,500	1,000
	Forest consultant	10	10	days	170		1,700
	Value chains consultant	10	10	days	130		1,300
	Director of the Sierra del Lacandon National Park	10	6	days	100		600
	Research and monitoring officer	10	6	days	100		600
	Workshops	61	6	events	400		2,400
	Fuel	30	6	days	60		360
	Vehicle rental	30	6	days	100		600
Activity 2.2	<i>Identification of markets and value chains for products to be developed</i>						
	Pre-project Coordinator	10	10	days	200	3,000	2,000
	Assistant Coordinator	10	10	days	100	1,500	1,000
	Forest consultant	10	10	days	170		1,700
	Value chains consultant	10	10	days	130		1,300
Activity 2.3	<i>Analysis of potential supply by species in different value chains</i>						
	Pre-project Coordinator	10	9	days	200	2,800	1,800
	Assistant Coordinator	10	9	days	100	1,400	900
	Forest consultant	10	9	days	170		1,530
	Value chains consultant	10	9	days	130		1,170
Activity 2.4	<i>Development of full project proposal</i>						
	Pre-project coordinator	10	10	days	200		2,000
	Assistant Coordinator	10	10	days	100		1,000

Output/ activities	Description	Budget Component	Qty	Units	Unit cost US \$	Total cost US \$	Year 1 (6 months)
	Director of the Sierra del Lacandon National Park	10	5	days	100		500
	Research and monitoring officer	10	5	days	100		500
	Forest consultant	10	5	days	170		850
	Sociologist	10	5	days	100		500
	Office supplies	50	1	month	200		200
	Air travel	30	5	air fares	250		1,250
	Accommodation and meals	30	15	days	70		1,050
	Subtotal Activity + PM						43,090
	Cross-cutting activities						
	Program Management						
	Occupancy						
	Project Monitoring & Administration - ITTO Program Support Costs (12% on items 10 - 82)	83		% of Total Costs	12%	15944.75	5,171
	ITTO Grand Total						48,261

3.5.2 Budget by component – ITTO

Components	Total
10. Project personnel	\$ 31,250.00
20. Sub-contracts	
30. Duty travel	\$ 6,940.00
40. Capital items	
50. Consumable items	\$ 500.00
60. Miscellaneous	\$ 4,400.00
Subtotal 1	\$ 43,090.00
80. ITTO Monitoring Evaluation Costs	
81. Monitoring and Review Costs (effective estimation)	
82. Evaluation Costs (effective estimation)	
Subtotal 2	\$ -
83. Program Support Costs (12% of Overall Budget)	\$ 5,171.00
84. Financial audit	
90. Refund of Pre-Project Costs	\$ -
ITTO TOTAL	\$ 48,261.00

3.5.3 Budget by component – Executing agency (*Defensores de la Naturaleza*)

Budget Components	Annual Disbursements	Total
10. Project personnel		\$ 3,840.00
20. Sub-contracts		
30. Duty travel		
40. Capital items		
50. Consumable items		
60. Miscellaneous		
70. Executing Agency Management Costs		
EXECUTING AGENCY/HOST GOVT. TOTAL		\$ 3,840.00

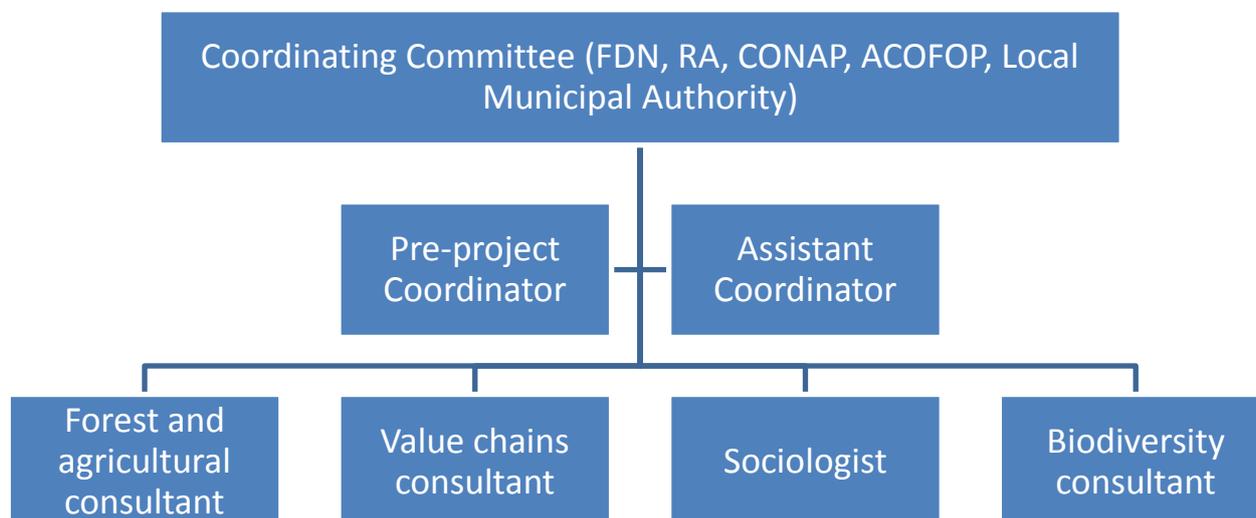
3.5.4 Budget by component – Other sources (Rainforest Alliance, National Council for Protected Areas)

CONAP's counterpart contribution will involve collaboration through a part-time GIS technician during 6 months to carry out the social and environmental mapping of the region. Rainforest Alliance will also provide a counterpart contribution.

Annual Disbursements	Total
Budget Components	
10. Project personnel	\$ 9,863.00
20. Sub-contracts	
30. Duty travel	
40. Capital items	
50. Consumable items	
60. Miscellaneous	
OTHERS TOTAL	\$ 9,863.00

PART 4. IMPLEMENTATION ARRANGEMENTS

4.1 Executing agency and organizational structure



The Coordinating Committee will be made up of representatives of two government institutions specialized in this field (National Forest Institute and National Council for Protected Areas), the local municipality (Municipality of Las Cruces), a local association (Association of Peten Forest Communities) and non-governmental organizations working in close cooperation with the technical team (Defensores de la Naturaleza Foundation and Rainforest Alliance). The National Forest Institute (INAB) has participated in the development of the project and will continue to provide the necessary technical assistance for the implementation of forest activities. The Institute will also provide all the necessary information related to the forest cover, forest types and forest management in the pre-project area.

The National Council for Protected Areas will be involved in the evaluation and monitoring of pre-project activities. Regarding activity 1.2, the GIS team of CONAP offices in Peten will be responsible for the environmental and socioeconomic mapping of the pre-project area. This comprises the in-kind counterpart contribution provided by CONAP.

The Pre-Project Coordinator, in cooperation with the Assistant Coordinator, will be responsible for planning workshops, collecting information, drafting reports and formulating the full project proposal. The team of consultants will be responsible for gathering relevant information in the fields of agroforestry, forestry, community organization and biodiversity. The forest consultant and the value chains consultant will ensure the timely production of outputs stemming from activities 2.2 and 2.3. The sociologist will be in charge of communications with the communities and the facilitation of workshops.

4.2 Pre-project management

<i>Name</i>	<i>Institution</i>	<i>Component</i>
To be determined	-	Pre-Project Coordinator
To be determined	-	Assistant Coordinator
Edin Lopez	FDN	Director of the Sierra de Lacandon National Park
Jorge Soza	FDN	Sociologist
<u>Raquel Leonardo</u>	<u>FDN</u>	<u>Biological research and monitoring officer</u>
Jorge Cruz	RA	Forest consultant
Reyneer Morales	RA	Value chains consultant

4.3 Reporting

A first report will be submitted after completing output 1 of the pre-project. This report will contain information on the progress made in the implementation of the socioeconomic and environmental survey of the area. A second report will be submitted after completing output 2 of the pre-project, which will report on progress made in the drafting of the full project proposal for sustainable forest development.

ANNEX 1. PROFILES OF THE EXECUTING AGENCIES

DEFENSORES DE LA NATURALEZA FOUNDATION

Defensores de la Naturaleza is a non-profit, private and non-political organization devoted to the understanding, care, sustainable use, restoration and conservation of Guatemala's natural resources for the wellbeing of all mankind. From its inception in 1983, *Defensores de la Naturaleza* has been a leader in the conservation of protected areas in Guatemala and currently manages four of the main protected areas in the country: Sierra de las Minas Biosphere Reserve, Bocas del Polochic Wildlife Refuge, United Nations National Park and Sierra del Lacandon National Park. Our challenge is to continue ensuring the conservation of these wildland areas, which account for almost 5% of the national territory and contain close to 80% of all the biological diversity in the country. The conservation of this national heritage will continue to be ensured with the support of more than 150 local communities, national and international institutions supporting conservation efforts, 18 municipalities and scores of entrepreneurs, all Guatemalan visionaries who support and see conservation as a pillar of human and national development and as a fundamental right of future generations. The following strategic objectives have been defined in accordance with the Strategic Plan of the Foundation:

1. Become institutional leaders in the areas of conservation and sustainable management by setting up a highly trained team of people, establishing a transparent and efficient administration system, successfully managing and attracting financial resources, and implementing an effective promotion, dissemination and outreach system.
2. Contribute to conservation and sustainable management in Guatemala, by ensuring the protection of existing biodiversity in managed protected areas and by facilitating the sustainable development and conservation of nature.

RAINFOREST ALLIANCE

Founded in 1987, Rainforest Alliance is one of the main international environmental NGOs with operations throughout the whole world. Through our different programs on forestry, agriculture, tourism, climate and education, we have achieved environmental, social and economic changes in more than 80 countries. Our mission is to conserve biodiversity and ensure sustainable livelihoods by transforming land-use practices, business practices and consumer behaviour. From major multinational corporations to small community cooperatives, we engage companies and consumers from all over the world in our efforts to offer responsibly produced goods and services to a global market where the demand for sustainability is constantly increasing.

Over the last two decades, Rainforest Alliance has become an innovative leader of market-based solutions, offering alternatives to land-use change to the forest, agricultural and tourism industries. We were pioneers in the use of certification as a tool to promote sustainable production and management and we have trained hundreds of thousands of people on best practices in these three sectors.

To date, we have certified close to 4.8 million hectares of farm land in our three program areas and have trained 680,000 farmers in sustainable practices, we have protected more than 187 million acres of forests and fragile ecosystems and we have trained more than 4,000 people from over 500 enterprises in best practices for sustainable tourism. Furthermore, Rainforest Alliance has started to incorporate climate change initiatives in all of its programs. Convinced that climate change is without a doubt one of the most serious problems of our time, Rainforest Alliance has been a pioneer in implementation of innovative REDD+ projects. These projects enable communities and enterprises to harness the benefits of carbon sequestration.

Our Budget for 2013 was \$ 46,904,924, we employ 341 people and we have over 35,000 members throughout the world. Rainforest Alliance is headquartered in New York and has another three offices in the United States. We are a global organization, with 15 additional offices in five continents. From major multinational corporations to small community cooperatives, we have established hundreds of partnership agreements with companies throughout the world in our efforts to place responsibly produced goods and services in the global market. Our current partners in the areas of forestry, agriculture and tourism include Kraft, Unilever, Marte, IKEA, McDonalds, Travelocity, Wal-Mart, Chiquita, Nestles Nespresso and many more.

ANNEX 2. EXECUTING AGENCY EXPERTS

Edin López is an agricultural engineer in the field of renewable natural resources. He graduated from the University of San Carlos of Guatemala and specialized in community forestry at the Latin American Faculty of Social Sciences. He has more than ten years experience in the management of protected areas in the Maya Biosphere Reserve of Guatemala. He previously worked as the Director of the Forest Management Department in Peten and later as the Technical General Director of Peten for the National Council of Protected Areas in Guatemala. Since 2007, he has been working as Director of Conservation and Sustainable Community Development for the *Defensores de la Naturaleza* Foundation. He has extensive experience in areas such as management of protected areas, biodiversity, implementation and monitoring of environmental projects, and implementation of sustainable development activities in the communities of the PNSL

Raquel Leonardo. Biology graduate *in fieri*. Biological research and monitoring coordinator in Defensores de la Naturaleza. She has 9 years of experience in conservation, management and implementation of projects in protected areas in Guatemala. Over the past few years she has coordinated activities for the Alliance for Conservation in the Pine-Oak Forest Eco-region in Guatemala, as well as at the international level.

Jorge Cruz is a forest engineer from the San Carlos University of Guatemala, with a master's degree on Integrated Watershed Management and specialization in Environmental Management (CATIE). He has more than 20 years experience, working since 1988, in projects related to production restructuring, management and conservation of natural resources, rural development, technology transfer and project management activities. He has participated in and coordinated work teams for socio-economic studies and development of sustainable forest management plans and watershed management plans in Central America. He has participated as author, co-author and reviewer of more than fifteen publications (theses, scientific articles, technical manuals) that were the outputs of participatory research activities related to the management of natural resources. He has participated in training courses and workshops on socio-economic surveys and land-use planning in Central America, the Dominican Republic and Colombia.

Reyneer Morales is a forest engineer graduated from the University of San Carlos of Guatemala, Peten Campus, with 25 years experience in the field of tropical forest management. He has experience working with forest communities and with the private sector in forest management and harvesting, forest certification and the development of value-added products destined for sustainable markets of certified products. He currently works for Rainforest Alliance as a business specialist, promoting the development of certified timber products and identifying sustainable business ventures.

ANNEX 3. Terms of reference of consultants funded by ITTO

PRE-PROJECT COORDINATOR

Duration: 6 months

Location: Guatemala

Scope of the assignment:

The Pre-Project Coordinator will assume overall responsibility for the successful implementation of the pre-project and its scheduled activities, as well as the achievement of planned outputs. He/she will report to ITTO.

Duties and responsibilities:

- Supervising and coordinating the pre-project to ensure the achievement of outputs as planned and in accordance with the ITTO standards and procedures related to projects
- Assuming the main responsibility for the daily management of the project, both in the organization of activities and in the achievement of outputs
- Preparing budgets and overall project planning and monitoring
- Ensuring an adequate flow of information, discussions and feedback between project stakeholders
- Ensuring compliance with the pre-project work plan and preparing work plan revisions as required
- Assuming overall responsibility for the adequate management of project logistics, workshops and events
- Preparing progress reports, as well as other reports as required by the executing agency
- Preparing the terms of reference for national and international consultants
- Guiding the work of consultants and supervising compliance with the approved work plan
- Maintaining regular contact with the ITTO focal point in Guatemala on all aspects related to the implementation of the project in their respective areas of responsibility
- Monitoring expenditures, commitments and financial balances for each budget component as well as pre-project budget revisions
- Assuming overall responsibility for the financial execution in compliance with the objectives established in the approved work plan
- Planning and reporting on project funds and maintaining relevant records
- Liaising with project stakeholders to ensure the disbursement of co-financing contributions as agreed
- Ensuring the collection of the necessary data to be used in the promotion of good forest governance
- Implementing any other actions related to the project as required by ITTO.

Qualifications and skills:

- University degree in the forestry, agronomy and/or biology fields with experience in planning, management of protected areas and sustainable development
- Communication, project management and organizational skills
- At least 5 years experience in development aid and project management
- Knowledge of the work environment and professional standards of international organizations
- Work experience with Guatemalan institutions involved in forest management and conservation
- Experience in working with civil society using participatory approaches.

Terms and conditions for the provision of services:

- The Pre-Project Coordinator will report to ITTO.

ASSISTANT COORDINATOR

Duration: 6 months

Location: Guatemala

Scope of the assignment:

Assist the Pre-Project Coordinator for the successful implementation of the pre-project and its scheduled activities, as well as the achievement of planned outputs. He/she will report to ITTO.

Duties and responsibilities:

- The Assistant Coordinator will be responsible for the logistic arrangements in the organization of pre-project workshops and meetings, administration and budget arrangements, and provision of support to Pre-Project Coordinator as required
- Assist in the organization and implementation of meetings before workshops and interviews, including travel arrangements and accommodation for the project staff and assistants
- Assist in the preparation of workshop materials and reports prior to the project
- Assist in the communication with project stakeholders, key stakeholders and other interested parties, including in the dissemination of workshop materials and technical reports
- Assist the Pre-Project Coordinator in the conduction of desk-based research
- Assist in the development of the full project proposal, particularly in logistics arrangements and budgets

Qualifications and skills:

- Completed degree syllabus in the fields of forestry, agronomy and/or biology, with experience in planning
- Experience in the preparation of budgets and financial administration; with strong organizational skills
- Communication and public relations skills.

Terms and conditions for the provision of services:

- The Assistant Coordinator will report to ITTO.

ANNEX 4. Response to the recommendations of the ITTO Expert Panel

Comments from the Panel	<u>Amendments made</u>	Page numbers
<p>1. Further elaborate the preliminary problem analysis by reviewing social and environmental aspects in the southern area of the buffer zone of the Sierra del Lacandon National Park from its existing Master Plan to ensure the effective development of a community-based forest development plan.</p>	<p><u>Additional socio-economic and environmental information was provided on the southern area of the Buffer Zone of the Maya Biosphere Reserve. Information was also provided about the communities that will be included in this pre-project based on a series of studies and sources that were consulted.</u></p>	<p>7-9</p>