

INTERNATIONAL TROPICAL TIMBER ORGANIZATION

ITTO

PRE-PROJECT PROPOSAL

TITLE:	STRENGTHENING FOREST RESEARCH TO IMPROVE THE EFFICIENT USE OF TIMBER AND THE CONSERVATION AND SUSTAINABLE DEVELOPMENT OF FORESTS IN GUATEMALA
SERIAL NUMBER:	PPD 192/18 Rev.1 (F)
COMMITTEE:	REFORESTATION AND FOREST MANAGEMENT
SUBMITTED BY:	GOVERNMENT OF GUATEMALA
ORIGINAL LANGUAGE:	SPANISH

SUMMARY

This pre-project stems from the need to ensure that the National Forest Institute - INAB, as the competent public authority responsible for the forest sector, can achieve its mandate as established by the Forestry Law of Guatemala and other guidelines promoted by the Katun National Development Plan, the Sustainable Development Goals and Guatemala's Forest Policy, with the specific objective of **formulating a full project proposal that will analyze forest management research and development problems in Guatemala with the participation of primary stakeholders and target populations of the country's forest sector to introduce changes in practices, conditions, attitudes and use of resources to improve efficient timber utilization and sustainable forest development.**

The aim is to formulate a proposal analyzing tropical forest management and conservation problems through the participation of primary stakeholders and target populations of the country's forest sector with a view to achieving a change of practices, conditions, attitudes and use of resources in order to improve the efficient utilization of timber and the sustainable development of forests.

The implementation of the proposal to be derived from this pre-project will help respond to the need to develop forest research at the national level and support the improvement of forest management, efficient wood utilization and the competitiveness of timber products, as well as increasing the capacity to conserve and enhance other forest values within a tropical forest management and conservation context.

EXECUTING AGENCY: NATIONAL FOREST INSTITUTE – INAB

COLLABORATING AGENCIES: --

DURATION: 10 MONTHS

APPROXIMATE STARTING DATE: UPON APPROVAL

BUDGET AND PROPOSED SOURCES OF FINANCE:	Source	Contribution in US\$
	ITTO	99,913
	Government of Guatemala	40,873
	TOTAL	140,786

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LIST OF ACRONYMS AND ABBREVIATIONS

ANAM:	Asociación Nacional de Municipalidades (<i>National Association of Municipalities</i>)
ASOREMA:	Asociación Nacional de Organizaciones no Gubernamentales de los Recursos Naturales, Ecología y el Medio Ambiente (<i>National Association of Non-Government Organizations for Natural Resources and the Environment</i>)
CENAF:	Centro de Estudios Nacionales Agropecuarios y/o Forestales (<i>Centre for National Agricultural and/or Forestry Studies</i>)
CONAP:	Consejo Nacional de Áreas Protegidas (<i>National Council for Protected Areas</i>)
DIF:	Departamento de Investigación Forestal de INAB (<i>INAB's Forest Research Department</i>)
ENCA:	Escuela Nacional Central de Agricultura (<i>National Central School of Agriculture</i>)
INAB:	Instituto Nacional de Bosques (<i>National Forest Institute</i>)
ITTA:	International Tropical Timber Agreement
ITTO:	International Tropical Timber Organization
MAGA:	Ministerio de Agricultura, Ganadería y Alimentación (<i>Ministry of Agriculture, Livestock and Food</i>)
MARN:	Ministerio de Ambiente y Recursos Naturales (<i>Ministry of the Environment and Natural Resources</i>)
MINFIN:	Ministerio de Finanzas Públicas (<i>Ministry of Public Finance</i>)
NGOs:	Non-government organizations
PNIF:	Programa Nacional de Investigación Forestal (<i>National Forest Research Programme</i>)

PART 1: PRE-PROJECT CONTEXT

1.1 Origin and justification

This pre-project is geared to formulating a project proposal to identify tropical forest management and conservation problems with the participation of primary stakeholders and target populations of the country's forest sector so as to introduce changes in practices, conditions, attitudes and use of resources with a view to improving the efficient utilization of timber and the sustainable development of forests. The aim is to formulate a full project proposal that will promote and support long-term forest research development at the national level through the implementation of activities to enhance forest management, efficiency of wood utilization, the competitiveness of timber products, and the capacity to conserve and improve other forest values within a tropical forest management and conservation context.

To this end, the National Forest Institute - INAB was established in 1996 under Guatemala's Forestry Law - Legislative Decree No. 101-96, with a mandate to "Promote research to address forest development problems through programs implemented by universities and other research institutions", as stated in item (c) of Article 6, Title II.

The Forest Research Department was established in 2012 under the Forest Development Directorate - DIF during INAB's institutional restructuring. The Forest Research Department was assigned direct responsibility over the implementation and monitoring of research activities at the national level with a view to generating knowledge to help promote the sustainable provision of forest goods and services to meet energy, housing, food, infrastructure and agro-industrial needs, as a mechanism to guarantee livelihoods for society and reduce social and environmental vulnerability in Guatemala.

In relation to research and development, the forest policy provides guidelines for the implementation of research actions; however, funding has only been provided for under the Forestry Law and its regulations, which designate INAB as the government agency in charge of the forest sector. In accordance with its mandate, INAB, through the Special Forestry Fund (*Fondo Forestal Privativo*) (Legislative Decree No. 106-96, Articles 84 and 86), allocates funding for research, technical studies, training and consultancies; however, this funding has been insufficient to meet the demand of the forest sector. Considering the current national context, the need for the implementation of joint strategies has been identified to ensure adequate financing and sustainability of forest research through specific funding provided to strategic forest stakeholders so as to create a scheme that will support the implementation of the National Forest Research Programme (*Programa Nacional de Investigación Forestal - PNIF*) for Guatemala to address forest sector problems and needs.

1.2 Relevance

1.2.1 Conformity with ITTO's objectives and priorities

The implementation of the pre-project on "Strengthening forest research to improve the efficient use of timber and the conservation and sustainable development of forests in Guatemala" will include actions with the involvement of all forest sector stakeholders in Guatemala to highlight the needs and vulnerabilities of the national forest sector, while encouraging and supporting the development of national forest research through the implementation of research activities.

The purpose is to enhance the management of forests, the efficient use of wood, the competitiveness of timber products, and the capacity to conserve and improve other forest values in the tropical forest conservation and management context. All of this is consistent with objective f) and with the overarching objectives of the ITTA 2006, which are "to promote the expansion and diversification of international trade in tropical timber from sustainably managed and legally harvested forests" and "to promote the sustainable management of tropical timber producing forests".

Table 1. Summary of the relationship between ITTA and ITTO objectives and the pre-project proposal

ITTA OBJECTIVE	ITTO OBJECTIVE	RELATIONSHIP WITH THE PRE-PROJECT
<p>Promote the expansion and diversification of international trade in tropical timber from sustainably managed and legally harvested forests and promote the sustainable management of tropical timber producing forests.</p>	<p>Promote and support research and development with a view to improving forest management and efficiency of wood utilization and the competitiveness of wood products relative to other materials, as well as increasing the capacity to conserve and enhance other forest values in timber producing tropical forests.</p>	<p>Incorporation of all forest sector stakeholders in Guatemala (government, NGOs, private sector, academia) for the identification and prioritization of research needs and vulnerabilities.</p>
		<p>The data collection methodology will cover INAB's nine (decentralized) regions for the setting of research priorities at the national level.</p>
		<p>A diagnostic assessment of forest problems and weaknesses will be implemented through a joint, participatory and cross-sectoral process that will identify existing research issues and weaknesses for the management of forests, efficiency of wood utilization, the competitiveness of wood products, and the capacity to conserve and improve other forest values within a tropical forest management and conservation context.</p>
		<p>The aim is to develop a document to define research issues to be identified through the prioritization of forest research problems and weaknesses in Guatemala.</p>
		<p>This pre-project is aimed at formulating a full project proposal document on "Strengthening forest research to improve the efficient use of timber and the conservation and sustainable development of forests in Guatemala".</p>



The pre-project for the formulation of a full project proposal on “Strengthening Forest Research to Improve the Efficient Use of Timber and the Conservation and Sustainable Development of Forests in Guatemala” is consistent with the ITTO Strategic Action Plan for 2013-2018 as described below:

It is related to Strategic priority 6: “Build and develop human resource capacity to implement SFM and increase trade in forest goods and services from sustainably managed forests”, and in particular, to the following two specific actions: 1) Provide assistance to national and regional institutions for training, and 2) Assisting members to support research and development.

1.2.2 Relevance to the submitting country's policies

The project on "Strengthening forest research to improve the efficient use of timber and the conservation and sustainable development of forests in Guatemala" will help comply with Guatemala's Forestry Law - Legislative Decree No. 101-96, which in its Title II, Article 6, Item c, states as an objective to "Promote research to address forest development problems through programs implemented by universities and other research institutions". Furthermore, the future project falls within the framework of the following instruments:

- The "Katún National Development Plan: our Guatemala 2032", in the context of the "Natural resources today and into the future" area, specifically the guidelines, results and goals outlined under the priority related to "Conservation and sustainable use of forests and biodiversity for climate change adaptation and mitigation", which states that efforts should focus, first and foremost, on the reduction of deforestation in natural forests and on the expansion of forest plantations for industrial purposes, prioritizing areas that are suitable for forestry and promoting research in the country's forestry sector.
- The Sustainable Development Goals, which were ratified by Guatemala in 2015, specifically Goal 15, stating the need to "Sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss".
- The Forest Policy of Guatemala, specifically in relation to the policy instruments that define research and development in the following action areas: 1) Promotion of the productive management of natural forests (establishing research guidelines to improve management systems, silvicultural practices, product processing, markets, valuation of additional environmental services, etc.); and 2) Promotion of plantation forestry (establishing that the focus of research should be guided towards the genetic improvement of species, plantation mechanisms, site quality, silvicultural treatments – for example, working towards knot-free wood, yield improvement, processing, and development of new products, among others).

PART 2: PRE-PROJECT JUSTIFICATION

2.1. Objectives

2.1.1 Development objective

Promote and support long-term forest research development at the national level through the implementation of activities to enhance forest management, efficiency of timber utilization, the competitiveness of timber products, and the capacity to conserve and improve other forest values within a tropical forest management and conservation context.

2.1.2 Specific objective

Formulate a full project proposal that will analyze forest management research and development problems in Guatemala with the participation of primary stakeholders and target populations of the country's forest sector to introduce changes in practices, conditions, attitudes and use of resources to improve efficient timber utilization and sustainable forest development.

2.2 Preliminary problem identification

Guatemala's forest sector is gaining greater importance at both the national and international levels because of the beneficial impact it has on the country's economy and the recognition it has been given for the generation of environmental goods and services. It is made up of the private sector (owners of forest resources), the government sector (MAGA, INAB, CONAP, MARN, etc.), the academic sector (state and private universities, as well as technical institutes) and non-governmental organizations (NGOs). Forestry is considered to be one of the driving forces of the country's development, as it contributes to increasing exports and to enhancing the social and economic impact of Guatemala's Incentive Programmes.

The most relevant problems of the forest sector are: the expansion of the agricultural and livestock farming frontier and the loss of natural forests; limited competitive capacity in the face of trade liberalization and globalization; land-use changes shifting to uses other than those supported by the actual land-use capacity, which leads to unsustainable forest production; the harvesting of firewood to solve energy problems at volumes that are greater than the capacity for reforestation and natural forest regeneration, causing the loss of forest resources; and poor coordination of the administrative processes of public forest institutions. Despite the high diversity of tropical forests in Guatemala, it is a well-known fact that they are not properly protected and therefore, it is necessary to identify sites and actions that will ensure their conservation and sustainable management.

In general terms, the forest sector of Guatemala does not carry out systematic research activities on an ongoing basis, except for the very few programs run by universities and some secondary school centers. These efforts have been characterized as being scarce, dispersed and of restricted dissemination. In addition, these processes are poorly systematized and are not properly mainstreamed to ensure their replication and dissemination at the national level. Unfortunately, these activities, which are so important for any given society, are not profitable for the different institutions involved in the forest sector and therefore, there are few and limited sources of local financing available for the development of research.

At present, it is considered that the country lacks an appropriate strategy that would allow an executing agency and/or coordinator of a scientific-technological process, to generate and transfer technology for the conservation and management of tropical forests. It is in this context that the viability of the present proposal becomes relevant because it will ensure compliance with the mandates established by the Forestry Law of Guatemala and will help INAB to operationalize the National Forest Research Programme for the benefit of all forest sector stakeholders, by identifying existing needs and weaknesses in the research issues and lines established under the National Forestry Research Programme in regards to the conservation and management of tropical forests, so as to promote continuous improvement in forest management and investment.

Research weaknesses in the Guatemalan forest sector include a lack of research on forest conservation in the country. Some causes and effects are described below to illustrate this problem:

CAUSE: Weak monitoring of growth dynamics in natural forests for protection or under management. EFFECTS: Diverse technical criteria regarding the regulation of logging and silvicultural treatments in natural forests; lack of a well-structured database on natural broadleaved forests to record forest dynamics and develop research on that basis; very few representative records at the local and regional levels on the estimation and registration of carbon sinks in natural forests.

CAUSE: No model scenarios developed on diversification of products associated to natural forests. EFFECTS: Forests are still considered as idle lands; few records for value adding to products associated to natural broadleaved and coniferous forests; there is no diversification of native products to be linked to the market.

CAUSE: Limited importance attached to the conservation of natural germplasm. EFFECTS: Loss of opportunities for the development of native progenies of high commercial value; lack of diagnostic assessments to determine the distribution of high-value native species in Guatemala; lack of knowledge on post-processing in the industry and seed conservation; lack of clarity on site factors required for the categorization and appropriate evaluation of seed sources that will guarantee adequate progeny improvement.

CAUSE: There is no analysis of viable sound proposals on payment for environmental services (PES) schemes. EFFECTS: Further expansion of the agricultural frontier; loss of forest conservation stimulus; increased illegal logging in watershed areas; no development of policies that will encourage the effective protection of natural coniferous and broadleaved forests.

PART 3: PRE-PROJECT INTERVENTIONS

3.1 Outputs

The following outputs are expected to be produced in order to achieve the objectives of the pre-project, in accordance with INAB's mandate as the public agency in charge of the country's forest sector, and with ITTO's objectives of "promoting the expansion and diversification of international trade in tropical timber from sustainably managed and legally harvested forests" and "promoting the sustainable management of tropical timber producing forests":

- a) A diagnostic assessment of forest problems and weaknesses implemented through a joint, participatory and cross-sectoral process that will identify existing research issues and weaknesses for the management of forests, efficiency of timber utilization, the competitiveness of timber products, and the capacity to conserve and improve other forest values within a tropical forest management and conservation context.
- b) A document on "Definition of research issues" completed, including the prioritization of forest research problems and weaknesses in Guatemala.
- c) A project document on "Strengthening forest research to improve the efficient use of timber and the conservation and sustainable development of forests in Guatemala" formulated.

3.2 Activities, inputs and unit costs

Table 2. Description of activities, inputs and unit costs by output to be achieved through the implementation of the pre-project

OUTPUTS	ACTIVITIES	INPUTS	UNIT COST (US\$)
OUTPUT 1	Hiring consultancy services for the implementation of a diagnostic assessment of forest problems and weaknesses	Contract	8,000.00
	INAB's approval of methodology for a participatory consultation on all data collection instruments	Reproduction of materials	150.00
	Coordinating with a consultancy firm for the implementation of a workshop with INAB's core directorates for the dissemination and scheduling of the diagnostic assessment	One-day workshop for 20 people (meals, venue, materials, parking, etc.)	1,100.00
	Coordinating with a consultancy firm for the implementation of 9 regional workshops with the participation of key sector stakeholders and potential beneficiaries	Workshop for 30 people (hotel accommodation, meals, venue, materials, etc.)	11,250.00
	Coordinating with a consultancy firm for the revision of the forest diagnostic assessment document with INAB's directorates	One-day workshop for 20 people (meals, venue, materials, parking, etc.)	1,100.00
	Coordinating with a consultancy firm for the validation of the diagnostic assessment through a multi-stakeholder workshop with the forest sector	One-day workshop for 40 people (meals, venue, materials, hotel accommodation, etc.)	3,000.00
	Submission of a completed and revised national diagnostic assessment of forest problems and weaknesses to INAB	Reproduction of materials	600.00

OUTPUTS	ACTIVITIES	INPUTS	UNIT COST (US\$)
OUTPUT 2	Hiring consultancy services for the definition of forest research issues	Contract	8,000.00
	INAB's approval of work methodology, including data collection instruments, for the definition of forest research issues	Reproduction of materials	150.00
	Coordinating with a consultancy firm for the implementation of 9 regional workshops with the participation of key sector stakeholders and potential beneficiaries for the prioritization of forest problems and weaknesses	Workshop for 35 people (meals, venue, materials, hotel accommodation, etc.)	13,125.00
	Coordinating with a consultancy firm for the revision of the forest research issues definition document with INAB's directorates	One-day workshop for 20 people (meals, parking, venue, materials, etc.)	1,100.00
	Coordinating with a consultancy firm for the validation of the forest research issues definition document through a multi-stakeholder workshop with the forest sector	One-day workshop for 40 people (hotel accommodation, meals, venue, materials, etc.)	3,000.00
	Submission of a completed and revised research issues definition document to INAB	Reproduction of materials	600.00
OUTPUT 3	Hiring consultancy services for the formulation of a project proposal on "Strengthening forest research to improve the efficient use of timber and the conservation and sustainable development of forests in Guatemala"	Contract	8,000.00
	4 events for the collection of complementary information	One-day workshop for 35 people (meals, venue, materials, hotel accommodation, etc.)	5,978.00
	Submission of a draft project document	Reproduction of materials	1,360.00
	Workshop for the validation of the project document with the participation of INAB's core directorates	One-day workshop for 20 people (food, venue, materials, parking, etc.)	1,340.00
	Delivery of final project proposal document to INAB	Reproduction of materials	300.00

3.3 Implementation approaches and methods

Strategic partnerships: A series of workshops and events will be organized with strategic Guatemalan forest sector stakeholders and, by using different participatory diagnosis tools, it will be possible to collect information at the national and regional levels. It is expected that their participation will contribute to the generation of the information required for the proposed outputs.

Table 3: Potential forest sector stakeholders who could be part of the strategic partnership for the generation of information during the implementation of the pre-project.

GOVERNMENT SECTOR	INAB	Will be the executing agency of the pre-project proposal through its Forest Research Department
	CONAP	As a group, they represent the administrative stakeholders of the national forest resource, rules, regulations and regulatory frameworks. Therefore, their participation in the coordination and governance of forest resources is important for the implementation of the pre-project.
	MAGA MARN	
	ANAM	The scope of decentralized information that could be generated by the management of local data is the reason why it is important to establish cooperation links with this institution.
	ACADEMIC SECTOR	CEMAF
UNIVERSITIES		Universities will play a crucial role in the possible systematization and application of the National Forest Research Programme (PNIF) and will provide academic quality and technology.
NGO SECTOR	ASOREMA AND OTHERS	They generally provide services to different sectoral groups, have assessed different target groups and generate forest research activities.
PRIVATE SECTOR	CHAMBER OF INDUSTRY	They represent the target group for the implementation of the pre-project, due to the important role they play in the management, productivity, innovation and local investment processes.
	FORESTRY ASSOCIATIONS	
	PRIVATE RESEARCH INSTITUTES	
	COMPANIES	
	INDIVIDUALS	

The workshops and centralized (Metropolitan Region) and decentralized (nine regions identified by INAB) events of a cross-sectoral nature constitute the main tools to be used for the identification and analysis of forest research problems, vulnerabilities and needs in Guatemala, in order to achieve the three expected outputs. The following actions will be carried out to obtain the relevant information needed to cover the scope of the pre-project:

Consultants with extensive experience and capacity		Generation of reliable information and data for analysis.
Mapping of key stakeholders		Information from active and dynamic stakeholders and beneficiaries
Consultation workshops		Brainstorming, prioritization of problems, systematization of experiences, etc.
Validation of information		This is to analyze, interpret and carry out the quality control of the information
Presentation of results		This will verify that the outputs achieved have the required quality.

3.4 Work Plan

Table 4. Work plan including activities, responsible parties and schedule for pre-project implementation

ACTIVITIES	RESPONSIBLE PARTY	Q1			Q2			Q3			Q4		
		1	2	3	1	2	3	1	2	3	1	2	3
Hiring consultancy services for the implementation of a diagnostic assessment of forest problems and weaknesses	Consultant and evaluation committee												
INAB's approval of methodology for a participatory consultation on all data collection instruments	Consultant and evaluation committee												
Coordinating with a consultancy firm for the implementation of a workshop with INAB's core directorates for the dissemination and scheduling of the diagnostic assessment	Consultant and support personnel												
Coordinating with a consultancy firm for the implementation of 9 regional workshops with the participation of key sector stakeholders and potential beneficiaries	Consultant and support personnel												
Coordinating with a consultancy firm for the revision of the forest diagnostic assessment document with INAB's directorates	Consultant and evaluation committee												
Coordinating with a consultancy firm for the validation of the diagnostic assessment through a multi-stakeholder workshop with the forest sector	Consultant and support personnel												
Submission of a completed and revised national diagnostic assessment of forest problems and weaknesses to INAB	Consultant and coordinator												
Hiring consultancy services for the definition of forest research issues	Consultant and evaluation committee												
INAB's approval of work methodology, including data collection instruments, for the definition of forest research issues	Consultant and evaluation committee												
Coordinating with a consultancy firm for the implementation of 9 regional workshops with the participation of key sector stakeholders and potential beneficiaries for the prioritization of forest problems and weaknesses	Consultant and support personnel												
Coordinating with a consultancy firm for the revision of the forest research issues definition document with INAB's directorates	Consultant and evaluation committee												
Coordinating with a consultancy firm for the validation of the forest research issues definition document through a multi-stakeholder workshop with the forest sector	Consultant and support personnel												
Submission of a completed and revised research issues definition document to INAB	Consultant and coordinator												
Hiring consultancy services for the formulation of a project proposal on "Strengthening forest research to improve the efficient use of timber and the conservation and sustainable development of forests in Guatemala"	Consultant and evaluation committee												

ACTIVITIES	RESPONSIBLE PARTY	Q1			Q2			Q3			Q4			
		1	2	3	1	2	3	1	2	3	1	2	3	
4 events for the collection of complementary information	Consultant and support personnel													
Submission of a draft project document	Consultant													
Workshop for the validation of the project document with the participation of INAB's core directorates	Consultant and evaluation committee													
Coordinating with a consultancy firm for the validation of the project document through a multi-stakeholder workshop with the forest sector	Consultant and support personnel													
Delivery of final project proposal document to INAB	Consultant and coordinator													

3.5 Budget

Table 5. Detailed overall budget by activity for each pre-project output

OUTPUT /ACTIVITIES	DESCRIPTION	BUDGET COMPONENT	QUANTITY				UNIT	UNIT COST US\$	TOTAL COST US\$
			QUARTER 1	QUARTER 2	QUARTER 3	QUARTER 4			
OUTPUT 1	A diagnostic assessment of forest problems and weaknesses implemented through a joint, participatory and cross-sectoral process that will identify existing research issues and weaknesses for the management of forests, efficiency of timber utilization, the competitiveness of timber products, and the capacity to conserve and improve other forest values within a tropical forest management and conservation context								
<i>ACT. 1.1</i>	<i>Hiring consultancy services for the implementation of a diagnostic assessment of forest problems and weaknesses</i>								
	National Consultant in Project Management	13	90	10			man/day	80	8000.00
<i>ACT. 1.2</i>	<i>INAB's approval of methodology for a participatory consultation on all data collection instruments</i>								
	Office supplies /Materials	54	10				Support documents	10	100.00
<i>ACT. 1.3</i>	<i>Coordinating with a consultancy firm for the implementation of a workshop with INAB's core directorates for the dissemination and scheduling of the diagnostic assessment</i>								
	1 workshop / 20 people (meals, venue & parking)	61	20				Cost /person	40	800.00
	Office supplies /Materials	54	20				Support documents	10	200.00
<i>ACT. 1.4</i>	<i>Coordinating with a consultancy firm for the implementation of 9 regional workshops with the participation of key sector stakeholders and potential beneficiaries</i>								
	9 workshops / 30 people (hotel accommodation, meals, venue & parking)	61	270				Cost /person / workshop	40	10800.00
	Office supplies /Materials	54	30				Support documents	10	300.00

ACT. 1.5	<i>Coordinating with a consultancy firm for the revision of the forest diagnostic assessment document with INAB's directorates</i>								
	1 workshop / 20 people (meals, venue & parking)	61	20				Cost /person	40	800.00
	Office supplies /Materials	54	20				Support documents	10	200.00
ACT. 1.6	<i>Coordinating with a consultancy firm for the validation of the diagnostic assessment through a multi-stakeholder workshop with the forest sector</i>								
	1 workshop/ 40 people (meals, hotel accommodation, venue & parking) in the capital city	61	40				Cost /person	60	2400.00
	Office supplies /Materials	54	40				Support documents	10	400.00
ACT. 1.7	<i>Submission of a completed and revised national diagnostic assessment of forest problems and weaknesses to INAB</i>								
	Printing of materials	61		40			Document	12	480.00
SUB-TOTAL – OUTPUT 1									24480.00
OUTPUT 2	A document on “Definition of research issues” completed, including the prioritization of forest research problems and weaknesses in Guatemala								
ACT. 2.1	<i>Hiring consultancy services for the definition of forest research issues</i>								
	National Consultant in Project Management	13		90	10		man-day	80	8000.00
ACT. 2.2	<i>INAB's approval of work methodology, including data collection instruments, for the definition of forest research issues</i>								
	Office materials /supplies	54		10			Supp. documents	10	100.00
ACT. 2.3	<i>Coordinating with a consultancy firm for the implementation of 9 regional workshops with the participation of key sector stakeholders and potential beneficiaries for the prioritization of forest problems and weaknesses</i>								
	9 workshops / 35 people (hotel acc., meals, venue & parking)	61		315			Cost / person/ workshop	40	12600.00
	Office materials /supplies	54		35			Supp. documents	10	350.00
ACT. 2.4	<i>Coordinating with a consultancy firm for the revision of the forest research issues definition document with INAB's directorates</i>								
	1 workshop / 20 people (meals, venue & parking)	61		20			Cost / person	40	800.00
	Office materials /supplies	54		20			Supp. documents	10	200.00

ACT. 2.5	<i>Coordinating with a consultancy firm for the validation of the forest research issues definition document through a multi-stakeholder workshop with the forest sector</i>								
	1 workshop / 40 people (meals, hotel acc., venue & parking) in the capital city	61		40			Cost / person	60	2400.00
	Office materials /supplies	54		40			Supp. documents	10	400.00
ACT. 2.6	<i>Submission of a completed and revised research issues definition document to INAB</i>								
	Printing of materials	61			40		Document	10	600.00
SUB-TOTAL – OUTPUT 2									25450.00
OUTPUT 3	A project document on “Strengthening forest research to improve the efficient use of timber and the conservation and sustainable development of forests in Guatemala” formulated								
ACT. 3.1	<i>Hiring consultancy services for the formulation of a project proposal on “Strengthening forest research to improve the efficient use of timber and the conservation and sustainable development of forests in Guatemala”</i>								
	National Consultant in Project Management	13			90	10	man-day	80	8000.00
ACT. 3.2	<i>4 events for the collection of complementary information</i>								
	4 workshops / 35 people (hotel acc., meals, venue & parking)	61			140		Cost / person/ workshop	40	5600.00
	Office materials /supplies	54			35		Supp. documents	27	378.00
ACT. 3.3	<i>Submission of a draft project document</i>								
	Printing of materials	61			40		Document	34	1360.00
ACT. 3.4	<i>Workshop for the validation of the project document with the participation of INAB’s core directorates</i>								
	1 workshop / 20 people (meals, venue & parking)	61			20		Cost / person	40	800.00
	Office materials /supplies	54			20		Supp. documents	27	540.00
ACT. 3.5	<i>Delivery of final project proposal document to INAB</i>								
	Printing of materials	61			20		Document	15	300.00
SUB-TOTAL – OUTPUT 3									16978.00

OTHER ACT.	<i>Miscellaneous and pre-project's internal administration costs</i>								
	Hiring of an administrative-finance officer	10.11.4	90	90	90		man-day	47	12690.00
	Office materials /supplies	54	5	5	5	5	Purchase of inputs	60	1200.00
	DSA at the national level	30.31.3	22	22	22		Cost/day	56	3960.00
	Local transport costs	30.33	12	12	12		Cost/trip	55	1980.00
	Purchase of computer	40.44.1	1				Unit	1200	1200.00
	Purchase of desk and chair	40.44.3	1				Unit	270	270.00
	Contingencies	60.63	1	1	1	1	n/a	250	1000.00
SUB-TOTAL – MISCELLANEOUS AND PRE-PROJECT'S INTERNAL ADMINISTRATION									22300.00
SUB-TOTAL PRE-PROJECT COST (EXCLUDING 12% FOR ITTO PROGRAMME SUPPORT COSTS)									89208.00
<i>OTHERS</i>	<i>ITTO programme support costs – estimated at 12% of budget sub-total</i>								10705.00
TOTAL PRE-PROJECT COST								US\$	99913.00

Table 6. ITTO budget by component, including programme support costs at 12% of pre-project cost

ITEM	DESCRIPTION	TOTAL \$	COSTOS ITTO 12% (\$)
10	PRE-PROJECT PERSONNEL		
1.3	National Consultant in Project Management	24000	2880
1.4	Administrator	12690	1522.8
30	TRAVEL		
31	DSA	3960	475.2
32	Transport costs	1980	237.6
40	CAPITAL ITEMS		
44.1	Computer equipment	1200	144
44.3	Other	270	32.4
50	CONSUMABLE ITEMS		
54	Office supplies	4368	524.16
60	MISCELLANEOUS		
61	Sundry	39740	4768.8
63	Contingencies	1000	120
TOTAL COST – ALL COMPONENTS		89208	
ITTO PROGRAMME SUPPORT COSTS ESTIMATED AT 12%			\$ 10705.00
TOTAL PRE-PROJECT COST			\$ 99913.00

3.5.1 Executing agency budget

Item	Description	Total
10	Personnel	
11	Project Coordinator	12,272.72
12	Deputy Project Coordinator	8,636.36
13	Support staff	8,636.36
19	Component Total	29,545.44
30	Travel	
31	Duty travel	900.00
39	Component Total	900.00
40	Capital items	
41	Office rental	2,400
49	Component Total	2,400
50	Consumable items	
53	Utilities	1,000
59	Component Total	1,000
60	Miscellaneous	
61	Miscellaneous support	4,000
69	Component Total	4,000
	SUB-TOTAL	37,845.44
70	National management costs	
71	Administrative costs (8%)	3,027.63
79	Component Total	3,027.63
TOTAL COUNTERPART BUDGET		40,873.00

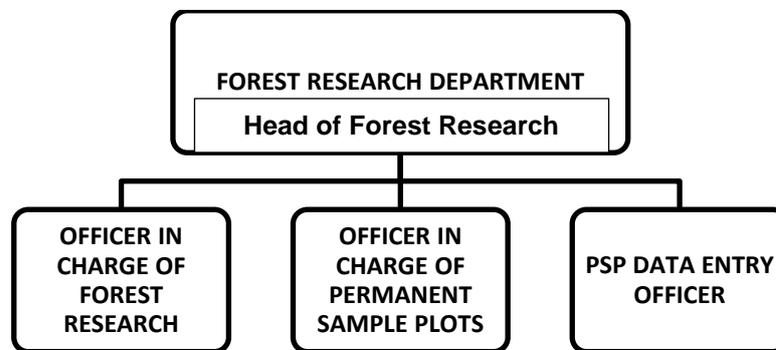
PART 4: IMPLEMENTATION ARRANGEMENTS

4.1 Executing agency and organizational structure

The National Forest Institute (INAB), an autonomous, decentralised government agency with legal capacity, equity capital and administrative independence, is the competent coordinating authority responsible for the public agricultural sector in the forestry field in Guatemala. As such, INAB will be the executing agency of this project through the relevant department within its organizational structure.

The agency responsible for the coordination and implementation of the pre-project proposal, as well as for ensuring the administration of resources and the generation of outputs, is the Forest Research Department of the National Forest Institute. This department is attached to the Forest Development Directorate of INAB and has four members with the following positions: Head of the Forest Research Department, Officer-in-charge of Forest Research, Officer-in-charge of Permanent Sample Plots and Permanent Sample Plot Data Entry Officer.

Figure 1. Flowchart of INAB's Forest Research Department, which will be in charge of pre-project coordination and implementation



4.2 Pre-project management

Pre-project coordinator: The Forest Research Department will be responsible for the planning, organization and direct implementation of the pre-project. The head of this Department will be the pre-project coordinator, who will be responsible for the management of resources to carry out the activities required to achieve pre-project objectives. The duties of the Forest Research Department are detailed below:

1. Support the consolidation and leadership of INAB within the National Forest Research Strategy.
2. Facilitate the formulation, management and monitoring of forest research proposals submitted for implementation with national funds and international cooperation.
3. Coordinate activities aimed at generating the information and data required to develop a tool for the implementation of sustainable forest management activities, particularly in forest plantations.
4. In cooperation with the Forest Outreach Unit, prepare documents, technical fact-sheets, leaflets, etc., with the information generated through permanent sample plots.

The pre-project coordinator will be responsible for coordinating with the relevant INAB directorates for the hiring of a suitable consultant and will also establish and chair an "evaluation committee" that will be responsible for all control and evaluation activities during and after pre-project implementation with the support and coordination of stakeholders from INAB's core directorates.

Pre-project administrator: A suitable person for the administration of resources, pre-project management, input accounting and all matters related to financial administration will be hired through an external selection process organized by INAB, to temporarily perform the duties and functions that the pre-project

coordinator deems appropriate. The administrator will be based at the central project headquarters of INAB (7 av. 6-80 Zone 13), in the offices of INAB's Forest Development Directorate and he/she should develop proposals for the monitoring of DSA management, contracts, quotes, settlements, transport payments and fuel distribution, among others.

Pre-project operational stakeholders: One or more experienced individuals or companies with a wide track-record and extensive expertise in the topics related to the three outputs envisaged by this pre-project. Their main function will be to act as executing agents in the implementation of all activities, as well as the submission of reports and outcomes, revision of reports and delivery of validated outputs to INAB.

Support personnel: The Officer-in-charge of Forest Research (deputy coordinator) will be responsible for providing support for planning activities and organization and, in particular, for the implementation of the pre-project. He/she will be assisted by the Officer-in-charge of Permanent Forest Sample Plots, specifically in activities such as the coordination of the workshops/events, activity records, means of verification and logistics coordination.

4.3 Monitoring and reporting

Monitoring by the executing agency: Pre-project monitoring will be carried out through the establishment of the "pre-project evaluation committee" which will be chaired by the Head of the Forest Research Department and by relevant personnel from the directorates of INAB. Each of the pre-project outputs will be validated by the evaluation committee.

ITTO monitoring: Monitoring and reporting during pre-project implementation will involve the activities stipulated in the Manual on Standard Operating Procedures for the ITTO Project Cycle and, in particular, the section on reporting, review, monitoring and evaluation of the ITTO Manual for Project Formulation, as described below:

a) Activity: inception meeting

Description: The purpose of this activity is to have a first meeting between the donor institution and the executing agency so as to formalize administrative and planning arrangements for the project.

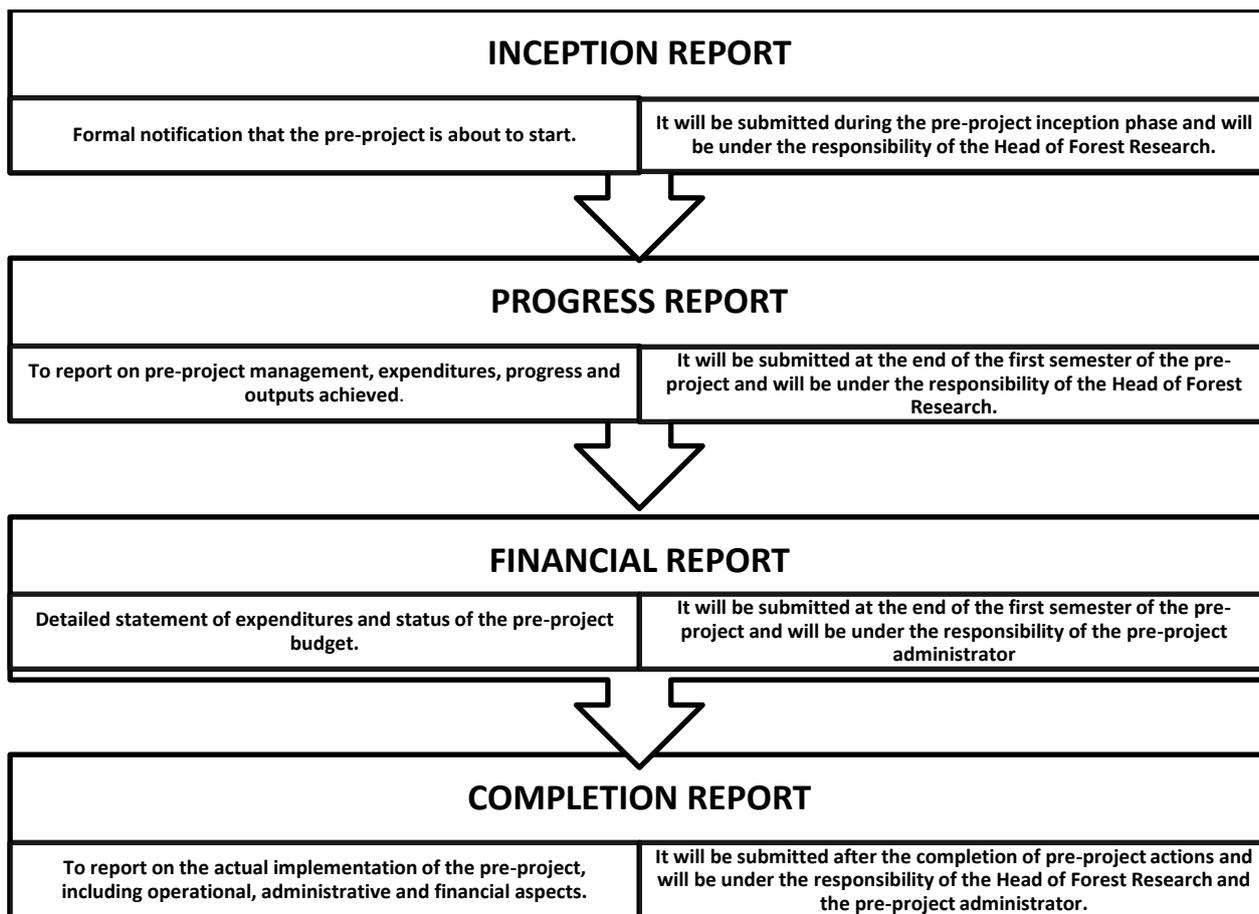
Stakeholders: This meeting will be attended by the Forest Development Director of INAB; the Head of the Forest Research Department of INAB; an administrative representative of the Forest Development Directorate of INAB; the Officer in Charge of Forest Research and the Officer in Charge of Permanent Sample Plots of INAB; and a member of the ITTO Secretariat or his/her representative in Guatemala.

Responsible party: The coordination of this meeting will be under the responsibility of the Head of the Forest Research Department.

Date/Period: This activity is expected to be implemented one week after receiving notification of pre-project approval.

b) Internal monitoring by the executing agency (INAB)

The following reports will be submitted during the implementation of this pre-project:



c) The above reports will be the result of a compilation of various tools and means of verification that will be part of the programs, control schedules and activity monitoring processes, as described in the table below:

SUMMARY OF ACTIVITIES	MEANS OF VERIFICATION	OFFICER RESPONSIBLE FOR MONITORING & CONTROL	QUARTER			
			1	2	3	4
SPECIFIC PROJECT ACTIVITIES						
Hiring of 3 consultancies to generate the main pre-project outputs.	Three (03) contracts	Project administrator and Head of Forest Research				
Events or workshops to collect information in order to generate outputs, including their validation.	Eleven (11) lists of participants, one report per event and photographs	Forest Research Officer and PSP Officer	Means of verification will be filed as stipulated in the pre-project work plan			
Documents on three outputs to be generated by the pre-project	Final draft of documents	Head of Forest Research and pre-project administrator				

CROSS-CUTTING ACTIVITIES RELATED TO THE PROJECT			
Monitoring the management of funds for the purchase of resources, payment of DSA (according to government agreement 106-2006), payment of salaries and payment of fuel during pre-project implementation.	Closing bank balances, bank reconciliation and account statements	Pre-project administrator and Head of Forest Research	Each report (verifier) will be submitted on a monthly basis
	Monthly report on fuel dispatch		
	Monthly report on DSA costs		
Auditing the management of funds	Audit report	INAB's Auditing Unit and Head of Forest Research	

***** The three consultants and the pre-project administrator will be directly responsible for the implementation of activities; monitoring and control activities will be under the responsibility of the executing agency, as shown in the above table.**

ANNEX 1. Profile of the executing agency

The National Forest Institute – INAB was created through the Forestry Law (Legislative Decree No. 101-96), issued on 2 December 1996, as an autonomous and decentralized public agency, which would be the governing institution of the forest sector, responsible for promoting and supporting forest development in the country and enforcing forest policies in compliance with the objectives of the Forestry Law. The Institute is responsible for promoting forest research, developing forest programs and projects, promoting and strengthening technical careers, and preparing specific institutional regulations.

INAB's general objective is to contribute to integrated rural development by promoting and regulating the sustainable use, protection, conservation and restoration of forests and forest lands. Some of its strategic objectives include: 1. Guarantee the livelihoods of the Guatemalan society and reduce socio-environmental vulnerability, while at the same time fostering the sustainable provision of forest goods and services to meet energy, housing, infrastructure and agro-industrial needs. 2. Reduce the loss and degradation of forests, regulating and monitoring their use, protection and restoration, and ensuring the continuity of their production and protection functions. 3. Strengthen the forest culture aimed at the sustainable use, protection and restoration of forests, supporting good governance and improving public perception and opinion on forest management.

INAB's mission is: "To promote and implement national forest policies and facilitate access to technical assistance, technology and forest services for foresters, municipalities, universities, (national and international) investor groups, and other forest sector stakeholders, through the design and promotion of strategies and actions aimed at generating increased economic, ecological and social development in the country". INAB's vision is to be a leader and model of modernization at the international level, through the implementation of promotion, management and awareness actions for the sustainable development of Guatemala's forest sector, leading to an improvement of the economy and the quality of life of its population.

The budget of the National Forest Institute of – INAB for the 1 January-31 December 2018 financial year was approved by means of a Governmental Agreement (and amendments) for a total of one hundred and fifty-three million, one hundred and ninety-three thousand, six hundred and sixty-four Quetzales exactly (Q.153,193,664.00). To fulfill its objectives, INAB has the following human resources: a) Experts with postgraduate studies, b) Experts with university degrees, c) Mid-level technicians, d) Administrative staff, e) Forest promoters, and f) Forest rangers, among others, stationed in 214 locations in the central facilities and 453 in different regions and sub-regions of the country.

For the fulfillment of its mandate, INAB has a Board of Directors, which is its highest executive body, as well as a management team and several directorates and support units. In addition, it has nine regional directorates and 34 sub-regional directorates, which ensure INAB's presence throughout the country and are the support units for guaranteeing compliance with institutional objectives. INAB's facilities to carry out activities related to tropical forests are located in most of the departments where these forests are found.

The institutional planning framework is based on an "outcome-based management" scheme which includes four main objectives: 1) Promote the management of the country's forests by encouraging and regulating their sustainable use, protection and restoration, as a mechanism to ensure their sustainability, rehabilitation and productivity improvement, thus enhancing the provision of goods and services to guarantee the livelihoods of the communities and contribute to the reduction of the country's vulnerability to climate change effects; 2) Contribute to the economic and social development of the country by promoting the linkage of forests to industries and markets, as a way of achieving greater value added to forest products and increasing investment and employment generation, as well as recognizing the contribution of the forest sector to the national economy; 3) Strengthen forest governance by consolidating partnerships with governments and local organizations so as to promote the linkage of forest goods and services with social development, while promoting a forestry culture, increasing legality and reducing conflicts over the use of forests; and 4) Promote and strengthen institutional modernization and human resource competencies through a quality, outcome-based management model, which guarantees institutional efficiency as required to satisfy social demands and provide quality services to users.

Table 6. Coverage of regional and sub-regional directorates based on Guatemala's administrative division

No.	Region	Department	No. of sub-regions
I	Metropolitana	Guatemala	1
II	Las Verapaces	Alta y Baja Verapaz	7
III	Nor-Oriente	Chiquimula, El Progreso, Izabal, Zacapa.	4
IV	Sur-Oriente	Jutiapa, Jalapa y Santa Rosa	3
V	Centro	Chimaltenango y Sacatepéquez	2
VI	Occidente	Quetzaltenango, San Marcos, Sololá y Totonicapán	4
VII	Nor-Occidente	Huehuetenango, Quiché	5
VIII	El Petén	Petén	4
IX	Costa Sur	Escuintla, Retalhuleu, Suchitepéquez	4
TOTAL			34

Each of these Regional and Sub-regional Directorates of INAB has offices equipped with furniture, telephone, fax machines and computer equipment. In addition, they have their own budget and vehicles and motorcycles at their disposal. All of these Directorates are staffed with technical, administrative and legal personnel.

ANNEX 2. Tasks and responsibilities of key experts provided by the executing agency

FIRST: PROJECT COORDINATOR (HEAD OF FOREST RESEARCH DEPARTMENT, NATIONAL FOREST INSTITUTE)

JOB PROFILE	
FORMAL EDUCATION	University degree in Forest Engineering, Agricultural Engineering, Renewable Natural Resources, or Biology
	Active chartered professional.
	Preferably with a Master's degree in research, project management or related field.
WORK EXPERIENCE	Six (06) years of experience in relevant work related to this position and personnel management.
OTHER STUDIES OR SPECIFIC EXPERTISE	Experimental designs; effective management of Office Suite (Word, Excel, PowerPoint), Internet and e-mail; file management and classification; management of databases to be used in forest research; development and implementation of projects; operational plans; scheduling; and budget execution.
	Car driver licence.
JOB OBJECTIVES	
Professional work involving planning, organization, coordination, leadership, evaluation and monitoring of activities to be carried out by INAB's Forest Research Department, with a view to strengthening support on the basis of institutional objectives and policies. Accountable to the Forest Development Director for the good performance of the division under his/her responsibility.	
DUTIES AND RESPONSIBILITIES	
1) Planning, organizing, coordinating, leading, evaluating and monitoring of activities to be carried out by the division under his/her responsibility, with a view to strengthening technical and professional procedures on the basis of institutional objectives and policies. Accountable to the Forest Development Director for the good performance of his/her division.	
2) Coordinating actions as required for the implementation of the National Forest Research Programme.	
3) Coordinating and implementing actions as required for the consolidation and operation of three networks of permanent sample plots at the national level.	
4) Developing and implementing the yearly plan of operation of the Forest Research Department.	
5) Supporting the consolidation and leadership of INAB within the National Forest Research Programme.	
6) Formulating and managing plans, projects and programs for forest research strengthening in Guatemala.	
7) Establishing and maintaining strategic partnerships with national and international forest research organizations for the implementation of research activities of mutual interest.	
8) Implementing forest research lines through concrete work proposals.	
9) Formulating, managing and monitoring forest research proposals at the national and international levels.	
10) Participating in the review of approved forest research documents (theses, reports, brochures, among others).	
11) Ensuring confidentiality, integrity and availability of administrative, technical and other information generated by the institution.	
12) Promoting gender equality in job-related actions.	
13) Promoting culturally relevant institutional work, specifically with indigenous peoples.	
14) Any other relevant activities required by his/her immediate superior.	

SECOND: SUPPORT ASSISTANT AND DEPUTY PROJECT COORDINATOR (OFFICER IN CHARGE OF FOREST RESEARCH AT THE NATIONAL FOREST INSTITUTE)

JOB PROFILE	
FORMAL EDUCATION	University degree in the fields of agriculture, forestry, environmental sciences, natural resources or related discipline. Active chartered professional.
WORK EXPERIENCE	Six (06) years of experience in relevant work related to this position.
OTHER STUDIES OR SPECIFIC EXPERTISE	Current forest regulations, statistics, analysis and interpretation of findings; technical drafting ability. Management of forestry measurement instruments and tools. Effective management of Office Suite (Word, Excel, PowerPoint), Internet and e-mail; file management and classification for the management of databases to be used in forest research. Car driver license.
JOB OBJECTIVES	
Technical work involving the coordination of scheduled activities, following up all procedures related to job duties and responsibilities and taking into account institutional objectives. Accountable to the Head of the Forest Research Department in the performance of his/her duties.	
DUTIES AND RESPONSIBILITIES	
1) Development and management of projects and initiatives to seek technical and financial support for forest research activities.	
2) Development and monitoring of the Department's operational plans.	
3) Reviewing and monitoring the work plans submitted by INAB researchers.	
4) Coordinating the management and monitoring of forest research and/or natural resource proposals under different lines of finance from donor institutions, mainly based on the National Forest Research Programme.	
5) Implementing and coordinating a forest research dissemination strategy.	
6) Updating, on an ongoing basis, the database derived from the research carried out by INAB in coordination with other stakeholders.	
7) Updating, on an ongoing basis, the summaries of research documents entered into the database of the Forest Research Department.	
8) Guiding and supervising forest research activities from thesis students and researchers.	
9) Drafting and revising technical research and other documents related to the Forest Research Department.	
10) Coordinating, implementing and monitoring actions for the strengthening of regional research groups.	
11) Participating in committees, meetings, seminars, workshops and training events, among others, as required by the Head of the Forest Research Department.	
12) Preparing reports in conjunction with the Head of Forest Research.	
13) Ensuring confidentiality, integrity and availability of administrative, technical and other information generated by the institution.	
14) Promoting gender equality in job-related actions.	
15) Promoting culturally relevant institutional work, specifically with indigenous peoples.	
16) Any other relevant activities required by his/her immediate superior.	

THIRD: SUPPORT ASSISTANT (OFFICER IN CHARGE OF PERMANENT SAMPLE PLOTS OF THE NATIONAL FOREST INSTITUTE)

JOB PROFILE	
FORMAL EDUCATION	Completed course syllabus of a degree program in forestry, agriculture or related discipline.
WORK EXPERIENCE	Three (03) years of experience in relevant work related to this position.
OTHER STUDIES OR SPECIFIC EXPERTISE	Current forest regulations, statistics, analysis and interpretation of findings; technical drafting ability, forestry measurement.
	Management of forestry measurement instruments and tools.
	Management of software and methodologies for permanent forest sample plots (MIRA-SILV, PROCAFOR, SEMAFOR).
	Effective management of Office Suite (Word, Excel, PowerPoint), Internet and e-mail; file management and classification for the management of databases to be used in forest research.
	Management of statistical tools.
	Car driver license.
JOB OBJECTIVES	
Technical work involving the coordination of scheduled activities, following up all procedures related to job duties and responsibilities and taking into account institutional objectives. Accountable to the Head of Forest Research in the performance of his/her duties.	
DUTIES AND RESPONSIBILITIES	
1) Planning and scheduling the remeasurement of permanent sample plots in forest plantations and natural forests in coordination with regional forest offices and other stakeholders.	
2) Coordinating activities to facilitate the generation of information and data to be used as tools in the implementation of sustainable forest management, particularly in forest plantations.	
3) Defining priority forest research lines in conjunction with the Head of the Forest Research Department in order to carry out relevant studies.	
4) Preparing technical reports based on forest monitoring and evaluation systems in both natural forests and forest plantations.	
5) Preparing technical documents, technical fact-sheets, leaflets, etc. with the information collected from the permanent forest sample plots.	
6) Coordinating and implementing actions as required for the consolidation and operation of three networks of permanent forest sample plots at the national level.	
7) Preparing reports on plantation growth and productivity as requested by the Head of Forest Research, the Director of Forest Development and other relevant authorities.	
8) Disseminating the findings derived from forest monitoring and evaluation processes in both natural forests and forest plantations.	
9) Ensuring confidentiality, integrity and availability of administrative, technical and other information generated by the institution.	
10) Promoting gender equality in job-related actions.	
11) Promoting culturally relevant institutional work, specifically with indigenous peoples.	
12) Any other relevant activities required by his/her immediate superior.	

ANNEX 3. Terms of reference for project personnel and consultants

NATIONAL FOREST INSTITUTE Terms of reference

Job title	Consultancy - Financial administration during pre-project implementation		
Department	Forest Research		
Project Title	“Strengthening forest research to improve the efficient use of timber and the conservation and sustainable development of forests in Guatemala”		
Work base	Project headquarters will be based at the offices of INAB’s Forest Development Directorate (7 Av. 6-80 Zona 13, Guatemala) with regular visits to the IX regional offices of INAB (Guatemala City, Cobán, Zacapa, Jutiapa, Chimaltenango, Quetzaltenango, Huehuetenango, Petén and Mazatenango)		
Possible starting date	N/A	Duration	10 months
Reports to Name: ...	N/A	Title:	Administrative-Finance Officer

GENERAL DESCRIPTION AND OBJECTIVES

BACKGROUND

This pre-project stems from the need to ensure that the National Forest Institute - INAB, as the competent public authority responsible for the forest sector, can achieve its mandate as established by the Forestry Law of Guatemala and other guidelines promoted by the Katun National Development Plan, the Sustainable Development Goals and Guatemala’s Forest Policy, with the specific objective of formulating a full project proposal that will identify tropical forest management and conservation problems with the participation of primary stakeholders and target populations of the country’s forest sector to introduce changes in practices, conditions, attitudes and use of resources to improve efficient wood utilization and sustainable forest development.

The aim is to formulate a proposal identifying tropical forest management and conservation problems with the participation of primary stakeholders and target populations of the country’s forest sector so as to introduce changes in practices, conditions, attitudes and use of resources with a view to improving the efficient utilization of timber and the sustainable development of forests.

The implementation of the proposal to be derived from this pre-project will help respond to the need to develop forest research at the national level and support the improvement of forest management, efficiency of timber utilization and the competitiveness of timber products, as well as increasing the capacity to conserve and enhance other forest values within a tropical forest management and conservation context.

Description

A competent professional of good performance standards is required to ensure the efficient administration of financial resources and the pre-project through effective resource management taking into account user requirements, intended results, the need to work in a team, the use of updated methods and a commitment with the executing agency.

The consultancy should follow the following steps:

- a) Development of work plan
- b) Assessment of the applicability of the administration system
- c) Monthly planning of activities
- d) Quarterly financial-administrative reports
- e) Participation in meetings and workshops implemented at the national level
- f) Final financial statement and cash-flow report at the end of the pre-project

Objective

Professional work involving planning, organization, coordination, leadership, evaluation and monitoring of activities relevant to this position, with a view to strengthening support on the basis of pre-project objectives and outputs. Accountable to the Project Coordinator for the good performance of duties.

Expected outputs and activities

- 1) Responsible for the monitoring, administration and supervision of pre-project budget execution
- 2) Ensure the sound management of financial resources as required for the administration of duties under his/her responsibility
- 3) Obtain quotes and purchase inputs as required
- 4) Follow up the relevant procedures for the delivery of invoices and prepare monthly reports on activities carried out by the project team
- 5) Balance the budget with allocated funds
- 6) Provide logistic support for workshops and events to be implemented
- 7) Submit monthly reports on budget execution
- 8) Monitor fuel-related expenses, DSA, purchase of inputs, and stocks of inputs and supplies for the pre-project
- 9) Provide support and auditing services for workshops in coordination with the pre-project team
- 10) Carry out any other activities assigned by the Pre-project Coordinator

OUTPUTS

1. Monthly reports on the use and balance of allocated funds; quarterly reports on pre-project budget execution; audit reports; reports on quotations received; reports on administrative procedures used.

FORM OF PAYMENT

Professional fees paid on a monthly basis (10% of total consultancy cost per month)

QUALIFICATIONS

Academic qualifications

- University degree in business management, public accounting, auditing or related discipline

Technical expertise requirements

- Knowledge of public purchasing policies and contracts; management of SICOIN system; management of SIGES system; knowledge of public administration procedures; management of fiscal laws and regulations; and knowledge of SAT procedures
- Two years proven experience in similar positions

NATIONAL FOREST INSTITUTE
Terms of reference

Job title	Consultancy for the implementation of a diagnostic assessment of forest problems and weaknesses		
Department	Forest Research		
Project Title	“Strengthening forest research to improve the efficient use of timber and the conservation and sustainable development of forests in Guatemala”		
Work base	The consultancy will be carried out in the IX regional offices of INAB (Guatemala City, Cobán, Zacapa, Jutiapa, Chimaltenango, Quetzaltenango, Huehuetenango, Petén and Mazatenango)		
Possible starting date	N/A	Duration	4 months
Reports to Name: ...N/A		Title:	Project Coordinator

GENERAL DESCRIPTION AND OBJECTIVES

BACKGROUND

This pre-project stems from the need to ensure that the National Forest Institute - INAB, as the competent public authority responsible for the forest sector, can achieve its mandate as established by the Forestry Law of Guatemala and other guidelines promoted by the Katun National Development Plan, the Sustainable Development Goals and Guatemala’s Forest Policy, with the specific objective of formulating a full project proposal that will identify tropical forest management and conservation problems with the participation of primary stakeholders and target populations of the country’s forest sector to introduce changes in practices, conditions, attitudes and use of resources to improve efficient wood utilization and sustainable forest development.

The aim is to formulate a proposal identifying tropical forest management and conservation problems through the participation of primary stakeholders and target populations of the country’s forest sector so as to introduce changes in practices, conditions, attitudes and use of resources with a view to improving the efficient utilization of timber and the sustainable development of forests.

The implementation of the proposal to be derived from this pre-project will help respond to the need to develop forest research at the national level and support the improvement of forest management, efficiency of timber utilization and the competitiveness of timber products, as well as increasing the capacity to conserve and enhance other forest values within a tropical forest management and conservation context.

DESCRIPTION

A diagnostic assessment of forest problems and weaknesses implemented through a joint, participatory and cross-sectoral process that will identify existing research issues and weaknesses for the management of forests, efficiency of wood utilization, and the competitiveness of wood products, within a tropical forest management and conservation context.

The consultancy should follow the following steps:

- a) Development of work plan
- b) Preliminary survey of the work area to define the work methodology and data collection instruments
- c) Identify stakeholders and organizations to work with
- d) Manage meetings and workshops, both internally and with other relevant institutions

OBJECTIVE

Carry out a diagnostic assessment of forest problems and weaknesses in the utilization of timber and timber products within a tropical forest management and conservation context.

EXPECTED OUTPUTS AND ACTIVITIES

- 1) Develop a work plan and a methodology for a participatory consultation on all data collection instruments
- 2) Implement a workshop with INAB's core directorates for the dissemination and scheduling of the diagnostic assessment
- 3) Implement 9 regional workshops with the participation of key sector stakeholders and potential beneficiaries
- 4) Submit the diagnostic assessment to INAB directorates for review
- 5) Validation of the diagnostic assessment through a multi-stakeholder workshop with the forest sector
- 6) Submission of a diagnostic assessment document on forest problems and weaknesses to INAB

OUTPUTS

1. Work plan and methodology for a participatory consultation on all data collection instruments
2. Progress report including a record of work visits, stakeholders, interviews, etc.
3. Diagnostic assessment document

FORM OF PAYMENT

30% upon submission of work plan
20% upon submission of progress report
50% upon INAB's acceptance of final diagnostic assessment document

QUALIFICATIONS

ACADEMIC QUALIFICATIONS

- University degree in agricultural science, economics, social sciences, or a related discipline. Preferably with studies and experience in rural development and/or public policy.

TECHNICAL EXPERTISE REQUIREMENTS

- The consultant should hold a Master's degree or a PhD in Planning or a related area and/or work or research experience in participatory rural diagnoses, development of project profiles, etc.
- Experience in the formulation and evaluation of projects, particularly in the forestry field.

NATIONAL FOREST INSTITUTE
Terms of reference

Job title	Consultancy for the definition of forest research issues		
Department	Forest Research		
Project Title	“Strengthening forest research to improve the efficient use of timber and the conservation and sustainable development of forests in Guatemala”		
Work base	The consultancy will be carried out in the IX regional offices of INAB (Guatemala City, Cobán, Zacapa, Jutiapa, Chimaltenango, Quetzaltenango, Huehuetenango, Petén and Mazatenango)		
Possible starting date	N/A	Duration	4 months
Reports to	Name: ... N/A	Title:	Project Coordinator

GENERAL DESCRIPTION AND OBJECTIVES

BACKGROUND

This pre-project stems from the need to ensure that the National Forest Institute - INAB, as the competent public authority responsible for the forest sector, can achieve its mandate as established by the Forestry Law of Guatemala and other guidelines promoted by the Katun National Development Plan, the Sustainable Development Goals and Guatemala’s Forest Policy, with the specific objective of formulating a full project proposal that will identify tropical forest management and conservation problems with the participation of primary stakeholders and target populations of the country’s forest sector to introduce changes in practices, conditions, attitudes and use of resources to improve efficient wood utilization and sustainable forest development.

The aim is to formulate a proposal identifying tropical forest management and conservation problems through the participation of primary stakeholders and target populations of the country’s forest sector so as to introduce changes in practices, conditions, attitudes and use of resources with a view to improving the efficient utilization of timber and the sustainable development of forests.

The implementation of the proposal to be derived from this pre-project will help respond to the need to develop forest research at the national level and support the improvement of forest management, efficiency of timber utilization and the competitiveness of timber products, as well as increasing the capacity to conserve and enhance other forest values within a tropical forest management and conservation context.

DESCRIPTION

Based on the results of the diagnostic assessment of problems and weaknesses in the utilization of timber and timber products, the identified problems and weaknesses should be prioritized so as to translate them into research issues to be addressed in the context of tropical forest conservation and management.

The consultancy should follow the following steps:

- a) Development of work plan
- b) Preliminary survey of the work area to define the work methodology and data collection instruments
- c) Identify stakeholders and organizations to work with
- d) Manage meetings and workshops, both internally and with other relevant institutions

OBJECTIVE

Definition of forest research issues based on the prioritization of forest research problems and weaknesses in Guatemala.

EXPECTED OUTPUTS AND ACTIVITIES

- 1) Develop a work plan and a methodology for a participatory consultation on all data collection instruments
- 2) Implement 9 regional workshops with the participation of key sector stakeholders and potential beneficiaries for the prioritization of forest problems and weaknesses
- 3) Submit a draft "Definition of forest research issues" document to INAB Directorates for review
- 4) Validation of the "Definition of forest research issues" document through a multi-stakeholder workshop with the forest sector
- 5) Submit a final document on "Definition of forest research issues" to INAB

OUTPUTS

1. Work plan and methodology for a participatory consultation on all data collection instruments
2. Progress report including a record of work visits, stakeholders, interviews, etc.
3. A final document on "Definition of research issues"

FORM OF PAYMENT

30% upon submission of work plan
20% upon submission of progress report
50% upon INAB's acceptance of document on "Definition of forest research issues"

QUALIFICATIONS

ACADEMIC QUALIFICATIONS

- University degree in agricultural science, economics, social sciences, or a related discipline. Preferably with studies and experience in rural development and/or public policy.

TECHNICAL EXPERTISE REQUIREMENTS

- The consultant should hold a Master's degree or a PhD in Planning or a related area and/or work or research experience in participatory rural diagnoses, development of project profiles, etc.
- Experience in the formulation and evaluation of projects, particularly in the forestry field.

NATIONAL FOREST INSTITUTE
Terms of reference

Job title	Consultancy for the formulation of a project proposal on “Strengthening forest research to improve the efficient use of timber and the conservation and sustainable development of forests in Guatemala”		
Department	Forest Research		
Project Title	“Strengthening forest research to improve the efficient use of timber and the conservation and sustainable development of forests in Guatemala”		
Work base	The consultancy will be carried out in the IX regional offices of INAB (Guatemala City, Cobán, Zacapa, Jutiapa, Chimaltenango, Quetzaltenango, Huehuetenango, Petén and Mazatenango)		
Possible starting date	N/A	Duration	3 months
Reports to	Name: ... N/A	Title:	Project Coordinator

GENERAL DESCRIPTION AND OBJECTIVES

BACKGROUND

This pre-project stems from the need to ensure that the National Forest Institute - INAB, as the competent public authority responsible for the forest sector, can achieve its mandate as established by the Forestry Law of Guatemala and other guidelines promoted by the Katun National Development Plan, the Sustainable Development Goals and Guatemala’s Forest Policy, with the specific objective of formulating a full project proposal that will identify tropical forest management and conservation problems with the participation of primary stakeholders and target populations of the country’s forest sector to introduce changes in practices, conditions, attitudes and use of resources to improve efficient wood utilization and sustainable forest development.

The aim is to formulate a proposal identifying tropical forest management and conservation problems through the participation of primary stakeholders and target populations of the country’s forest sector so as to introduce changes in practices, conditions, attitudes and use of resources with a view to improving the efficient utilization of timber and the sustainable development of forests.

The implementation of the proposal to be derived from this pre-project will help respond to the need to develop forest research at the national level and support the improvement of forest management, efficiency of timber utilization and the competitiveness of timber products, as well as increasing the capacity to conserve and enhance other forest values within a tropical forest management and conservation context.

DESCRIPTION

Based on the results of the consultancies a) Diagnostic assessment of forest problems and weaknesses in the utilization of timber and timber products within the context of tropical forest conservation and management, and b) Definition of forest research issues based on the prioritization of forest problems and weaknesses in Guatemala, formulate a project proposal on “Strengthening forest research to improve the efficient use of timber and the conservation and sustainable development of forests in Guatemala”.

The consultancy should follow the following steps:

- a) Development of work plan
- b) Preliminary survey of the work area to define the work methodology and data collection instruments
- c) Identify stakeholders and organizations to work with
- d) Manage meetings and workshops, both internally and with other relevant institutions

OBJECTIVE

Formulate a project proposal on “Strengthening forest research to improve the efficient use of timber and the conservation and sustainable development of forests in Guatemala”.

EXPECTED OUTPUTS AND ACTIVITIES

- 1) Develop a work plan and a methodology for the formulation of a project proposal, including all data collection instruments
- 2) Organize 4 events for the collection of complementary information
- 3) Submit a draft document to INAB Directorates
- 4) Validation of the project document with NAB’s core directorates
- 5) Validation of project document through a multi-stakeholder workshop with the forest sector
- 6) Submit a final project document to INAB

OUTPUTS

1. Work plan and methodology for a participatory consultation on all data collection instruments
2. Progress report including a record of work visits, stakeholders, interviews, etc.
3. Final project document

FORM OF PAYMENT

30% upon submission of work plan
20% upon submission of progress report
50% upon INAB’s acceptance of final document

QUALIFICATIONS

ACADEMIC QUALIFICATIONS

- University degree in agricultural science, economics, social sciences, or a related discipline. Preferably with studies and experience in rural development and/or public policy.

TECHNICAL EXPERTISE REQUIREMENTS

- The consultant should hold a Master’s degree or a PhD in Planning or a related area and/or work or research experience in participatory rural diagnoses, development of project profiles, etc.
- Experience in the formulation and evaluation of projects, particularly in the forestry field.

ANNEX 4. Response to the recommendations of the 53rd Expert Panel

Reviewer Comments/Recommendations	Amendment(s) made	Page #
1. Briefly elaborate on the conformity of the pre-project to the ITTO's Strategic Action Plan for 2013-2018.	This recommendation has been addressed using ITTO guidelines.	Page 4
2. Redefine the specific objective in order to make clear that it will analyse R&D problems of SFM in the country rather than identifying such problems.	This recommendation has been addressed by modifying the definition of the specific objective as shown in the document.	Page 6
3. Define one key problem to be addressed by the intended project and analyse its cause-effect relationship.	This recommendation has been responded by specifying the key problem to be addressed with its causes and effects.	Pages 6 and 7
4. Simplify the organization chart by showing only the essential part, e.g. Executing Agency, PMU, PTC, partners, etc.	The organizational chart has been simplified, specifically showing the pre-project executing unit.	Page 18
5. Improve Section 4.3 (Monitoring and reporting) by specifying reporting on the pre-project implementation in conformity with ITTO requirements specified in the ITTO Manual for Standard Operating Procedures for the Project Cycle.	This recommendation has been addressed by improving the section on conformity with ITTO requirements and its manuals.	Pages 19, 20 and 21
6. Provide a budget table showing ITTO budget by component. Correctly calculate the ITTO Programme Support Costs (sub-item 83) so as to conform with standard rate of 12% of the total ITTO project costs (on budget items 10 to 82), and adjust the total ITTO budget accordingly	The budget has been adjusted and ITTO programme support costs have been recalculated at the rate of 12% per component.	Pages 13, 14, 15, 16 and 17
7. Include an Annex that shows the overall assessment and specific recommendations of the 53rd Expert Panel and respective modifications in tabular form.	This annex has been included.	Page 35