

# Readiness Package for REDD+ in Guatemala+

To be presented to  
**Forest Carbon Partnership Facility**

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Photo:  
IVÁN CASTRO

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## ACRONYMS

|                        |  |
|------------------------|--|
| <b>ACOFOP</b>          | Association of Forest Communities of Petén                                 |
| <b>AGEXPORT</b>        | Guatemala Exporters Association  |
| <b>IDB</b>             | Banco Interamericano de Desarrollo   |
| <b>CLP</b>             | Climate Law and Policy   |
| <b>CMNUCC</b>          | Convención Marco de las Naciones Unidas sobre Cambio Climático             |
| <b>CNCG</b>            | Climate, Nature and Communities in Guatemala                               |
| <b>CO<sub>2</sub>e</b> | Carbon dioxide equivalent  |
| <b>CONAP</b>           | National Council for Protected Areas                                       |
| <b>COPREDEH</b>        | Presidential Commission on Human Rights                                    |
| <b>DIPRONA</b>         | Division of Nature Protection  |
| <b>DEMI</b>            | Office for the Defense of Indigenous Women’s Rights                        |
| <b>DMM</b>             | Municipal Office of Women  |
| <b>ENREDD</b>          | National Strategy for Reduced Emissions from Deforestation and Degradation |
| <b>ESMF</b>            | Environmental and Social Management Frame                                  |
| <b>FAO</b>             | Food and Agriculture Organization  |
| <b>FCPF</b>            | Forest Carbon Partnership Facility   |
| <b>FREL</b>            | Forest Reference Emissions Levels  |
| <b>FRL</b>             | Forests Reference Levels   |
| <b>GBByCC</b>          | Forest, Biodiversity and Climate Change Group                              |
| <b>GCI</b>             | Inter-Agency Coordination Group  |
| <b>GHG</b>             | Greenhouse Gases   |
| <b>GIMBUT</b>          | Inter-Institutional Group for Forest Monitoring and Land Use               |
| <b>REDD-GI</b>         | REDD Implementres Group  |
| <b>GIS</b>             | Geographic Information System  |
| <b>GRM</b>             | Grievance Redress Mechanism  |
| <b>IMAs</b>            | Increase of Annual Means   |
| <b>INAB</b>            | National Institute of Forests  |
| <b>INACOP</b>          | National Institute of Cooperatives   |
| <b>LOI</b>             | Letter of Interest   |
| <b>MAGA</b>            | Ministry of Agriculture, Livestock and Food                                |
| <b>MARN</b>            | Ministry of Environment and Natural Resources                              |
| <b>MICC</b>            | Climate Change Indigenous Bureau   |
| <b>MRV</b>             | Monitoring, Reporting and Verification                                     |
| <b>NDC</b>             | Nationally Determined Contributions  |
| <b>NCCC</b>            | National Council on Climate Change   |
| <b>NGO</b>             | Non-Governmental Organization  |
| <b>NISCC</b>           | National Information System on Climate Change                              |
| <b>APCCA</b>           | Action Plan on Climate Change Adaptation                                   |
| <b>PDH</b>             | Human Rights Procurator’s Office   |
| <b>PI</b>              | Stakeholders   |
| <b>PINPEP</b>          | Incentive Program for Small Landowners of Forest or AgroForest Land        |
| <b>RA</b>              | Rainforest Alliance  |
| <b>REDD</b>            | Reducing Emissions from Deforestation and Forest Degradation               |
| <b>REDD-IS</b>         | REDD Information System  |
| <b>R-PP</b>            | Readiness Preparation Proposal   |

|                 |  |
|-----------------|--|
| <b>SDG</b>      | Sustainable Development Goals  |
| <b>SEGEPLAN</b> | Planning and Programming Secretariat of the Presidency                                   |
| <b>SEPREM</b>   | Presidential Secretariat for Women   |
| <b>SESA</b>     | Strategic Environmental and Social Assessment  |
| <b>SISCODE</b>  | Sistema de Consejos de Desarrollo  |
| <b>UICN</b>     | International Union for Conservation of Nature   |
| <b>UNFCCC</b>   | United Nations Framework Convention on Climate Change                                    |
| <b>UN-REDD</b>  | United Nations Programme on Reducing Emissions from Deforestation and Forest Degradation |
| <b>URL</b>      | Universidad Rafael Landívar  |
| <b>USAID</b>    | United States Agency for International Development                                       |
| <b>UVG</b>      | Universidad del Valle de Guatemala   |
| <b>WI</b>       | Winrock International  |



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# Introduction

As part of the global efforts to reduce greenhouse gases emissions due in the forest and land use sector, Guatemala is developing its National Strategy for the Approach of Deforestation and Forest Degradation (ENDDBG). Such efforts are being held under REDD+ considered as one of the key international financing mechanisms to mitigate climate change, mainly in tropical countries. This mechanism focuses on addressing drivers of deforestation and forest degradation, promoting socioeconomic development, fostering conservation, sustainable management of natural resources and enhancing forest carbon stocks.

Under the national policy framework on climate change and forest, the responsibility of developing the ENDDBG has been assumed by the Ministry of Environment and Natural Resources (MARN), in close coordination with the National Forest Institute (INAB), the National Council for Protected Areas (CONAP) and the Ministry of Agriculture, Cattle and Food (MAGA). This process started back in 2012 with the support of the Inter-American Development Bank (IDB) acting as the Delivery Partner of the Forest Carbon Partnership Facility (FCPF), and other strategic partners such as the United States Agency for International Development (USAID) through its CNCG and PRCC programs, the United Nations Development Program (UNDP), the Food and Agriculture Organization of the United Nations (FAO), the International Union for Conservation of Nature (IUCN), among others.

Currently, a first version of the ENDDBG has been developed and made available. This effort has allowed to promote social dialogue and participation of REDD+ stakeholders to obtain key elements for a strategic framework of actions aimed at reducing deforestation and forest degradation, as well to enhance carbon stocks. promote conservation and forest sustainable management, and to benefit local livelihoods in rural communities, indigenous peoples and women groups. These elements have been developed in a participatory manner, in harmony and alignment with the national development and policy framework, considering other key sectoral policies, and will continue to be built with additional readiness funding.

In May 2016, the FCPF approved additional funding (AF Grant) to consolidate the readiness process in Guatemala, through strengthening the participatory development of the ENDDBG, mainly with local stakeholders. These resources will start execution in the first quarter of 2018 and will allow to cover gaps identified by the Government during the Mid Term Report, but also to meet the concerns and

recommendations stakeholders expressed through the self-assessment process held in January 2018. Thus, additional readiness funding will allow to: i) Continue to reinforce dialogue and participation with stakeholders at the local and national level, ii) Involve key strategic institutions outside the forest sector that are supporting the ENDDBG, iii) Consolidate the benefit sharing mechanism and the REDD+ registry, iv) Reinforce the alignment of the ENDDBG with PROBOSQUE Law, v) Strengthen the MRV system at a regional level; and vi) Continue to incorporating gender and cultural consideration towards REDD+ implementation.

The Readiness Package (R-Package) is a key milestone in the process of preparing countries for REDD+ implementation, outlining the transition from the construction of national strategies to the implementation of activities and interventions. This is not the end of the road for the REDD+ readiness process, nor the final version of the ENDDBG. The elaboration of the R-Package has allowed the country not only to inform on the readiness progress, but also timely identify areas for improvement, including stakeholders vision, to continue the effort of the ENDDBG's participatory construction within the additional readiness funds, while demonstrating the country's commitment on REDD+.

In this context, REDD+ readiness in Guatemala has focused on developing key elements agreed for the REDD+ Warsaw Framework established by UNFCCC at sixteenth Conference of the Parties (COP 16, Cancún), among them: The National Strategy, reference levels, the forest monitoring and compliance with safeguards. Up to date, the country has made significant progress towards the implementation framework and has leverage other climate funding aimed at the ENDDBG implementation: Forest Investment Program (FIP), Nama Facility and the FCPF Carbon Fund.

The R-Package is an important milestone in Guatemala's readiness process, by providing an opportunity to take stock, assess progress, timely identify remaining gaps and further needs, and generate feedback and guidance for the road ahead. Even more important, the R-Package preparation exercise provides a unique opportunity for a participatory planning of activities and investments to be undertaken through additional readiness funding.

The readiness package focuses on the following key aspects:

A review of the **preparation progress of the ENDDBG**, in which the following components are described: i) Organization and Consultations for Preparation; ii) Preparation of the REDD+ Strategies, which includes an assessment of land use, forest policy and governance, strategic REDD+ options, the implementation framework, and the evaluation of social and environmental impacts; iii) Reference Levels (FREL/FRL), and iv) Forestry monitoring and information systems on safeguards;

A description of the **methodology and results of the participatory self-assessment** of the readiness process. This section discusses the results of the evaluation were non-government stakeholders in the national REDD+ process assessed the 9 subcomponents and 34 criteria, and provide key elements to improve within additional funds. This evaluation is totally different from the one performed in 2016 for the Mid Term Report were government self-evaluated their own progress in the REDD+ readiness process<sup>1</sup>. This self-evaluation was carried out by stakeholders that are nongovernment actors, but from other sectors of civil society: local communities, private sector, indigenous peoples, women's groups, NGOs, academy, local governments and others.

<sup>1</sup> Taken from page 2 of the Midterm Report. Available at:

[https://www.forestcarbonpartnership.org/sites/fcp/files/2016/Mar/MTR%20Guatemala\\_2016\\_Spanish.pdf](https://www.forestcarbonpartnership.org/sites/fcp/files/2016/Mar/MTR%20Guatemala_2016_Spanish.pdf)

Guatemala has accomplished an important progress towards REDD+ readiness and implementation. The articulation of the ENDDBG to the national policy framework and strengthening activities outlined in the Climate Change Law, the forest incentive programs (PINPEP Law and PROBOSQUE Law) and the Guatemalan Protected Areas System, will allow to meet goals established not only in the National Development Plan (K'atun 2032) and the Nacional Action Plan for Climate Change, but also the Nationally Determined Contribution (NDC) and the Sustainable Development Goals<sup>2</sup>. This solid platform will allow Guatemala to move towards results-based finance.



Ministerio de Ambiente  
y Recursos Naturales

Ministerio de Agricultura,  
Ganadería y Alimentación

Consejo Nacional de  
Áreas Protegidas



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

# Summary of the Preparation Process of REDD+

## Component 1: Readiness Organization and Consultation

### Subcomponent 1a: National REDD+ Management Arrangements

#### a) Multi-sector coordination mechanisms and cross-sector collaboration

Guatemala has made significant progress in establishing national management mechanisms in preparation for the implementation of REDD+, mainly established through existing strengthened coordination bodies, with the participation of various government agencies, civil society and other stakeholders in the National REDD+ process. These arrangements and mechanisms have been implemented to: i) jointly manage the execution of activities financed by the FCPF and to articulate the complementary support of other international partners; ii) coordinate the proposed activities for the preparation of the National Strategy and its integration with the forestry policy-legal framework and other relevant sectors; and iii) organize and promote dialogue, participation, exchange and dissemination of information with interested parties.

These activities are organized into 3 management levels: political, technical and social. The National Council on Climate Change (CNCC – *for its acronym in Spanish*), created by the Framework Law on Climate Change, is the highest level political body, chaired by the Presidency of the Republic and composed of representatives of the public and private sector, indigenous organizations, peasant organizations, municipalities, local governments, indigenous authorities, NGOs and academy.

On the other hand, GCI was established as the multisector coordination mechanism to jointly manage the execution of REDD+ activities under the financing of the IDB and FCPF, articulating the complementary support of other international partners; coordinate the activities proposed for readiness in Guatemala and its integration with the policy forestry framework and other relevant sectors; and organize the exchange of information and dissemination with interested parties. The GCI includes a political level (comprised by the

Ministers, Manager and Secretary) and a technical level. Through this technical group, the Directorates / Departments / Units of Climate Change, Indigenous Peoples, Gender, GIS and others, are coordinated with multiple stakeholders from the public sector, private sector, academia, Indigenous Peoples, NGOs, Municipalities, Peasant Organizations, society civil, women's groups, among others.

Figure 1 shows the way in which the national coordination mechanisms for REDD+ management in Guatemala interact.

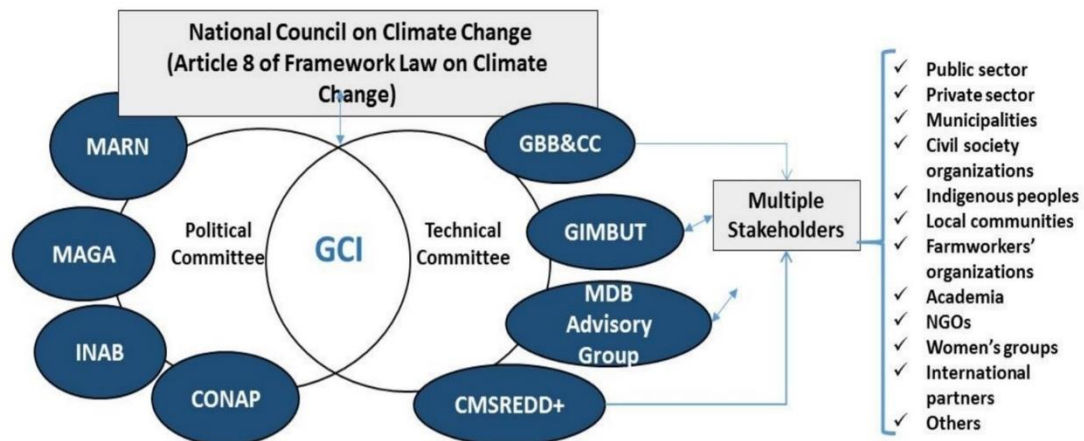


Figure 1. Multi-sector coordination mechanism for REDD+ management in Guatemala

Source: Guatemala ER-PIN, 2016

### REDD+ Governance Platforms in Guatemala

The forestry sector is made up of two main institutional governance platforms: The National Council of Protected Areas (CONAP) for the Guatemalan System of Protected Areas and the Board of Directors for the National Forest Institute (INAB). CONAP has government representation (MARN (Ministry of Environment and Natural Resources – MARN – *for its acronym in Spanish*), MAGA (Ministry of Agriculture, Livestock and Food – MAGA – *for its acronym in Spanish*), MICUDE (Ministry of Culture and Sports – MICUDE – *for its acronym in Spanish*) / IDAEH (Institute of Anthropology and History of Guatemala – IDAEH – *for its acronym in Spanish*), INGUAT (Guatemalan Institute of Tourism – INGUAT – *for its acronym in Spanish*), local governments (National Association of Municipalities - ANAM- *for its acronym in Spanish*) and NGOs. The Board of Directors of INAB is made up of representatives from the public sectors (MAGA and Ministry of Public Finances), private sector (Chamber of Industry and Forestry Association), local governments (ANAM), NGOs (Association of Non-Governmental Organizations of Natural Resources and Environment) and academy (Central National School of Agriculture and Universities that provide forestry and related studies within related professions).

For both platforms there are regional offices (nine from INAB and ten from CONAP) to meet their mandate according to the administrative structure of the State. Additionally, CONAP is organized into 328 protected areas nationwide, of which the most important are the Maya Biosphere Reserve and Sierra de las Minas Biosphere Reserve.

At the level of local organizations there are a series of platforms represented mainly by local communities, indigenous peoples, private sector, NGOs and others; who participate in sustainable forest management. Among these, the following can be mentioned:

- **PINPEP Beneficiary Network:** Created by Legislative Decree 51-2010, with representation in 17 departments. It aims to strengthen the participation of owners of small tracts of land in the benefits of forestry incentives.
- **National Alliance of Forest Community Organizations:** this is an important two-way communications channel between grassroots organizations (community level) and the national level. Its objective is to make the voice of the community-level associations heard at the national level in order to influence government policy. This Alliance includes about 300 grassroots organizations with a total of about 150,000 members.
- **Co-management Roundtables:** the co-management of Protected Areas is the technical, administrative and institutional means by which CONAP can engage with different individuals or organizations, whether public or private, civil society or other, in order to fulfill the objectives of Guatemala's National Protected Area System, SIGAP, as required by the Protected Areas Law (Decree 4-89).
- **Forestry Consultation Tables:** seven of these regional roundtables have been organized so far. They include all actors (government, civil society, private sector) involved in the socioeconomic and environmental aspects of forests, facilitate and implement participatory processes aiming to further forestry development at regional and local level.
- **Network of Indigenous Peoples and Authorities:** This network includes the recognized indigenous authorities and organizations. It is a representative body, and an influential interlocutor with State authorities and institutions. In general, the network focuses on promoting recognition of community land rights, an issue which has not yet been embraced by the Guatemalan state.

Since 2011, various forest governance platforms have supported the preparation of the ENDDBG, addressing the discussion of elements that make up the same and measures for the implementation of safeguards. More recently, in the workshops on Strategic Social and Environmental Assessment (SESA), the platforms have participated in the identification of possible negative impacts, as well as measures for their mitigation.

Within the framework of the participatory construction process of the ENDDB, the most active forest governance platforms include:

**GBByCC or Platform on Forests, Biodiversity and Climate Change.** Established in 2011 as a broad national forum for dialogue, consultation and consensus on REDD+. Its objective is to function as a mechanism for the formulation of proposals and to achieve consensus in the preparation process for the National Strategy to Reduce Deforestation. The platform aims to harmonize the obligations under the Climate Change, Biological Diversity and Desertification conventions, and to contribute to public policy and to Guatemala's position in international negotiations on issues such as REDD+, LULUCF and forest ecosystem based climate change adaptation.

**GIREDD+ or Group of REDD+ Project Implementers:** This is a working group consisting of national and international NGOs and community associations that have the capacity to implement REDD+ actions in their territories. The dialogue in this group serves the key purpose of allowing for discussion and comparison of REDD+ field experiences among its members, thus enabling them to evaluate different methods and actions to reduce deforestation and degradation, and provide feedback to national and international policy processes. It is comprised by ACOFOP (Association of Forest Communities of Petén – ACOFOP – *for its acronym in Spanish*), FUNDAECO, Defensores de la Naturaleza (Nature Defenders)

Foundation, CALMECAC and, as support organizations, the Oro Verde (Green Gold) Foundation, Rainforest Alliance, IUCN and AGEXPORT (Exporting Association of Guatemala – AGEXPORT – *for its acronym in Spanish*).

**National Committee on Environmental and Social Safeguards:** *This is a cross-sectoral and inter-institutional body that takes decisions related to the national interpretation of indicators and that monitors the implementation of REDD+ related social and environmental safeguards standards.*

**National Climate Change Roundtable:** The objective of this roundtable is to reinforce the climate change work of NGOs at national level, in order to influence the agenda and progress towards an integrated government policy on climate change mitigation and adaptation that includes legal safeguards and participation mechanisms at all levels.

**Indigenous Climate Change Roundtable:** This is a not-for-profit civil society organization of a political nature that consists of indigenous organizations whose principal objective is to promote mechanisms to influence the formulation and implementation of public policies related to climate change and mother earth, at national and international level, to ensure that the rights of Guatemala's Indigenous Peoples are respected.

### Other Strategic Partners for the REDD+ Process in Guatemala

The Ministry of Public Finances (MINFIN – for its acronym in Spanish) has been a strategically involved both in leadership and in the interinstitutional coordination for the three phases of REDD+: i) preparation of the strategy, ii) implementation of REDD+ activities through the proposal for the Program of Forest Investment (FIP) and iii) payments for results (economic compensation for the GHG emission reductions that are proven), signing, as representative of the Republic of Guatemala, the Letter of Intent (LOI) with the International Bank for Reconstruction and Development (IBRD) as the trustee of the FCPF Carbon Fund.

Likewise, the Secretariat of Planning and Programming of the Presidency (SEGEPLAN – for its acronym in Spanish) has been another key in the process, especially through the incorporation of the national REDD+ process in the National Action Plan on Climate Change (PANCC, by its acronym in Spanish), according to Article 11 of the Climate Change Law), where the implementation of the ENDDBG constitutes the fulfillment of the results for chapter VI Mitigation section 4 "Land use, Land Use Change and Forestry". With the additional readiness funds, the involvement of MINFIN and SEGEPLAN will be strengthened to promote the alignment of the ENDDBG with the public policy planning and budgetary framework.

### Efforts for Dialogue and Participation

In Guatemala, during the last few years, there have been multiple community consultations for different REDD+ issues: between 2005 and 2017 were held more than 70 community consultations or neighbor's consultations, especially regarding investment projects in mining and hydroelectric plants in the indigenous territories. In most cases, the results of these have not been recognized as binding by the State.

For the above, and in order to strengthen the process of organization and discussion around the REDD+ issue, the General Dialogue and Participation Plan was developed in 2017 in a participatory manner. The document establishes the guidelines and methodologies that can guide the instances public and interested



parties to build the capacities and mechanisms to ensure full and effective participation during the elaboration of the ENDDBG.

The Participation and Dialogue Plan included a rigorous local stakeholders mapping in the REDD+ process and concretizes the contributions of those actors and parties identified through the Territorial Encounters of Dialogue and Participation, developed in the different territories of the country. This process of participation and dialogue has involved more than 240 organizations representing the communities of the different territories, strengthening forest governance at the local level with the inclusion of grassroots governance platforms that include indigenous peoples, local communities, women's groups, private sector, NGOs, local governments, academy and others. In Annex 1 of this document, a table is shown detailing the workshops and meetings that served as the basis for multi-sectoral participation in the Dialogue and Participation Process.

It is considered that, with the additional resources approved by the FCPF, these multi-sectoral coordination and inter-sectoral collaboration mechanisms will continue to be strengthened, especially through the continuity in the implementation of the dialogue through the territorial dialogue plans agreed with these platforms.

#### **b) Technical Supervision Capacity**

Since 2014 and during the construction process of the ENDDBG, the CGI has significantly strengthened its technical supervision capacities, mainly to assume the hiring, monitoring and supervision of the elaboration processes of specific products for the preparation of the Strategy. This strengthening has been achieved through the formation of multidisciplinary teams composed of specialists in climate change, forests, geographic information systems (GIS), gender, indigenous peoples and delegates of international cooperation that accompanies and supports this process.

Among the components of the strategy which development has been coordinated and supervised by the CGI, the following are mentioned.

- The evaluation of Drivers and Agents of Deforestation and the Degradation of Forests;
- The National Dialogue and Participation Process (development of methodology, systematization of experiences and facilitation of the process in at least 5 REDD+ territories);
- The strategic evaluation of social and environmental impacts (SESA);
- Design of the Environmental and Social Management Framework –ESMF;
- Design of the Information and Complaint Attention Mechanism (MIAQ);
- Elaboration of emission reference scenarios;
- Design of the national monitoring and information system on GHG emissions, multiple benefits, other impacts, management and safeguards (MRV);
- The compilation of the previous components, their articulation and systematization for the production of the ENDDBG;

At the technical level, the GCI oversees the preparation of the activities of the four components of the National REDD+ Strategy, including the management of FCPF funds (preparation and updating of the Execution Plan, Procurement Plan, terms of reference and others) and the articulation of programs of another cooperating partners to complement specific activities included in the preparation of the Strategy.

Likewise, regional technicians have been involved through training and capacity building on REDD+ and the promotion of multi-sectoral dialogue, as part of the joint development of territorial plans with local organizations, as well as technical support in the implementation of the dialogues. This will continue to be reinforced with additional resources to strengthen the technical monitoring of the different components of the strategy, especially focused on the regional offices of the institutions.

### **c) Funds Management Capacity**

Guatemala country has made significant progress in strengthening its fund management capacity for the 3 phases of the REDD+ mechanism:

#### **Readiness Phase**

Budget execution for the preparation of the National REDD+ Strategy (US\$ 3.8 million) is being managed by MARN, applying both the State Contracting Act and IDB's acquisition policies as the Delivery Partner for Guatemala. MARN continues to use the System of Integrated Accounting (SICOIN), a public platform displaying the administration of funds, is being used to facilitate the internal monitoring of the effective management of the project, transparently providing financial information, registries, and physical archives in magnetic and electronic format.

Pursuant to national legislation and the Grant Technical Cooperation Agreement, the administrative and financial management of the funds is accomplished through audits by the Comptroller General's Office and by IDB, through an auditing firm.

Of the total FCPF grant of US\$ 3.8 million, IDB has made disbursements amounting to US\$ 3,073,621.77. To date, the country has committed US\$ 756,374.41 for 2018 and executed US\$ 3,015,908.51 of the total grant. (see Annex 5)

Regarding the additional readiness funds approved by FCPF, at the request of the Government of Guatemala IDB will execute the additional resources approved by the FCPF for the preparation phase for REDD+, which amounts to US\$ 5 million. The Board of Directors of the IDB approved this operation on October 13, 2017 and it is now ready for execution.

These resources will be used to fill in the gaps that had already been identified, and for which concerns, and recommendations made by stakeholders during the stakeholder self-assessment are also taken into account. With these resources it is expected to generate the following products (see Table 1)

**Table 1. Items to be financed with additional resources approved by the FCPF - IDB**

| No. | Rubro   | Estimated Amount US\$ |            |            |              |
|-----|---|-----------------------|------------|------------|--------------|
|     |   | 2018                  | 2019       | 2020       | TOTAL        |
| 1   | Stakeholders in strategic territories for REDD+ with greater participation in ENDDBG through the implementation of territorial dialogue plans | 490,000.00            | 650,000.00 | 525,000.00 | 1,665,000.00 |
| 2   | Strategic institutions outside the forestry sector supporting the ENDDBG (Ministry of Public Finance -MINFIN- and the Secretariat             | 190,000.00            | 300,000.00 | 200,000.00 | 690,000.00   |

|              |  |            |            |            |                     |
|--------------|--|------------|------------|------------|---------------------|
| 3            | Benefit Sharing Mechanism structured and ready to operate                          | 80,000.00  | 100,000.00 | -          | 180,000.00          |
| 4            | ENDBBG aligned to support forestry and agroforestry policy instruments (PROBOSQUE) | 80,000.00  | 238,000.00 | 200,000.00 | 518,000.00          |
| 5            | REDD+ registry structured and ready to operate                                     | 50,000.00  | 25,000.00  | -          | 75,000.00           |
| 6            | MRV system strengthened at the level of priority territories for REDD+             | 450,000.00 | 712,000.00 | 550,000.00 | 1,712,000.00        |
| 7            | ENDBBG incorporates considerations of gender and cultural relevance                | 40,000.00  | 80,000.00  | 40,000.00  | 160,000.00          |
| <b>Total</b> |  |            |            |            | <b>5,000,000.00</b> |

Source: FIP Investment Plan

Guatemala has made significant efforts to ensure the leveraging of funds from other strategic cooperation partners (non-FCPF funds) to finance the development of key components of the ENDBBG such as: i) emission reference levels, ii) the safeguard approach, and iii) gender tools, among others. Table 2 shows a summary of the support and contributions made by other international cooperation partners in the REDD+ preparation process.

**Table 2. Fund Leverage (Non-FCPF funds) for financing the ENDBBG**

| Strategic Partner   | 2017 Expected Amount          | Strategy Component  |
|---|-------------------------------|---|
| USAID/CNCG/RA   | <b>Amount:</b> USD 567,544.00 | <ul style="list-style-type: none"> <li>• Distributed in the four components and in the development of REDD + pilot projects through workshops, trips, administrative costs, human resources and others</li> </ul>   |
| USAID/PRCC  | <b>Amount:</b> USD 24,000.00  | <ul style="list-style-type: none"> <li>• Support for the follow-up of the Restoration Strategy for the identification and economic analysis of the transitions prioritized by the country, including degraded pastures to agroforestry systems, primary forest and forest management, among others.</li> <li>• Strategy Options: Support for the development of early REDD + activities in the area of Verapaces for the topic of agroforestry with an emphasis on the cocoa production chain.</li> <li>• Safeguards (it will be supported if necessary by CNREDD +).</li> <li>• Pilot exercise of the Information System of the Safeguards (SIS), for its articulation with the Monitoring, Reporting and Verification process (complementary funds if required).</li> <li>• Harmonization through mitigation and adaptation synergies.</li> </ul> |
| UICN (funds directly linked to the national REDD + preparation process) | <b>Amount:</b> USD 24,800.00  | <ul style="list-style-type: none"> <li>• Support for the socialization and initial of the gender and REDD + route, as well as the design of dissemination material.</li> <li>• Systematization of a case of a benefit distribution mechanism for productive projects linked to FUNDALACHUA forest.</li> </ul>   |
| CARE (funds directly linked to the national REDD + preparation process) | <b>Amount:</b> USD 12,000.00  | <ul style="list-style-type: none"> <li>• Support CNSREDD + meetings (complementary fund if required).</li> <li>• Support work meetings for SIS (complementary fund if required).</li> </ul>   |
| FAO   | <b>Amount:</b> USD 40,000.00  | <ul style="list-style-type: none"> <li>• Design terms of the National Forest Inventory.</li> </ul>  |

| Strategic Partner  | 2017 Expected Amount                 | Strategy Component   |
|--|--------------------------------------|--|
|  |                                      | <ul style="list-style-type: none"> <li>• Training for Community Forest Monitoring.</li> <li>• Technical meetings for socialization / coordination.</li> </ul>  |
| <p style="text-align: center;">PNUD<br/>(Sustainable forest management project and multiple global environmental benefits)</p> | <p><b>Amount:</b> USD 487,542.00</p> | <p>Distributed in the four components, as follows:</p> <ul style="list-style-type: none"> <li>• Systematization of the Work Route for the incorporation of gender considerations in the National REDD + process and development of material for its dissemination both at the technical level and its mediation.</li> <li>• Development of activities to strengthen technical capacities and general REDD + aspects of officials and technicians of the central government, as well as governments and local communities; necessary for the implementation of the National REDD + Strategy and the development of REDD + projects.</li> <li>• Facilitation and support for the development of workshops for the inclusion of gender considerations in sustainable forest management processes, at the national and territorial levels, in support of the MARN Gender Unit.</li> <li>• The type of support for the instrumentalization of the Framework Law on Climate Change, through the development of regulations and guidelines required by the law related to the reduction of GHG to enable implementation of Sustainable Forest Management projects, is to be defined together with MARN.</li> <li>• The type of support for the instrumentalization of the Framework Law on Climate Change, through the development of regulations and guidelines required by the law related to the reduction of GHG to enable implementation of Sustainable Forest Management projects, is to be defined together with MARN.</li> <li>• Generation of technical information related to forest carbon flows and strengthening institutional and municipal capacities (western and southeastern) on issues related to REDD + as a contribution to the National Strategy.</li> <li>• Strengthening of national capacities linked to the development of the National REDD + Strategy and the implementation of climate-smart production systems, based on agrosilvopastoral systems in 15 municipalities in southeastern Guatemala.</li> <li>• Characterization and plant and phenological dynamics of the dry forest and its influence on the carbon fluxes of the south-east region.</li> <li>• Diagnosis and selection of the area to develop REDD + project and construction of the baseline in the municipalities of pilot region 1 of the project located in the South East, departments of Jutiapa, Jalapa and Santa Rosa.</li> </ul> |

Source: Own Elaboration

## Implementation Phase

In June 2017, the Investment Plan for the Forest Investment Program (FIP) was approved for the implementation of REDD+ activities. This Plan is divided into 3 FIP projects<sup>3</sup> through which it seeks to leverage public financing (through forest incentive programs), private funds, local governments and international cooperation (see Table 3).

**Table 3. Indicative budget of the FIP projects for the ENDDBG financing ENDDBG**

| FIP projects   | FIP financing     | Estimated co-financing | Parallel financing | Total (U\$)       |
|--|-------------------|------------------------|--------------------|-------------------|
| Sustainable Forest Management (IDB)                    | 9,700,000         | 36,162,500             | 5,731,000          | 45,862,500        |
| Governance strengthening and livelihood diversity (WB) | 11,800,000        | 14,662,500             | 525,000            | 26,462,500        |
| Public and private access funds (IDB/MIF)              | 2,500,00          | 2,500,000              |                    | 5,000,000         |
| <b>Total</b>   | <b>24,000,000</b> | <b>53,325,000</b>      | <b>6,256,000</b>   | <b>77,325,000</b> |

Source: FIP Investment Plan

Additionally, within the FIP's, complementary financial support has also been identified with other strategic partners for the implementation of REDD+ activities in Guatemala<sup>4</sup> (See Table 4).

**Table 4. Strategic Partners supporting REDD+ implementation activities**

| Strategic Partners | Complementary support for RDD+ implementation   |
|--------------------|---|
| BID                | At the request of the Government of Guatemala, it is the implementing partner of the FCPF resources for the National REDD+ Strategy. The IDB advised the Government in the preparation of the proposal present to the Carbon Fund, a role from which it facilitated the articulation of stakeholders for participation in the design of the investment plan (IP), as well as the complementarity and alignment with the options, measures and territories prioritized in the REDD+ Strategy. It has also guided the complementarity of both financing sources (FCPF and FIP). The IDB has supported the development of pilot models with the public and private sectors through the MIF, which are contributing elements of these experiences prior to the design of the IP, especially in the development of a mechanism that promotes the leverage of private banking. In the area of complementarity with other climate finance funds, it is an implementing partner of the Program for the Efficient Use of Firewood in Indigenous and Rural Communities of Guatemala, approved by the NAMAs Facility for an approximate amount of USD12 million. This program is being harmonized with the prioritized areas for sustainable Wood production actions within the FIP framework. |

<sup>3</sup> FIP's Investment Plan, page 20 [https://www.climateinvestmentfunds.org/sites/default/files/meeting-documents/inb\\_-\\_plan\\_inversio\\_n\\_forestal\\_final\\_18-05-17\\_def.pdf](https://www.climateinvestmentfunds.org/sites/default/files/meeting-documents/inb_-_plan_inversio_n_forestal_final_18-05-17_def.pdf)

<sup>4</sup> FIP's Investment Plan, page 50 [https://www.climateinvestmentfunds.org/sites/default/files/meeting-documents/inb\\_-\\_plan\\_inversio\\_n\\_forestal\\_final\\_18-05-17\\_def.pdf](https://www.climateinvestmentfunds.org/sites/default/files/meeting-documents/inb_-_plan_inversio_n_forestal_final_18-05-17_def.pdf)

| Strategic Partners | Complementary support for RDD+ implementation   |
|--------------------|---|
| FAO                | Through FAO, the use of forestry governance platforms was coordinated for the consultation phase of the Forest Investment Plan. These platforms are made up of community-based organizations that FAO has helped to develop. Among them, the regional forest consensus work groups, the Alliance of Community Organizations and some forest producers' organizations. Likewise, the complementarity of investment activities will be coordinated with agroforestry institutions and organizations dedicated to the promotion of territorial rural development programs and adaptation and mitigation in the face of climate change.   |
| IUCN               | IUCN has experience working and coordinating with indigenous peoples and local communities in Guatemala's forestry sector. This experience will serve as a basis for coordinating the development of the Forest Investment Plan with various groups of indigenous peoples of Central America prepared by IUCN. This will be used, as well as the maps generated at the national level by the Guatemalan Academy of Mayan Languages (ALMG, for its acronym in Spanish) for the identification and prioritization of territories managed by indigenous peoples, with the aim of integrating them into the specific component of the Dedicated Grant Mechanism (DGM), as an integral part of the IP. In addition, various studies and specific actions supported by IUCN are being used in the framework of the Forest Law Enforcement, Governance and Trade (FLEGT) initiative for the identification and prioritization of activities under the forest-industry-market line of investment. For example, activities will be undertaken to reduce illegal logging linked to FLEGT. |
| USAID/CNCG         | This partner works in the development of value chains and investment lines in the forestry sector, mainly in the Maya Biosphere Reserve (MBR). For the implementation of the activities to be financed by the FIP, the support and experience of this strategic partner will be sought to generate market demand and promote the certification of timber products within the framework of the forest-industry-market line of investment. Work will also be done on identifying and strengthening productive activities of sustainable forest management as provided by the Community Land and Indigenous Territories Strategy.  |
| GEF/UNDP           | UNDP implements the Project "Guatemala: Sustainable Forest Management and Multiple Benefits Programme" in four departments of the country. Its goal is to strengthen soil management, forest and biodiversity conservation processes to ensure the flow of ecosystem services and resilience to climate change. This Project has managed to link its interventions with the municipal and national plans. The support of this partner will be sought to facilitate the linkage of FIP interventions with these plans, as well as the creation of value chains. On the other hand, UNDP is supporting the preparation of the Third National Communication on Climate Change and the first biennial report, so that the inclusion of FIP activities will be coordinated as part of contributions to climate change adaptation and mitigation.   |
| KfW                | The German cooperation supports CONAP through the Project "Strengthening the Guatemalan System of Protected Areas: Life Web" which is implemented in the department of Huehuetenango. This Project seeks the expansion and consolidation of the SIGAP and expects the conservation of the system's biological diversity as a result. It also seeks institutional strengthening and the establishment of a compensation program for environmental services.  |

| Strategic Partners | Complementary support for RDD+ implementation  |
|--------------------|--|
| BM                 | Over the las few years, the World Bank has been accompanying the REDD+ process in its role of secretariat of the Forest Carbon Partnership Facility (FCPF), even though the multilateral bank leading the work with the Government has been IDB, Given its experience with the DGM, i has been agreed that the World Bank be the lead institution in the promotion of this mechanism, which Will be activated once the FIP begins its implementation. In addition, and taking into account that Guatemala has applied and was accepted in the Carbon Fund, the World Bank Will work with the Government in the preparation of the corresponding program. |
| UKSA               | Considering the management and coordination that INAB, CONAP and MAGA have developed for the achievement of the FMAP Project, with the financial and technical support of UKSA, actions Will be taken to strengthen governability and to apply technological innovations in the monitoring of natural forests and forest plantations in two pilot areas of the country that Will be located in the departments of Peten, Alta and Baja Verapaz. This constitutes a potential source of synergy between the different components and actions that can be developed between the projects of the Guatemala FIP and the FMAP project                         |

To finance the NAMA of Efficient Firewood Use, EUR 11 million have been approved to implement the proposal for the efficient use of firewood through clean technologies for cooking food. This proposal will allow complementing actions linked to the sustainable production of firewood that are promoted through the implementation of the ENDDBG.

Through this NAMA, it is also proposed to leverage financing from the private sector and local governments to promote the technical, political and financial sustainability of actions to reduce deforestation and forest degradation<sup>5</sup> (See Table 5). Under this financial support it is expected to achieve:

**Table 5. NAMA Complementary actions for the Efficient Use of Firewood**

| Efficient Use of Firewood NAMA complementary actions  | Estimate cost (EUR) |
|---|---------------------|
| <b>TECHNICAL COMPONENT</b>  |                     |
| Output 1: Higher consumer concern and capacity to use ICS   | 1,008,000           |
| Output 2: Increased Clean Cooking Technology production and distribution capacity to meet demand and consumers needs              | 603,000             |
| Output 3: Enhanced institutional capacity and public-private sector coordination to strengthen ICS and alternative fuels adoption | 598,000             |
| Output 4: Technological innovation and improved regulatory framework  | 658,000             |
| Output 5: Accountability of results and climate financing catalyzed by M&E and MRV systems  | 1,333,000           |
| <i>Sub-total</i>  | 4,200,000           |
| <b>FINANCIAL COMPONENT</b>  |                     |
| Credit line   | 2,000,000           |
| Guarantee fund  | 2,800,000           |
| Subsidies of EUR 200 per ICS for 2,500 schools  | 500,000             |

<sup>5</sup> <http://www.nama-facility.org/projects/efficient-use-of-fuel-and-alternative-fuels-in-indigenous-and-rural-communities/>  
<https://www.pronacom.gt/proyectos/nama>

|   |                   |
|---|-------------------|
| Fixed amount incentives of EUR 40 per ICS for 37,500 households | 1,500,000         |
| <i>Sub-total</i>  | 6,800,000         |
| <b>TOTAL</b>  | <b>11,000,000</b> |

Source: NAMA facility

### Results-based Payments phase:

In the country, on April 2017, the Ministry of Public Finance, on behalf of the Republic of Guatemala, signed the Letter of Intent with the IBRD (fiduciary of the Carbon Fund) to access payments for results for emission reductions that are proven to be generated by up to US\$ 10.5 million tCO<sub>2</sub>e for up to five years. To this end, it is currently preparing its National Emissions Reduction Program (under the ERPD format)<sup>6</sup>.

### d) Feedback and grievance redress mechanism

Guatemala designed a Mechanism of Information and Attention to Complaints (MIAQ) that allows information and clear and effective handling of complaints or conflicts arising from the preparation and implementation of the REDD+ Strategy (see Annex: MIAQ). An important premise is that it will not be destined to replace the judicial power or other forms of legal and / or traditional action existing in the country, but to complement them. Therefore, aggrieved parties may address their complaints and use the typology of existing and relevant mechanisms according to their competencies. This proposal emerged as part of the participatory process of the SESA and ESMF, where the participants generated key inputs, for example: the scope, the components of the receipt of complaints to the monitoring of the resolution, as well as the analysis of each component with respect to the eight principles of the FCPF for these mechanisms.

The process generated a proposal for the design of the MIAQ that includes objectives, scope, principles and procedure in accordance with FCPF guidelines; and then an implementation route to operationalize said mechanism. The specific objectives of the MIAQ in accordance with the requirements of the FCPF are (see Figure 2):

- Provide timely and clear information to users who require it.
- Identify and solve implementation problems in a timely manner and cost effectively.
- Identify systemic problems
- Improve REDD+ results
- Promote accountability in the country
- Contribute to promote participation and empowerment of forest users in REDD+
- Provide timely and clear information to users who require it.
- Identify and solve implementation problems in a timely manner and cost effectively.
- Identify systemic problems

<sup>6</sup> <https://www.forestcarbonpartnership.org/sites/fcp/files/2017/May/816%20BM%20envio%20CdI%20suscrita%20280417.pdf>

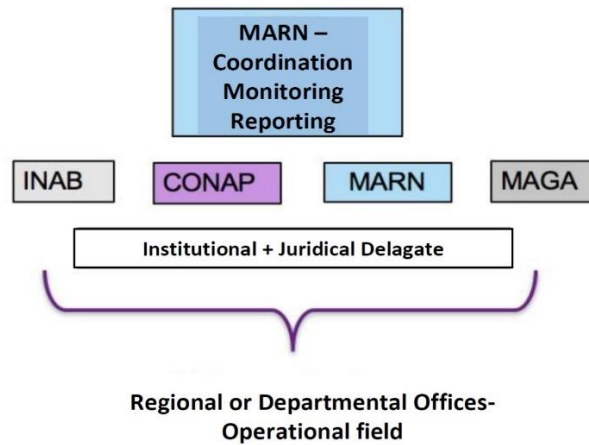




**Figure 2. Guatemala's MIAQ Purposes**

Source: Taken from page 9 of the MIAQ (ICG, 2017)

The MIAQ has a structure of an administrative nature, under the coordination of MARN. At the operational level, it will operate in central and regional offices of MARN, MAGA, INAB and CONAP (See figure 2). The MIAQ procedure to be implemented by the relevant institutions will not be intended to replace the judicial power or other forms of legal and/or traditional action existing in the country

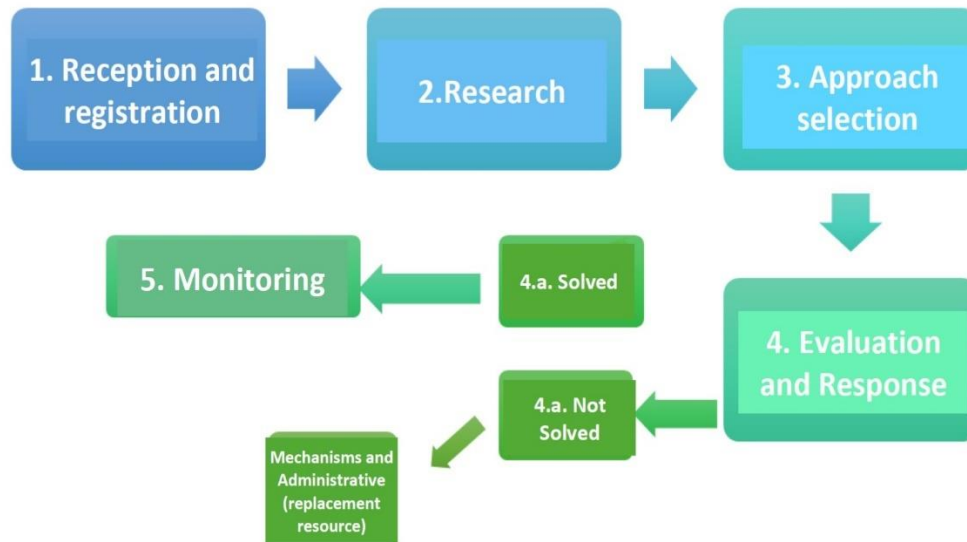


**Figure 3. Proposed operational structure for Guatemala's MIAQ**

Source: Taken from page 13 of the MIAQ (ICG, 2017)

It is considered a structural process that foresees to deliver a binding contractual result between the parties in dispute. From the moment the complaint is received until a resolution is issued on the dispute, approximately 30 working days are contemplated. The MIAQ has a systematic process consisting of five

steps: i) Receipt and registration, ii) Research, iii) Selection of an approach, iv) Evaluation and Response, v) Monitoring (See Figure 4)



**Figure 4. Proposed operational structure for Guatemala's MIAQ**

Source: Taken from page 17 of the MIAQ (ICG, 2017)

Likewise, it is contemplated that the scope of the MIAQ would be related to the following categories of complaints that may arise in connection with the implementation of REDD+, among others:

- Participation and consultations
- Tenure of land and use of forest resources
- Rights of indigenous peoples and communities
- Distribution of benefits

The scope of the MIAQ is geared to the grievances that arise in connection with the implementation of the options of REDD+ Strategy (and REDD+ activities and actions in each territory). The proposal considers that the type of grievances that should be addressed by the MIAQ are related to tensions that exist over land tenure and the use of forest resources, as well as aspects related to participation in the design and implementation of the options of REDD + Strategy.

It is important to highlight that within the SIREDD+ (REDD+ Information System – SIREDD+ – *for its acronym in Spanish*) an electronic section is being included so that people can enter complaints or claims related to REDD+. It is anticipated that the SIREDD+ electronic portal will be ready to begin testing in February 2018. The parties may also go to the GCI central and/or regional offices to submit their complaint verbally or in writing (see Complaint on page 20 of Annex: MIAQ).

### **Subcomponent 1b: Consultation, Participation, and Outreach**

The preparation of the ENDDBG is governed by the guidelines of the Cooperative Fund for Forest Carbon (FCPF, 2013), of which, it is important to highlight what is related to social inclusion and guarantee the

participation rights of the actors, which are considered important guidelines in the development process of the national strategy. The standards for participation and dialogue can be considered in many aspects even more rigorous and demanding than the national framework. The preparation of the ENDDBG is based on the socio-environmental institutional framework and programs that the country has been building for years.<sup>7</sup>

The first component of the preparation of the ENDDBG refers to the "Organization and consultation for preparation", and should lead to a broad and informed participation of stakeholders in the preparation process. The process should be guided by the *Guidelines on stakeholder participation in REDD+ readiness with an emphasis on the participation of indigenous peoples and other communities whose livelihood depends on the FCPF and UN-REDD forests* and the *Common Approach for Environmental and Social Safeguards for Multiple Executing Partners*. In addition, it must comply with the national framework of Guatemala, the operational policies and safeguards of the funding and executing partners (in this case, the Inter-American Development Bank), and the Cancun Safeguards.

The main purpose of the dialogue and participation process is to arrive at a participatory construction of the strategy to reduce emissions from deforestation and forest degradation, and also to improve forest carbon stocks, a strategy that should reflect the visions of all stakeholders, contributing to the full exercise of rights and equitable development based on the three REDD+ measures. The process of dialogue and participation seeks:

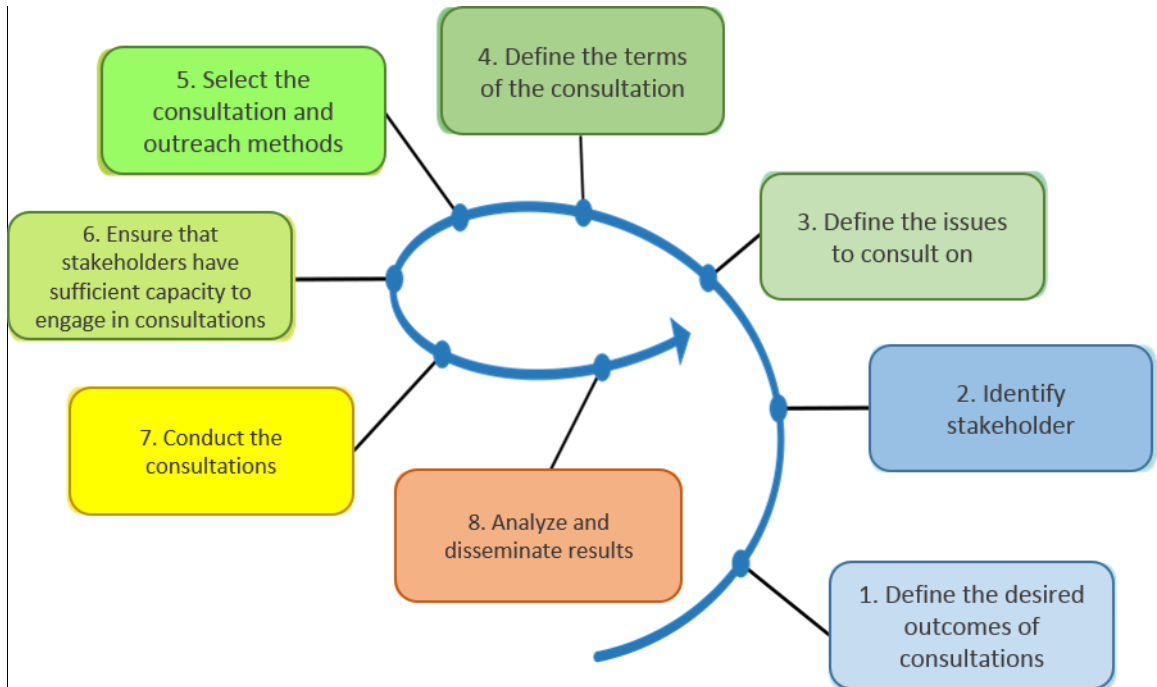
- Ensure that the ENDDBG takes into account and includes the positions of the indigenous peoples and the consensual interests of the interested parties in compliance with international standards and guidelines; and
- Promote voluntary and free participation of stakeholders (including forest dependent communities, indigenous peoples and women's organizations) in such a way that participatory processes can generate REDD + governance support from territories and regions. This support in turn will contribute to the success in the implementation of the Strategy

In turn, the dialogue is a prerequisite for the country to obtain approval of its strategy and so that at some point it can explore access to payments for results of climate financing mechanisms such as the Carbon Fund of the FCPF and the Green Climate Fund, among others.

The Dialogue and Participation Plan integrates and demonstrates the methodology through eight steps that, according to the recommendations of the FCPF and UN-REDD, help guarantee the full and effective participation of the parties in the preparation of the ENDDBG. The eight steps can be understood as a cyclical and living process that encourages free participation and informed dialogue with a systematized record of recommendations and agreements, and their respective feedback (see Figure 5)

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<sup>7</sup> The national process of preparation of the National Strategy to Reduce Emissions from Avoided Deforestation and Forest Degradation was approved in 2012 by the FCPF; The funds approved for this process are being administered by the IDB and executed by MARN.



**Figure 5. FCPF/ONU REDD's eight steps, as a participation and dialogue continuous cycle**

Source: Participation and Dialogue General Plan (ICG, 2017)

This Plan was presented in a National Forum and was fed back by the interested parties. The implementation of said Plan is concretized through five (5) Territorial Plans of Dialogue and Participation<sup>8</sup> which were agreed between the local organizations and the government, including the regional directorates of the GCI (See Annex: Territorial Plans), reflecting the particular representation and dynamics of each region. In November 2017, the implementation of these territorial plans began, which will be reinforced with additional readiness funds.

Currently, these platforms, including the GBBYCC, serve for the processes of dialogue and dissemination of the ENDDBG, as well as to receive feedback on it, in order to guarantee a process of participatory construction. In the documents presented to the FCPF for the REDD+ learning process in Guatemala, they proposed a broad participation from different stakeholders<sup>9</sup> throughout the process, emphasizing the strengthening of their participation capacities<sup>10</sup>. This participation at the level of national and local platforms will be reinforced with additional readiness funds.

The General Dialogue Plan and the Territorial Plans with which the participatory process for the construction of the ENDDBG is based, are addressed to all these actors at national and local level. Within each category of actors remains to further strengthen the active participation of women and the visibility of their specific interests and concerns.

<sup>8</sup> Five initial territories were identified to promote this Territorial Plans: Northern Lowlands (Petén), Caribbean (Izabal), Western (Quetzaltenango), Verapaces (Alta Verapaz), and East (Chiquimula).

<sup>9</sup> They are groups that have an interest or a right over forests and who will be affected, either negatively or positively, by REDD+ activities; includes relevant government agencies, users of <formal or informal> forests, private sector entities, indigenous peoples and other communities whose livelihood depends on forests.

<sup>10</sup> Proposed in the documents submitted to the FCPF: R-PP (2013), ER-PIN (2014) and the Mid-term Report (2016).

- Representatives of indigenous peoples and local communities, and the Board of Directors of the Mayan-speaking Linguistic Community with presence in the area (through the Academy of Mayan Languages)
- Local organizations that influence the management of forest resources
- Municipalities that manage forests (Municipal Forestry Offices and / or Municipal Environmental Units and Municipal Women's Directions)
- Representatives of the different levels of the Development Council System (SISCODE – for its acronym in Spanish)
- Groups of women and young people who manage or influence the management of forest resources
- NGOs and community forestry networks
- Universities and academia
- Private businesses
- Government institutions. In addition to the delegations of MARN, INAB, CONAP and MAGA, instances such as the Secretariat of Agrarian Affairs, SEGEPLAN (General Secretaryship of Planning – SEGEPLAN – *for its acronym in Spanish*), PDH (Human Rights Ombudsman – PDH – *for its acronym in Spanish*), COPREDEH (Presidential Commission Coordinator of Executive Policy on Human Rights – COPREDEH – *for its acronym in Spanish*), SEPREM (Presidential Secretariat for Women – SEPREM – *for its acronym in Spanish*), Ombudsman for Indigenous Women, Judiciary, DIPRONA (Nature Protection Division – DIPRONA – *for its acronym in Spanish*), Municipal Courts, environmental enforcement agencies and National Institute of Cooperatives (INACOP – *for its acronym in Spanish*).

During the initial evaluations to design the General Dialogue and Participation Plan, an actor's mapping was conducted, which was based on a broad review of previous processes, field visits and more than 200 interviews with different actors. This list of actors was presented during the first round of Territorial Encounters of Dialogue and Participation. Later it was presented for validation in the National Forum to validate the Dialogue and Participation Plan on the National REDD+ Strategy of Guatemala, held in September 2017 (see Annex: Analysis of the context of territories and Mapping of Actors).

As a result of this forum, it was possible to validate the executed actor's mapping, concluding that it presents an adequate representation of the indigenous communities and organizations existing in the country, which differ according to ethnicity, historical origin and location. This diversity is valuable for the construction process, but it is recognized that it implies a challenge to achieve its adequate call and inclusion in the dialogue processes.

The definition of the representativeness levels of indigenous peoples and traditional authorities goes through differences of perspectives and antiquities and even by political positions. The representativeness depends on the form of designation and recognition they have. They can be traditional instances or organizations with specific attributions to those that recognize representativeness and legitimacy according to their internal procedures. It is important to remember that not all indigenous peoples have duly elected authorities, a fact that should not impede their involvement in the process of dialogue and participation of the strategy.

The majority of local organizations are led by men, and therefore, in the coordination and contacts with them (public, local, indigenous, in general) a bias toward masculine perspectives will probably prevail. Organizational cultures still in place have not sufficiently favored that women actively assume new roles, access greater resources, or that men support with affirmative instruments the empowerment of adult and young women.

The Context Analysis prepared for the Dialogue and Participation process shows a reduced visibility of women in their leadership, as well as the effects of productive and forestry projects on women's lives and gender relations. Women leaders and indigenous women still have less experience to act in the public sphere, which was always dominated by men. The Mayan peoples have their own conception of Western gender embodied in their worldview. According to these peoples, the relations between the sexes are given as a complementarity between woman and man, duality and balance in relation to nature. Even so, indigenous authorities and indigenous mayors are almost exclusively represented by men.

In each of the regional platforms, the levels of participation of women at the local level were identified and, with the initial implementation of the dialogue, relevant organizations of women have been included. For the identification and convocation of women's organizations, the Government has supported, at the level of the territories, the Municipal Women's Directorates, the SEPREM and the Ombudsman for Indigenous Women. Likewise, the mapping of women's organizations that the Gender Units of the ICG institutions, and in the contacts and networks established by the gender managers during the participatory elaboration of the Work Route for the Incorporation of Gender Considerations is used in the National REDD + Process. For socialization workshops on the platforms and among the traditional indigenous authorities there is a risk of a greater participation of male representatives, so that affirmative actions are being taken to enable the participation of women in conditions equal to those of men.

### **Development of the Organization and Dialogue process for the readiness**

As first activities to build the national process, approximately 250 people were identified and interviewed who were visited in their territories; the interviewees included government officials in the capital's headquarters and regional delegations, representatives of indigenous peoples, private sector actors, representatives of civil society organizations and community forestry networks, academics, and others.

During 2017, the General Dialogue and Participation Plan was created with the purpose of giving the guidelines for the implementation of the process of dialogue and participation in the territories with respect to REDD +. With the development of the General Plan, we sought:

- Implement the phases of dialogue and participation in a decentralized manner in conjunction with territorial platforms according to their specific dynamics, their structure and the relevance of specific issues for each territory.
- Generate knowledge and skills for dialogue with a broad, inclusive and culturally relevant participatory communication about issues and effects of the ENDDBG.
- Collect opinions and recommendations, especially with the stakeholders of indigenous peoples and local communities, regarding alternatives for lines of action and components of the ENDDBG, and incorporate them into the preparation package of the ENDDBG and its subsequent implementation.
- Promote the integration of diverse and differentiated perspectives by gender, with agreements especially between the stakeholders of indigenous peoples and local communities, with respect to alternatives of lines of action and components of the ENDDBG.
- Document and systematize the process and its results by territory, with a view to wide dissemination and continuous monitoring of the agreements reached.

Following the guidelines of the FCPF and UN-REDD for the design and implementation of the dialogue and participation process, a National Forum was held on September 11-12, 2017 to validate the Dialogue and Participation Plan on ENDDBG, with participation of 88 people (33 women and 55 men) from the public

sector, national networks, indigenous peoples, women's groups, municipalities, NGOs and the private sector, where the participatory approach and the proposal for the General Dialogue Plan were reviewed and validated and Participation (see Annex: Report of the National Forum). As a result of this Forum, it was achieved that:

- The participants have learned about the international framework derived from the United Nations Framework Convention on Climate Change (UNFCCC), the guidelines of the Cooperative Forest Carbon Fund and the safeguards that the country will apply to encourage participation and dialogue with the stakeholders.
- The participants have analyzed and validated the General Dialogue and Participation Plan as well as its operationalization through regional platforms in the prioritized territories.
- The participants recognize their duties and rights and know how they can participate in the preparation of the ENDDBG, according to their cultural practices and with greater gender equity.

### Implementation of the dialogue and participation process

In October 2017, the government and local organizations agreed on five territorial plans for the implementation of the dialogue according to the socio-cultural context of each territory, based on the methodological steps established in the National Plan. During this process, 245 interested parties participated (34% women and 66% men). The countries where the dialogue has been initiated present priority places to avoid deforestation and degradation of forest resources, and increase forest carbon stocks. In addition, they are those where, according to the context analysis, they are the best conditions to initiate a process of dialogue and participation on the ENDDBG. However, with the additional readiness funds, the dialogue with stakeholders is strengthened and other strategic territories are covered.

In these territorial meetings a total of 370 people participated, of which 245 (66%) are men and 125 (34%) are women. 35% of the participants were between 14 and 30 years old, 60% between 31 and 60 years old and 5% had 61 or more. The majority of the participants were English speakers, and also spoke people from Itza', Q'uechi', Q'iche', Achi', Pokomchi', Garifuna, Hindu, Jakalteca, Kakchiquel, Mam and Tzutujil.

In addition to preparing and agreeing the territorial plans for the implementation of the dialogue, it was used to disseminate information and train the / as delegates / as directors / as regional of the MARN, INAB, CONAP and MAGA, as well as the interested parties in the territories, in the preparation of the Strategy.

In November 2017, the implementation of the Territorial Plans agreed between the interested parties (local organizations and government) began. This has begun in five territories (Petén, Verapaces, Oriente, Occidente and Izabal) where to date 291 interested parties have participated (38% women and 68% men), where cultural and gender issues have been included Territorial Plans). By its nature, it considers the actions of dialogue and participation as a living process that will serve to continue with the construction and implementation of the ENDDBG.

During 2018-2019 this process was achieved in the territories where it was already started, and based on the successes achieved, it is foreseen that other areas of the country will be addressed. Together with the territorial plans, it has a communication strategy that includes mediated material: 1 video, 5 radio spots and 1 comic, which supports the dissemination of the dialogue and participation process.

Table 6. Progress in Dialogue and Participation Process, with regards to the FCPF and UNREDD Guidelines on Stakeholder Engagement in REDD+ Readiness

| Phases   | FCPF and UNREDD Guidelines on Stakeholder Engagement | Main Actions   | Progress until January 2018  |
|--|--|--|--|
| <b>NATIONAL LEVEL</b>  |  |  |  |
| <b>PREPARATORY PHASE:<br/>Preparation of Dialogue and Participation Plan for Stakeholder consultations</b> | Step 1<br>Step 2<br>Step 3<br>Step 4                 | <ul style="list-style-type: none"> <li>- Analysis and discussion of the General Dialogue and Participation Plan with GCI, regional platforms and primary stakeholders</li> <li>- Capacity building mainly in MARN, INAB, CONAP and MAGA, with emphasis in their regional and departmental delegations</li> <li>- Establishment of a virtual platform (SIREDD+ and/ or REDD+ subportal on MARN website) to receive proposals and suggestions to draft strategy and process</li> <li>- Setting up a grievance mechanism</li> <li>- Founding of data bases and making of templates to register and systematize inputs during the stakeholder consultations</li> </ul> | <ul style="list-style-type: none"> <li>- <i>The National Dialogue and Participation Plan with Stakeholders of the ENDDBG was presented in the national-level Workshop organized in September 2017. Its territorial approach and main action lines were analyzed and validated by participants who attended the event.</i></li> <li>- <i>Also in Sept 2017, Indufor and INAB co-organized a capacity-building workshop to train regional and subregional delegates in REDD+, forests and climate change, and the upcoming dialogue process.</i></li> <li>- <i>First territorial workshops were held in 5 different regions prioritized by GCI. These outreach events enabled information sharing and capacity-building of both stakeholders as well as institutional representatives (regional and subregional delegates).</i></li> <li>- <i>MARN opened an email address (<a href="mailto:red.d.guatemala@gmail.com">redd.guatemala@gmail.com</a>) and the SIREDD+ Platform to strengthen the preparation process and to serve for virtual exchange.</i></li> <li>- <i>The draft ENDDBG, as well as all documents produced during the preparation phase, have been published on MARN website and can be freely accessed.</i></li> <li>- <i>A grievance mechanism called MIAQ (Mechanism of Information and Attention to Complaints) has been established.</i></li> <li>- <i>Data bases including information about stakeholders and templates are ready and have been used during the Dialogue and Participation Process. The templates have enabled the consultants to register all stakeholder inputs and when possible, to integrate them in the ENDDBG draft proposal.</i></li> <li>- <i>National-level stakeholder mapping was revised and complemented by the stakeholders who participated in the national workshop held in Sept 2017. Mapping of local and regional stakeholders has been updated three times with the help of stakeholders themselves.</i></li> </ul> |
| <b>Four phases at territorial or regional platform level</b>   |  |  |  |
| Phase 1:   | Step 1<br>Step 2<br>Step 3<br>Step 4                 | <ul style="list-style-type: none"> <li>- EOI and service agreements with regional platforms and local supporting organizations</li> </ul>  | <ul style="list-style-type: none"> <li>- <i>Regional platforms (e.g. MESAFORC VI in Western region and MITA in Petén) confirmed their interest to support the calls for participation. Service-providing agreements were made with local supporting organizations to ensure smooth execution of local and regional dialogues.</i></li> </ul>   |



| Phases   | FCPF and UNREDD<br>Guidelines on<br>Stakeholder<br>Engagement | Main Actions   | Progress until January 2018  |
|--|---|--|--|
| <b>Sharing, Capacity-building and Initial Agreements</b>                   | Step 5  | <ul style="list-style-type: none"> <li>- Sharing of basic and preliminary information about REDD+ and the dialogue and participation process</li> <li>- Design of <b>Territorial Dialogue and Participation Plans</b> with stakeholders, regional platforms, institutional delegates, and local supporting organizations</li> <li>- Preparation of a Communications Strategy; Production of basic communications materials with simple messages about REDD+ Strategy and the stakeholder participation process</li> <li>- Establishment of collaboration agreements with possible supporting institutions or organizations (such as international development cooperation programs working on similar issues)</li> </ul> | <ul style="list-style-type: none"> <li>- <i>Information-sharing about REDD+ and the strategy preparation was kicked off. Main channels for information-sharing have been the territorial workshops with broad participation from institutional delegates and stakeholders including indigenous peoples, women's groups and forest-dependent communities.</i></li> <li>- <i>In Oct 2017, stakeholders themselves designed the Territorial Dialogue and Participation Plans that reflect local and regional, culturally sensitive decision-making mechanisms. The preparation of these plans was facilitated by Indufor and being based on local customs and rights they set the guidelines to be followed during further implementation of stakeholder consultations. The design of the Territorial Plans itself was an innovative activity to exercise rights and to empower stakeholders in the making of the ENDDBG.</i></li> <li>- <i>Indufor and GCI prepared a Sharing, Divulgarion and Communication Strategy and communications products: An easy comic, 25 radio spots (in Spanish and 4 Mayan languages) and a short video. The diffusion of these comms products, targeted both to stakeholders and general public, is being coordinated with the National Forest Alliance and regional/ local actors with ongoing, REDD-related projects.</i></li> <li>- <i>The General Dialogue and Participation Plan identified possible collaborators. The Agriculture Office (SAA), the National Land Fund (Fontierra), Indigenous' Women's Protection Office (DEMI) and others have participated in the territorial workshops as a means to ensure transparency, build trust and respect for human rights. Due to prior commitments, other originally identified actors such as development cooperation programs have not shown interest to cooperate with the dialogue process more than as participants, so no agreements have been subscribed with them. Still, they continue participating actively as stakeholders in the consultation process.</i></li> </ul> |
| Phase 2:<br><b>Free and informed dialogues at regional and local level</b> | Step 5<br>Step 6  | <ul style="list-style-type: none"> <li>- Calls and information-sharing to members of regional platforms (such as MESAFORC VI and MITA)</li> <li>- Information sessions, dialogues with emphasis on relevant themes identified by local stakeholders</li> </ul>   | <ul style="list-style-type: none"> <li>- <i>Calls to members of regional platforms and stakeholders were strengthened with the follow-up made by local supporting organizations. Basic information about REDD+ and the strategy process was spread both through regional platforms and local supporting organizations.</i></li> <li>- <i>Between Oct and Dec 2017 two rounds of workshops were organized in 5 territories. The first workshops were mainly focused on outreach, and capacity-building on climate change -related issues; the relationship</i></li> </ul>   |

| Phases  | FCPF and UNREDD<br>Guidelines on<br>Stakeholder<br>Engagement | Main Actions   | Progress until January 2018   |
|---|---|--|---|
|   |   | <ul style="list-style-type: none"> <li>- Exchange with and among indigenous peoples' own authorities</li> <li>- Indigenous peoples' assemblies focused on REDD+ -related issues (identified by indigenous peoples themselves)</li> <li>- Information-sharing and exchange with private sector.</li> </ul>  | <p><i>between forests and CC; safeguards and participation. Moreover, during the first round of workshops the stakeholders themselves designed the Territorial Dialogue and Participation Plans.</i></p> <ul style="list-style-type: none"> <li>- <i>The second round of territorial workshops enabled the stakeholders themselves, again, to analyze the drivers of deforestation and degradation in their territory, and to start building the ENDDBG from local and regional priorities. All stakeholder-centered activities were facilitated by consultants such as Indufor and Geotecnológica.</i></li> <li>- <i>Indigenous peoples' authorities participated most actively in the territorial workshops held in Verapaces and Ixcán, Izabal, Eastern and Western region, where they organized their own group to analyze the issues. Thanks to the initiated Dialogue and Participation Process, the ENDDBG has also been included in the National Urban and Rural Development Commission (CONADUR, led by the President) agenda, as proposed by the indigenous representatives.</i></li> <li>- <i>A centralized dialogue process with the private sector has not yet started. However, forest-related private sector representatives (e.g. palm oil, cattle, mining and oil industry) have increased their interest and participation in the territorial dialogues as seen during the second round of territorial dialogues organized between Nov and Dec 2017.</i></li> </ul> |
| <p>Phase 3:</p> <p><b>Creation of agreements and stakeholder inputs/ recommendations to be integrated in the ENDDBG</b></p> | <p>Step 5<br/>Step 6<br/>Step 7</p>                           | <ul style="list-style-type: none"> <li>- In-depth analysis of relevant themes within local organizations and national alliances</li> <li>- Analysis of information and dialogue among local and regional organizations and their members</li> <li>- Registration of recommendations (stakeholder inputs) and exploring more deeply any stakeholders' insights and worries.</li> <li>- Prioritization of recommendations and agreements by territory and platform.</li> </ul> | <ul style="list-style-type: none"> <li>- <i>The process is gaining speed and force, and the territorial dialogues allow for exploring critical issues (identified by the stakeholders themselves) more deeply. In each territory these themes vary, reflecting different realities and level of anxiety. The dialogues will continue systematically in 2018.</i></li> <li>- <i>All analyses have been facilitated inclusively and using participatory methods (mainly working groups with visual tools) with the help of external consultants. Participants have included self-selected representatives (i.e. not selected by GCI nor by consultants) of social and environmental organizations, indigenous peoples and forest-dependent communities, womens' and youth groups, private companies, public sector organizations, universities, and others. In each territory the stakeholder mapping has been revised, complemented and further updated with the stakeholders.</i></li> </ul>  |

| Phases   | FCPF and UNREDD<br><i>Guidelines on<br/>Stakeholder<br/>Engagement</i> | Main Actions  | Progress until January 2018   |
|--|--|---|---|
|  |  |   | <ul style="list-style-type: none"> <li>- <i>During the dialogues the stakeholders have come up and indicated the priorities in their inputs. Further exchange, consultations and agreements will take place in 2018 during continued dialogues.</i></li> </ul>  |
| <b>Territorial/ regional platform level and National level</b>               |  |   |   |
| <p>Phase 4:</p> <p><b>Systematization and continuous feedback (loop)</b></p> | <p>Step 8</p>  | <ul style="list-style-type: none"> <li>- Systematization of results of territorial dialogues</li> <li>- Feedback of results to regional platforms</li> <li>- Revision of agreements and stakeholders' inputs, conclusions</li> <li>- Organization of an inclusive National-level workshop to present and analyze results of territorial dialogues</li> <li>- Whenever possible: Incorporation of inputs and suggestions in the ENDDBG preparation process</li> <li>- Resolving any complaints about the Dialogue and Participation process</li> </ul> | <ul style="list-style-type: none"> <li>- <i>All stakeholder inputs, suggestions, recommendations and worries have been registered by Indufor and Geotecnológica as support to GCI.</i></li> <li>- <i>The first ENDDBG draft version is based on recommendations and other inputs received from stakeholders and registered during the territorial dialogues. These dialogues will carry on and the draft Strategy will be further adapted and improved according to feedback received from stakeholders, up until the final version.</i></li> <li>- <i>The first National-level Workshop to Discuss about the Strategy was held in Sept 2017. The second National-level WS will be organized in February 2018, after two rounds of territorial workshops in 5 different regions.</i></li> <li>- <i>The MIAQ grievance facility has been designed and is equipped to receive and resolve claims not only related to the Dialogue and Participation process but to the whole of the REDD+ preparation process.</i></li> </ul> |

## Component 2: REDD+ Strategy Preparation

### Subcomponent 2a: Assessment of Land Use, Land-Use Change Drivers, Forest Law, Policy and Governance

Guatemala has had a systematic process to assess the state of forests and thus define their dynamics over time, which is done through government institutions related to the subject (MAGA, INAB, CONAP) and with the support of academic institutions and NGOs and cooperation projects. These efforts began in 2001 and as a result of this, maps of Guatemala's forest cover have been generated for the years 1991, 1996, 2001<sup>11</sup>, 2006, 2010 y 2012<sup>12</sup>; with this information we proceeded to perform the Forest Dynamics analyzes for the periods of 1991/93-2001, 2001-2006, y 2006-2010.

Subsequent to this effort, other studies have been carried out in the country linked to historical trends in land use and which serve to analyze the emissions associated with these land uses, such as the Map of Forest Coverage by Type and Subtype of Forest 2012, Map of Forest Coverage of Densities by Type of Forest, and Map of Potential Areas for the Restoration of the Forest Landscape of the Republic of Guatemala), and other studies carried out, such as the analysis of livelihoods, and the drivers and agents of deforestation.

At the local level, several studies have been carried out to understand the problems related to deforestation and forest degradation in Guatemala, mainly aimed at understanding the dynamics of the agents and their degree of contribution to this problem. At the local level there are evaluations of the REDD + projects: GuateCarbon (Samayoa, 2011), Lacandón Forests for Life (Portillo and Rojas, 2011), Guatemalan Caribbean Project (CEAB-UVG and FUNDAECO, 2015), and Ecoregión Lachuá (Winter, 2010).

As a whole, all these analyzes present historical trends in land use, observing changes in forest areas to other land uses, especially for agricultural and urban growth purposes, forest fires, pests and diseases, illegal extraction of wood and wood deficit. These analyzes make it possible to define that the main underlying drivers of deforestation and forest degradation are based on the model of economic growth, population growth, poverty, the education system, forest culture and land tenure and distribution systems, which generate driving forces that promote economic options, not necessarily sustainable, from a social, economic and ecological point of view.

An analysis of the drivers of deforestation and forest degradation, as well as its link with the policy framework of the forestry sector and others such as agriculture and energy and how they influence within the REDD+ REL/RL, are currently being evaluated in greater detail. This last effort is being reinforced by a preliminary analysis carried out by the MARN (2018) with information from the Reference Levels of Forest Emissions / Forest Reference Levels of Guatemala -REL/RL- (GIMBUT, 2017) and socioeconomic issues. These efforts of analysis of the drivers and agents have been confronted with analysis of the dynamics of land use, both of specific analysis and those of the REL/RL (see Annex: Preliminary Assessment of Land Use Factors, Causes and Drivers).

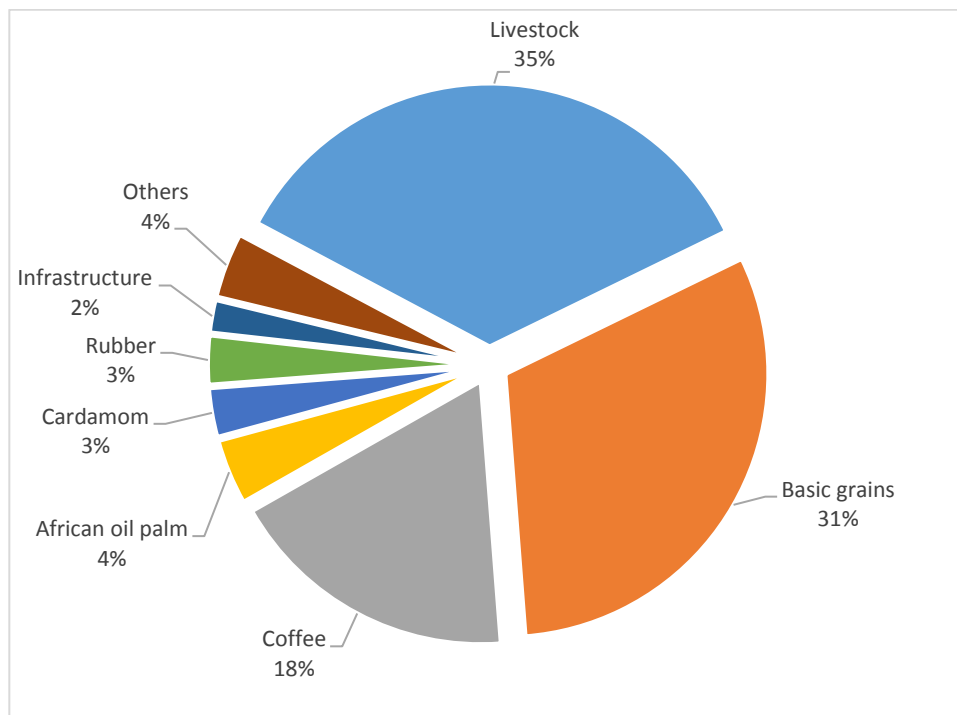
According to the Emissions Reference Levels (GIMBUT, 2017), in 2001-2010, in Guatemala, 1 039 602 ha of forest were deforested (106 845 ha per year), mainly due to livestock (35%) and production of basic grains, such as corn, beans and rice (31%). To a lesser extent, other crops that contributed to deforestation are:

<sup>11</sup> For the year 2001 there are two maps of forest cover, which is due to a methodological change that was made in order to strengthen the analyzes carried out.

<sup>12</sup> This map was developed using a sensor in greater detail than the other forest mapping processes.

African Palm (4%), Cardamom (3%), Rubber (3%) and several other crops (4%). Added to this is the change in use due to the growth of urban areas, equivalent to 2% of deforestation (see Figure 6).

However, coffee, cardamom and rubber are associated with tree species impacting to a lesser extent the loss of forest resources, also representing an important economic source for the entry of foreign currency into the country. For example, Guatemala is the world's leading producer of cardamom, where more than 300 000 small producers export some US\$ 200 million annually, and in the case of rubber, the country is the largest producer of rubber in Latin America and annually exports some US\$ 239 million.<sup>13</sup> In the case of coffee, 18% is the result of the methodological improvements made for the period 2006-2010, which allowed the identification and spatial separation of this category that had previously been considered as forest.



**Figure 6. Distribution of deforestation by land use category**

Source: MARN, 2018, with information produced by GIMBUT/MAGA

With the spatial database and the results of the analysis of the drivers for deforestation, MARN (2017) performed a preliminary analysis that enables to make the correlation between deforestation and its drivers. For each of the aforementioned drivers of deforestation, the forest dynamics was analyzed in regard to: associated coverings and economic variables.

- **Livestock:** The increase in pasture cover can be associated with livestock activity. It was observed that in the period 2001-2010 pasture areas grew at an annual rate of 2.5%, a behavior similar to that of cattle herd growth, which registered an annual growth of 2.4% for the same period (BANGUAT, 2017). According to the national forest dynamics, during the reference period (2001-

<sup>13</sup> Bank of Guatemala, 2017

2010), 35% of deforestation is caused by the expansion of pastures associated with livestock, with greater occurrence in the Laguna del Tigre National Park and the Buffer Zone of the RBM (Maya Biosphere Reserve – *for its acronym in Spanish*) in Petén, and the Refuge of Wild Life Punta de Manabique in Izabal.

- **Basic Grains:** No direct correlation was found between the increase in the area harvested from basic grains (corn, beans and rice) and the forest cover. The coverage of basic grains has not had an increasing behavior, which does not imply that there is no relationship with deforestation since, according to the national forest dynamics, during the reference period, 31% of deforestation is caused by the incorporation of new areas of these crops. The reduction of the area of crops is explained by the expansion of monocultures (mainly livestock, African palm and others) on these areas, as well as the change to other crops with higher profitability such as vegetables.
- **African oil palm:** According to the national forest dynamics, during the reference period, 4% of deforestation is caused by the expansion of this crop. According to a study conducted by IARNA (Institute of Agriculture, Natural Resources and Environment – IARNA – *for its acronym in Spanish* (2010<sup>14</sup>), approximately 40% of the new African Palm plantations were established in areas that were covered by forests in the last five years and 25% of the total of the surface planted in the period from 2001-2006 is located inside protected areas, mainly in the south of Petén, Alta Verapaz, Retalhuleu, San Marcos and Izabal.
- **Urban Infrastructure:** according to the national forestry dynamics, during the reference period, 4% of deforestation is caused by the expansion of the urban infrastructure surface, mainly in the departments of Guatemala, Escuintla and Petén.

To these efforts are added the inputs generated by the interested parties during the initial implementation of the Dialogue and Participation of the ENDDBG held in November 2017, where the main elements to identify the main agents and drivers of deforestation and degradation were presented and validated (see Annex: Preliminary Assessment of Land Use Factors, Causes and Drivers). The forests, information that was used to elaborate the first version of the Strategy, which are in socialization and feedback (see Figures 7 and 8).

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<sup>14</sup> URL, IARNA (Rafael Landívar University. Institute of Agriculture, Natural Resources and Environment). (2010). Analysis of the Dynamics of the Expansion of African Palm Cultivation in Guatemala. Guatemala. <https://www.url.edu.gt/publicacionesurl/FileCS.ashx?Id=40163>

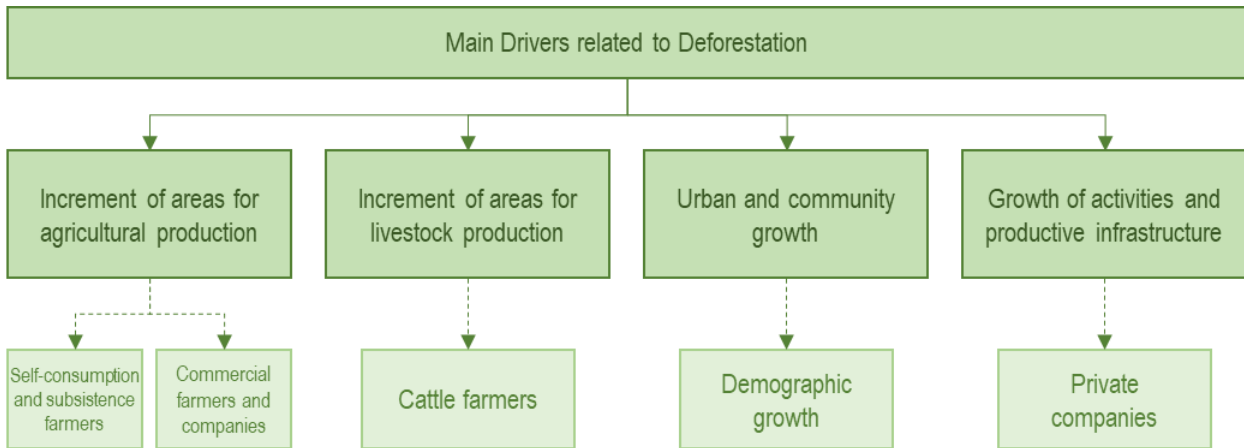


Figure 7. Main Drivers Related to Deforestation in Guatemala

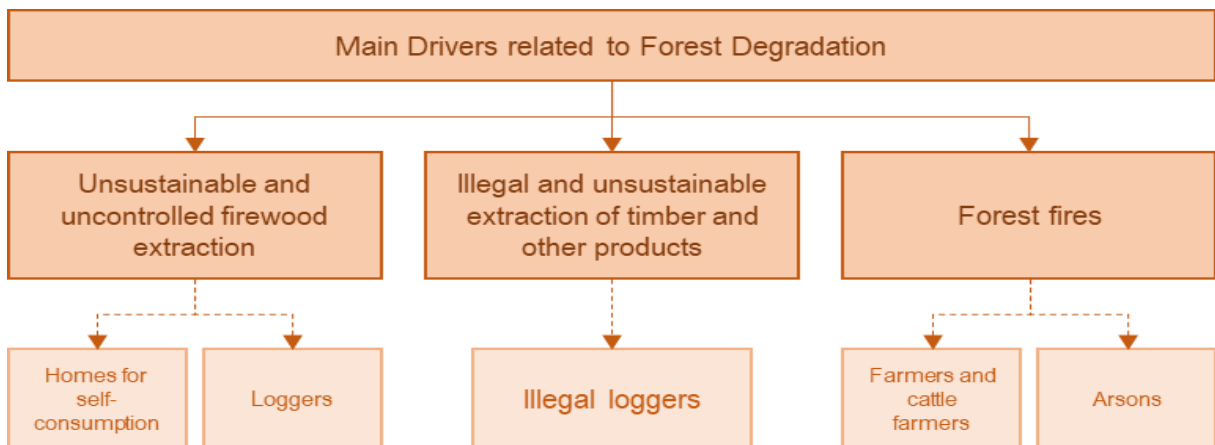


Figure 8. Main Drivers and Agents Related to Forest Degradation in Guatemala

### Linkages between the Public Policy and Legislation Framework

Guatemala has a broad political legal framework related to actions that seek to reduce the causes of deforestation and forest degradation. In 2016, a specific consultancy was finalized to identify and analyze the main policies and their existing instruments, defining those that are considered incompatible with the REDD+ strategy options, related to the forestry sector and others such as agriculture, including a proposal for an approach (see Annex: Systematization of the Policy and Governance framework).

It was analyzed 55 policy documents and their instruments related to the ENDDBG, concluding that Guatemala has developed a wide range of international instruments, within them; contracts, treaties, declarations, agreements, pacts, letters and memorandums of understanding and national character; policies, laws, regulations, norms, strategies, agendas, plans, ministerial agreements and protocols, to comply with the UNFCC Safeguards and the FCPF Common Approach (See Table 7).

**Table 7. Legal and Policy Instruments Related with REDD+**

| Kind of document   | Number of analyzed documents | related with REDD+             |              |                           | With the shareholder's endorsement |
|--------------------|------------------------------|--------------------------------|--------------|---------------------------|------------------------------------|
|                    |                              | Instruments related with REDD+ | Present gaps | Present incompatibilities |                                    |
| Policies           | 30                           | 25                             | 17           | 3                         | 19                                 |
| Laws               | 9                            | 7                              | 3            | 1                         | 7                                  |
| Regulations        | 6                            | 6                              | 2            | 0                         | 6                                  |
| Plans              | 5                            | 4                              | 1            | 0                         | 3                                  |
| Strategies         | 4                            | 4                              | 3            | 0                         | 4                                  |
| Agendas            | 3                            | 3                              | 2            | 0                         | 3                                  |
| Programs           | 2                            | 2                              | 1            | 0                         | 1                                  |
| Standards          | 2                            | 2                              | 2            | 0                         | 2                                  |
| Guides/User Manual | 1                            | 1                              | 1            | 0                         | 1                                  |
| Guidelines         | 1                            | 1                              | 1            | 0                         | 1                                  |
| <b>TOTALS</b>      | <b>63</b>                    | <b>55</b>                      | <b>33</b>    | <b>4</b>                  | <b>47</b>                          |

Source: Compiled from Systematization of the Forest Policy and Governance Framework (GCI, 2016)

Of the policies and instruments analyzed, 22 of them mention actions related to the modalities and options of the ENDDBG, and no gaps were identified with the options of the Strategy and the policies or programs of the forestry sector and other related sectors. In contrast, in four of the policies and their instruments analyzed incompatibilities<sup>15</sup> were found related to the ENDDBG, being these; a) Agricultural Policy 2011-2015, b) Irrigation Promotion Policy 2013-2023, c) Agrarian Policy and d) 2) Framework Law to Regulate the Reduction of Vulnerability, Compulsory Adaptation to the Effects of Climate Change and Mitigation of Greenhouse Gases, Decree 7-2013, of the Congress of the Republic of Guatemala (See Table 8).

**Table 8. Incompatibilities identified in policies and instruments related to the options of the ENDDBG**

| Identified Policy Instruments         | Incompatibility   |
|---------------------------------------|---|
| Agricultural Policy 2011-2015         | Food and Nutrition Security Axis: To strengthen the land leasing program for the economy of the infra subsistence and subsistence.<br>Agricultural Sanitation Axis: To establish programs for the promotion of agriculture and artisan fishing, taking special care to benefit the subsistence and infra and subsistence populations.<br>Both axes require for their execution, the existence or availability of lands used for other purposes or the incorporation of new lands, however, it does not make clear or presents mitigation measures in order to not contribute with the deforestation process of the country. |
| Irrigation Promotion Policy 2013-2023 | The Promotion Policy will propitiate a larger area under risk, even in lands with agroforestry capacity (Class VI) and will ease these systems with financing and studies. However, it does not explain with more details how it will prevent that this may stimulate the deforestation or degradation of Class VI lands, in order that it can later have an access to these incentives.  |

<sup>15</sup> Incompatibility: it is defined as incompatibility for the purposes of this analysis, the fact that implicitly a policy or its instruments indicate or mention in their texts actions that are detrimental to the modalities and options of the ENDDBG



|                  |   |
|------------------|---|
| Agrarian Policy  | Promotes the support to rural producers, located as infra and subsistence, which normally have access to marginal, degraded lands, in high gradient and fragmented, not explaining which mitigation measures will be used in order that this may not promote or motivate the deforestation. |
| CC Framework Law | The REDD+ National Strategy has the main purpose to implement the actions for mitigation, and since Article 25 proposes that 80% of the financial resources of the National Fund for Climate Change be used for adaptation, it presents incompatibility.                                    |

Source: extract from the document Systematization of the Framework of Policies and Forest Governance (GCI, 2016)

Another fundamental aspect regarding the success that can be obtained with the application of the REDD+ Strategy is related to land tenure and the resources associated with it. Ownership, possession and occupation of land and forests determine which actors are involved, how they can negotiate and what benefits they may be entitled to, together with the responsibilities they will have to assume (Kuper, 2014).

There are four types of holders of land rights in Guatemala: state, municipal, private, individual and community (including indigenous lands). The tenure rights (as well as the ability to participate in the various incentive schemes) of each of these groups depend on whether they are owners (with registered title), possessors (with documented title, but not registered) or land occupants of lands which belong to third parties, which includes leasing, unregulated peaceful occupation and illegal occupation. The figure of "possessor" is the category with the least legal clarity, but also the one that predominates among the small owners and those who live within the protected areas. Therefore, this is a category of great importance for REDD+.

From the point of view of the revision of land policies and the classification of tenure, the recommendations made include investments to achieve the following: to establish a clearer definition/regulation of the category of "possessors"; continue working with indigenous peoples towards security of tenure; allow communities to carry out internal consultations to register community properties; prioritize land use planning and soil studies in the areas of early REDD+ initiatives; and review land distribution policies (Kuper, 2014).

At present, PINPEP (Forestry Incentives Program for Small Holders on Land Suitable for Forestry and Agroforestry – PINPEP – *for its acronym in Spanish*) Law <sup>16</sup> expands the range of attention and support to community groups and individual owners to have access to forestry incentives which, by the grounds of land extension and tenure regime, could not be beneficiaries with the previous program PINFOR (Forestry Incentive Program – PINFOR – *for its acronym in Spanish*) <sup>17</sup> which expired at the end of 2016 and encouraged owners of forest lands. Given the success of these programs, PROBOSQUE Law (Law to Promote Establishment, Regeneration, Restoration, Management, Production and Protection of Forests in Guatemala – PROBOSQUE – *for its acronym in Spanish*)<sup>18</sup> is created in order to give continuity to PINFOR and also to broaden the typology of beneficiaries, ensuring the granting of forest incentives for another 30 years and thereby contribute to the management and conservation of forest resources with the participation of municipalities, indigenous communities, associations and the private sector, among others.

<sup>16</sup> Decree 51-2010, (Forestry Incentives Program for Small Holders on Land Suitable for Forestry and Agroforestry (PINPEP – *for its acronym in Spanish*)

<sup>17</sup> Forestry Incentive Program (PINFOR – *for its acronym in Spanish*)

<sup>18</sup> Law to Promote Establishment, Regeneration, Restoration, Management, Production and Protection of Forests in Guatemala (PROBOSQUE – *for its acronym in Spanish*)

On the frame of the ENDDGB the expansion of the forestry incentives programs will be a priority, especially to serve this segment of the population.

Despite the breadth of the political framework and its instruments, it is concluded that it is necessary to promote the harmonization of public policies and their instruments in order to correct the incompatibilities found and promote the coordination and creation of synergies among the participating institutions. Although there have been advances and responses in initiatives to address climate change and management of natural resources in Guatemala, there are limitations that need to be addressed to amend them, among which the following are the reasons (SEGEPLAN, 2014):

- There is limited coordination of operationalization between policies and a sectoralization of the environment is evident. This situation is due mainly to the existence of various entities with public rectorship on issues of environmental management.
- The main duplications in the validity and application of the policy framework stand out in territorial spaces in which different normative instruments are applied.
- At the level of inter-institutional and intersectoral coordination, there is no space for dialogue that promotes greater integration, in the definition and integration of public policy aimed at adapting and mitigating climate change and in the execution of operations and investments.

It is expected that the ENDDBG will contribute to the goals, guidelines and results of, amongst others:

- **The National Determined Contribution (NDC):** through the reduction of GHG emissions for the sector Use and Change of Land Use and Forestry
- **The K'atun 2032 National Development Plan**, specifically for the Axis of Natural Resources for Today and the Future <sup>19</sup> contributing to the reduction of GHG emissions in the sector of land use change and forestry, contributing to maintain 32% of the national territory with forest cover (29% with natural forests and 3% with ecological restoration), maintaining the 2.6 % of the national territory with forest plantations and reduce to zero the annual net deforestation in core areas of protected areas;
- **The General Government Policy 2016-2020**, linked to the Strategic Country Results of Goal 5 on Environment and Natural Resources: "In 2019, forest coverage was maintained at 33.7% of the national territory" and "By 2019 it has been increased capacity in the country for resilience and adaptation to climate change". For this, the Strategy seeks to promote the protection and increase of forest cover, which also implies increasing the resilience capacity of the population;
- **The Climate Change Policy and Law, and its National Action Plan (National Action Plan for Adaptation and Mitigation of Climate Change – PANCC – *for its acronym in Spanish*)** related to Chapter V.4 of the Plan "Land use, change in land use and forestry", specifically with the results: i) "the emission of CO<sub>2</sub>e has been reduced, avoiding deforestation and degradation of forests", and ii) "the absorption of CO<sub>2</sub> has been increased by increasing forest cover". This is promoting REDD+ activities that specifically seek the reduction of GHG emissions, avoiding deforestation and forest degradation, and increasing carbon reservoirs;

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<sup>19</sup> Specifically: i) Priority of adaptation and mitigation to climate change, ii) Conservation and sustainable use of forests and biodiversity for the adaptation and mitigation of climate change, and iii) Priority territorial order for the sustainable use of natural resources, agricultural production and adaptation to climate change and mitigation of its effects.

- **The Sustainable Development Goals (SDGs)**, especially objectives 2, 13 and 15 through the adoption of urgent measures to fight climate change through REDD+ activities for the protection and sustainable management of forests and biodiversity, which also imply support to food security, through the strengthening of forest incentive programs and the Guatemalan system of protected areas, which include productive activities linked to the forest for the generation of food; and
- **National Legislation on Gender Equality** through the implementation of the Gender Route and REDD+ that addresses guidelines and standards established in the National Policy for the Promotion and Integral Development of Women 2008-2023 (PNPDIM – for its acronym in Spanish), the MARN’s Environmental Policy of Gender (2015-2020), and its Strategic Implementation Framework 2014-2023 and the Institutional Strategy of Gender Equality with Ethnic Relevance of INAB (National Institute of Forestry – INAB – for its acronym in Spanish).

### Subcomponent 2b: REDD+ Strategic Options

As part of the construction of the R-PP, short-term actions were prioritized for dealing with deforestation and degradation, and increased carbon stock; actions that were also used in the construction of the NDC proposal, which was presented and endorsed by the National Council on Climate Change. The emission reductions foreseen for the implementation of the actions considered in the R-PP are (see Table 9):

**Table 9. Priority short-term activities for ENDBBG and its emission reduction potential<sup>20</sup>**

| REDD+ Measures                       | Preliminary REDD+ activities within the proposed REDD+ strategy options   | Potential for emission reduction 2016-2020 (M tCO <sub>2</sub> e) |
|--------------------------------------|---|---|
| <b>Avoided Deforestation (D)</b>     | Incentives for conservation and sustainable management of natural forests<br>Strengthening governance in forest lands<br>Incentives to increase carbon stocks<br>Improved forest management<br>Promotion of competitiveness and legality in value chains in forest products     | <b>11.3</b>   |
| <b>Avoided Degradation (D)</b>       | Incentives for small holders, local communities and Indigenous Peoples<br>Incentives for conservation and sustainable management of natural forests<br>Strengthening governance in forest lands<br>Promotion of competitiveness and legality in value chains in forest products | <b>2.6</b>  |
| <b>Increase in Carbon Stocks (+)</b> | Incentives to increase carbon stocks<br>Incentives for conservation and sustainable management of natural forests<br>Strengthening governance in forest lands<br>Improved forest management<br>Promotion of competitiveness and legality in value chains in forest products     | <b>7.02</b>   |

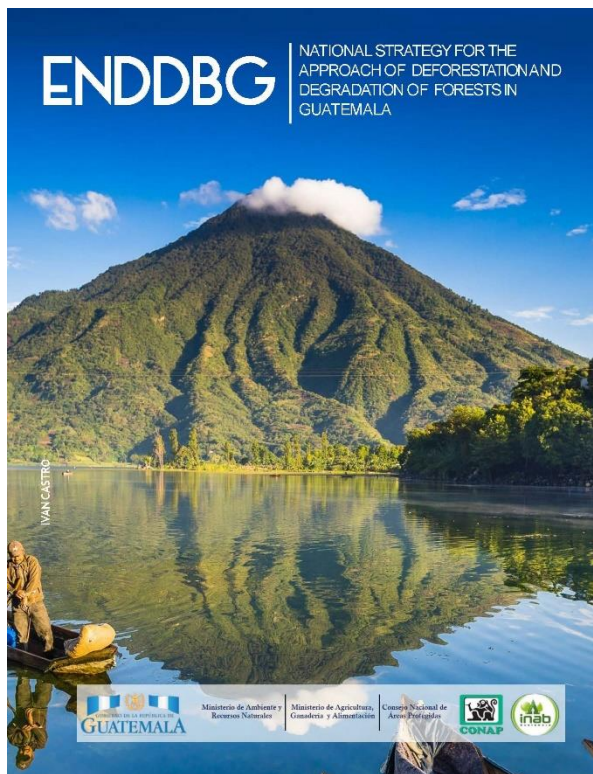
Source: extract from ER-PIN, Guatemala (GCI, 2014)

<sup>20</sup> Activities included in the R-PP that was presented to the Forest Carbon Partnership Facility (FCPF).

During 2017, the National Dialogue and Participation Process with Stakeholders of the ENDDBG was designed and implemented, as an effort that has served to promote dialogue and the participation of all stakeholders related to deforestation and forest degradation, and for which strategic lines and actions were agreed, based on proposed REDD+ measures and options, to address the main causes and agents of deforestation and forest degradation and the barriers or limitations that exist to address them correctly.

This first version of the ENDDBG (version 1.0) is based on the systematization of the lessons learned from the efforts that Guatemala has made over twenty years<sup>21</sup>, as well as the processes established for the construction of REDD+, such as the dialogue process initiated in November 2017 and the participatory processes carried out to guarantee social and environmental safeguards (SESA/ ESMF / MIAQ and the National Safeguards Approach), the incorporation of gender considerations and the mainstreaming of ancestral and traditional knowledge and practices (see Annex: ENDDBG).

The strategic framework is based on three strategic axes aimed at addressing the direct causes of deforestation and forest degradation, while including actions for the restoration of degraded lands and forests, and the increase of flows of goods and services that forests provide to Guatemalan and global society. Within these axes also includes one of a cross-cutting nature to all causes and which is primarily oriented towards strengthening the governance framework of activities related to forests and other related land uses.



These axes integrate fourteen strategic lines<sup>22</sup> and a series of actions of substantive and transversal scope. The program framework and Plan of Action of the ENDDBG, is integrated by activities<sup>23</sup> technical and operational activities to achieve the objectives of each line. It consists of initiatives (programs, projects, regulations, financial instruments, policy reviews and other instruments or mechanisms of dialogue) in execution or to be implemented, in which the identified actors have been summoned to participate.

In this context, six strategic lines are considered associated with direct prioritized causes, and three strategic lines of cross-cutting nature to all causes. These lines involve the implementation of 27 strategic actions. For each of these actions, specific objectives and activities are established, which will serve for the construction of the programmatic framework of the strategy.

<sup>21</sup> At the end of the nineties (1990s), they enacted several laws and programs aimed at the protection of forests and the recovery of forest cover

<sup>22</sup> These are specific measures aimed at achieving a specific impact on one of the causes of deforestation or degradation of forests, and may be of a transversal nature to all or several of them.

<sup>23</sup> Oriented to address the causes of deforestation and forest degradation in the country, and at the same time allow to promote the restoration of degraded ecosystems and the sustainable management of forests, forest plantations and AFS.

It is worth mentioning that the implementation of these actions will be carried out in compliance with the respect and approach of the REDD+ Safeguards, among them, non-conversion of natural forests, full and effective participation of stakeholders of the measures, among others. Likewise, the results of the policy analysis will be considered, especially those in which incompatibilities have been identified with the ENDDBG options.

In addition, as part of the preparation process for the implementation of ENDDBG in the country, in some regions it has begun with the implementation of some REDD+ projects, which are considered as early actions of this process, taking into consideration that they are promoted efforts at the local level to address the causes of deforestation and forest degradation, and at the same time generate opportunities for development for local communities.

These projects are contributing significantly to the national learning process, since they are promoting different institutional arrangements, governance structures, and monitoring and financing mechanisms in diverse local conditions (environmental, social and cultural) that are strengthening the national process. These activities are carried out both inside and outside the protected areas, which have different stages of development, and which are considered as part of the national process for the implementation of REDD+ (see Table 10).

**Table 10. Existing REDD+ Project and Initiatives**

| Project's Name   | Proponents                            | Kind of Project   |
|--|---------------------------------------|---|
| GuateCarbon<br><a href="http://guatecarbon.com/el-proyecto/">http://guatecarbon.com/el-proyecto/</a><br><a href="http://vcsprojectdatabase.org/#/project_details/1384">http://vcsprojectdatabase.org/#/project_details/1384</a>  | ACOFOP and CONAP                      | REDD+ (Reducing Emissions from Deforestation and Forest Degradation)                                      |
| Lacandón Forests for Life <a href="http://bosques-lacandon.org/">http://bosques-lacandon.org/</a><br><a href="http://vcsprojectdatabase.org/#/project_details/1541">http://vcsprojectdatabase.org/#/project_details/1541</a>   | Fundación Defensores de la Naturaleza | REDD+ (Reducing Emissions from Deforestation and Forest Degradation)                                      |
| Coast of Conservation <a href="http://theconservationcoast.com/">http://theconservationcoast.com/</a><br><a href="http://vcsprojectdatabase.org/#/project_details/1622">http://vcsprojectdatabase.org/#/project_details/1622</a>   | FUNDAECO and ALTHELIA                 | REDD+ (Reducing Emissions from Deforestation and Forest Degradation)                                      |
| Agroforestry and Forest Restoration for Ecological Connectivity, Poverty Reduction and the Conservation of Biodiversity in Cerro San Gil<br><a href="http://www.fundaeco.org.gt/ejes/cambio-climatico.html">http://www.fundaeco.org.gt/ejes/cambio-climatico.html</a><br><a href="http://vcsprojectdatabase.org/#/project_details/1558">http://vcsprojectdatabase.org/#/project_details/1558</a> | FUNDAECO                              | Increase in carbon reserves through agroforestry systems and forest plantations of various native species |
| Local Networks for our Development and Climate Change<br><a href="http://www.fundacioncalmecac.org/">http://www.fundacioncalmecac.org/</a>   | Fundación CALMECAC                    | REDD+ (Reducing Emissions from Deforestation and Forest Degradation)                                      |

Dialogue and Participation process carried out in 2017, for its review and feedback. During 2018 and 2019, it is planned to continue with this exercise for the participatory construction of the ENDDBG through the implementation of the dialogue (according to the territorial plans agreed with the interested parties), and the dissemination of the results. Also, short-term actions include the national presentation of this first version in a National Forum and then will be taken to the five territories where the dialogue process started: Tierras Bajas del Norte (Petén), Caribe (Izabal), West (Quetzaltenango), Verapaces (Alta Verapaz), and East (Chiquimula), to present it to local stakeholders and receive feedback from the process.

## Subcomponent 2c: Implementation Framework

### Adoption and Implementation of Legislation/Regulation:

From the analysis of 63 policy instruments and their instruments, 55 are related to the ENDDBG, concluding that Guatemala has developed a wide range of international instruments, within these; contracts, treaties, declarations, agreements, pacts, letters and memorandums of understanding and national character; policies, laws, regulations, norms, strategies, agendas, plans, ministerial agreements and protocols, to comply with the Safeguards of the UNFCCC and the Common Approach of the FCPF (see Annex: Systematization of the Framework of Policies and Forest Governance).

Of the policies and instruments analyzed, 22 of them mention actions related to the modalities and options of the ENDDBG, and no gaps were identified with the options of the Strategy and the policies or programs of the forestry sector and other related sectors. In contrast, in four of the policies and their instruments analyzed incompatibilities<sup>24</sup> were found related to the ENDDBG, being these; a) Agricultural Policy 2011 - 2015, b) Irrigation Promotion Policy 2013 -2023, c) Agrarian Policy and d) 2) Framework Law to Regulate the Reduction of Vulnerability, Compulsory Adaptation to the Effects of Climate Change and Mitigation of Greenhouse Gases, Decree 7-2013, of the Congress of the Republic of Guatemala.

Likewise, of the 55 policies and their instruments, only seven show the distribution of benefits, 12 allude to the same, but do not address the issue in depth and 36 do not mention it. Next, the policies are listed if they show the subject:

- Forestry Law, Decree Law 101-96, of the Congress of the Republic of Guatemala.
- Law for Forestry Incentives Program for Small Holders on Land Suitable for Forestry and Agroforestry (PINPEP –for its acronym, in Spanish). Decree 51-2010, of the Congress of the Republic of Guatemala.
- Law to Promote Establishment, Regeneration, Restoration, Management, Production and Protection of Forests in Guatemala (PROBOSQUE – for its acronym in Spanish) -. Decree 2-2015, of the Congress of the Republic of Guatemala.
- Framework Law to Regulate the Reduction of Vulnerability, Compulsory Adaptation to the Effects of Climate Change and the Mitigation of Greenhouse Gases, which proposes the creation of the National Fund for Climate Change. Decree 7-2013, of the Congress of the Republic of Guatemala.
- Regulation of PINFOR, INAB, Resolution No. JD.03.31.2014.
- Regulation of the Law for Forestry Incentives Program for Small Holders on Land Suitable for Forestry and Agroforestry (PINPEP –for its acronym in Spanish), Resolution No. JD. 01.12.2011.
- PROBOSQUE Law Regulation, Resolution No. JD.12.2016, dated March 16, 2016

On the other hand, only two documents of 55 analyzed policies and their instruments regulate rights on GHG emissions reductions, being these; Incentive Law for the Development of Renewable Energy Projects (Article 6) and the Framework Law to Regulate the Reduction of Vulnerability, Compulsory Adaptation to the Effects of Climate Change and the Mitigation of Greenhouse Gases (Article 22). However, the latter presents some incompatibilities. To remedy this situation, one of the strategic lines of the ENDDBG seeks the Harmonization of Public Policies and related instruments. These actions will allow to align the actions

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<sup>24</sup> Incompatibility: it is defined as incompatibility for the purposes of this analysis, the fact that implicitly a policy or its instruments indicate or mention in their texts actions that are detrimental to the modalities and options of the ENDDBG

of the ENDDBG with the proposal of the Emissions Reduction Program (ER-PIN), with which it will be possible to demonstrate an adequate progress towards the implementation of the REDD + activities.

### Implementation framework:

Guatemala is demonstrating substantial progress towards the implementation framework of the strategy through the Forest Investment Program (FIP) and the development of the National Emissions Reduction Program (ER Program) under the FCPF Carbon Fund:

- In June 2017, the FIP Sub-Committee approved the FIP Investment Plan of Guatemala to access US\$ 24 million to support the implementation of REDD+ activities, for which it three FIP projects are being designing. Through these FIP projects, the country will promote leveraging public financing (through forest incentive programs and SIGAP actions), as well as from private sector (through guarantee funds and microloans) and local governments. This is part of the technical, political and financial sustainability of the process<sup>25</sup>.
- In April 2017 the Ministry of Public Finance, on behalf of the Republic of Guatemala, signed the Letter of Intent with the IBRD (fiduciary of the Carbon Fund) to access results-based payments for for up to 10.5 million tCO<sub>2</sub>e of emissions reductions for up to five years. To that end, it is currently preparing its National Emissions Reduction Program (under the ERPD format)<sup>26</sup>.
- In addition, the NAMA Facility has approved EUR 11 million to implement the proposal for efficient use of firewood through clean cooking technologies. This proposal will allow complementing actions linked to the sustainable production of firewood that are promoted through the implementation of the ENDDBG. Through this NAMA, it is also proposed to leverage financing from the private sector and local governments to promote the technical, political and financial sustainability of actions to reduce deforestation and forest degradation.<sup>27</sup>

Under these actions, Guatemala proves substantial progress towards the effective implementation framework for the ENDDBG, in which the sustainability of the political, technical and financial processes is promoted through the engaging of strategic actors.

### Benefit Sharing Mechanism:

During the REDD+ preparation process in Guatemala, the distribution of benefits and the creation or adaptation of existing mechanisms to make it effective has been one of the critical points in the processes of dialogue and participation. The preparation process for REDD+ includes the design and implementation of the Benefit Sharing Mechanism, which seeks to be clear, transparent, effective and in line with the existing national policy framework, to consider the Forestry Law and the Law on Protected Areas, as well as the inclusion of gender considerations, indigenous peoples and local communities, duly socialized with the interested parties.

<sup>25</sup> <https://www.climateinvestmentfunds.org/country/guatemala>

<sup>26</sup> <https://www.forestcarbonpartnership.org/sites/fcp/files/2017/May/816%20BM%20envio%20CdI%20suscrita%20280417.pdf>

<sup>27</sup> <http://www.nama-facility.org/projects/efficient-use-of-fuel-and-alternative-fuels-in-indigenous-and-rural-communities/> y <https://www.pronacom.gt/proyectos/nama>

Guatemala has developed extensive experience in the design and implementation of economic policies and instruments aimed at promoting the conservation, management and sustainable use of natural resources in different modalities and institutional arrangements. These instruments have been designed with a governance framework and the institutional, legal and financial basis to operate and distribute state resources to beneficiaries who implement management, conservation, reforestation, restoration, agroforestry, among others, in benefit of the national collective.

Among these are the national forest incentive programs (PINFOR, PINPEP and PROBOSQUE), the forestry concession schemes on state lands considered in forest regulation inside and outside protected areas. It is worth mentioning that the Strategy proposal includes these mechanisms as strategy options.

Under the forestry incentive programs, INAB has more than 15 years of experience channeling economic benefits of more than \$300 million dollars to more than 525 000 beneficiaries, and in whose mechanism transparency is highlighted throughout the process. which involved: a) INAB with certification of compliance with forest management plans by users, which involves an internal audit, b) the Ministry of Public Finance with the review and approval of the files sent by INAB, for which bank deposits are directly issued to the monetary accounts of previously registered users and the parallel payment of administrative expenses to INAB, and c) the General Comptroller's Office, which, as an external entity, performs external audits to INAB as a mechanism for guarantee the transparency of the processes. This mechanism will be the same process for the distribution of PROBOSQUE benefits through the National Forest Fund (FONABOSQUES – *for its acronym in Spanish*).

As a reference to this, the following summarizes the type of beneficiaries by the forest incentive programs, as well as the areas that were protected with this.

#### PINFOR beneficiaries:

During the period from 1998 to 2016, the State of Guatemala abolished Q 1,942,907,687 (about US \$ 255 million) for forestry incentives, for a total of 10,418 projects, equivalent to 383,568 hectares of reforestation and natural forest management, whose beneficiaries are divided in nine groups called "Types of Owners", these are: i) Associations, ii) Committees, iii) Communities, iv) Cooperatives, v) Companies, vi) Foundations, vii) Individuals, Municipalities and viii) Government Organization (see Table 11).

**Table 11. Project, area, amount with PINFOR, by owner (2007-2016)**

| Owner           | Reforestation |                |                      | Natural forest Management |                |                    |
|-----------------|---------------|----------------|----------------------|---------------------------|----------------|--------------------|
|                 | Projects      | Area (ha.)     | Amount (Q)           | Projects                  | Area (ha.)     | Amount (Q)         |
| Associations    | 212           | 6,566          | 63,706,612           | 83                        | 9,404          | 13,822,530         |
| Comitee         | 32            | 852            | 9,258,348            | 69                        | 576            | 3,935,395          |
| Community       | 62            | 1,771          | 20,826,507           | 41                        | 4,752          | 6,881,858          |
| Cooperative     | 246           | 7,589          | 89,868,275           | 72                        | 15,359         | 12,216,702         |
| Enterprise      | 1,667         | 65,943         | 666,447,833          | 435                       | 44,162         | 72,295,670         |
| Foundation      | 34            | 811            | 9,383,058            | 96                        | 74,882         | 68,331,525         |
| Individual      | 3,212         | 47,801         | 525,650,575          | 2,960                     | 58,177         | 206,379,381        |
| Municipality    | 426           | 8,262          | 85,199,500           | 758                       | 36,336         | 85,061,887         |
| Government Org. | 13            | 315            | 3,642,023            |                           |                |                    |
| <b>Total</b>    | <b>5,904</b>  | <b>139,915</b> | <b>1,473,982,735</b> | <b>4,514</b>              | <b>243,652</b> | <b>468,924,951</b> |

Source: Statistic bulletin, INAB 2016



These incentives correspond to the following modalities: a) establishment and maintenance of forest plantations for industrial purposes; b) establishment and maintenance of forest plantations for energy purposes; c) establishment and maintenance of agroforestry systems; d) management of natural forests for production purposes e) management of natural forests for the purpose of protection and provision of environmental services. f) restoration of degraded forest lands.

### PINPEP beneficiaries:

During the period from 2007 to 2016, the State of Guatemala abolished Q 634,804,592.45 (about US \$ 85.5 million) for forestry incentives, for a total of 25,745.00 projects, equivalent to 91,641.54 hectares of reforestation and natural forest management, whose beneficiaries are divided in nine groups called "Types of Owners", these are: i) Associations, ii) Committees, iii) Communities, iv) Cooperatives, v) Companies, vi) Foundations, vii) Individuals, viii) Municipalities and ix) Government Organization ( see Table 12).

**Table 12. Project, area, amount with PINPEP, by owner (2007-2016)**

| Owner        | Reforestation |                  |                      | Natural Forest Management |                  |                       |
|--------------|---------------|------------------|----------------------|---------------------------|------------------|-----------------------|
|              | Projects      | Area (ha.)       | Projects             | Area (ha.)                | Projects         | Area (ha.)            |
| Association  | 67            | 191.4            | 1,075,335.08         | 135                       | 612.29           | 2,830,845.88          |
| COCODE       | 0             | 0                | 0                    | 1                         | 2.38             | 20,598.90             |
| Comunal      | 25            | 129.43           | 1,431,909.98         | 190                       | 3,372.81         | 24,704,861.38         |
| Cooperative  | 17            | 89.58            | 165,285.18           | 4                         | 17.5             | 175,886.46            |
| Enterprise   | 0             | 0                | 0                    | 2                         | 12               | 83,677.78             |
| Group        | 283           | 1,547.80         | 11,121,757.91        | 227                       | 1,782.72         | 10,969,897.77         |
| Individual   | 5,944         | 11,330.80        | 69,933,172.58        | 18,765                    | 71,998.72        | 507,378,067.96        |
| Municipality | 31            | 100.54           | 947,691.04           | 54                        | 453.57           | 3,965,604.55          |
| <b>Total</b> | <b>6,367</b>  | <b>13,389.55</b> | <b>84,675,151.77</b> | <b>19,378</b>             | <b>78,251.99</b> | <b>550,129,440.68</b> |

Source: Statistic Bulletin, INAB 2016

### PROBOSQUE beneficiaries:

The PROBOSQUE Law, Decree number 2-2015, establishes that the beneficiaries will be:

- Landowners, including municipalities;
- Social groupings with legal status that, by virtue of legal arrangement, occupy land owned by the municipalities;
- Tenants of reserve areas of the Nation; and
- Cooperatives, indigenous communities or any other forms of communal or collective ownership of agrarian property, which historically belong to them and which they have traditionally administered in a special way, provided they are duly represented.

With a duration of 30 years, the PROBOSQUE Law entered into force 8 days after its publication in the Diario de Centroamérica, on October 27, 2015, aimed at continuing the beneficiary projects of PINFOR and expanding the typology of beneficiaries and modalities to encourage.

Other mechanisms have also been created to make investments of State resources in conservation and management activities, which come from direct investments of the State, as is the case of the

Administration and Investment Trust of the National Fund for Nature or other funds established in specific laws.

Other mechanisms have also been created to make investments of State resources in conservation and management activities, which come from direct investments of the State, as is the case of the Administration and Investment Trust of the National Fund for Nature or other funds established in specific laws.

Despite the advances evidenced using financial mechanisms to support the protection and conservation of forests, the issue of distribution of benefits related to the reduction and removal of GHG emissions is not expressed in any of the 55 policy documents and its instruments analyzed; however, there is evidence of benefit-sharing for the protection and conservation of forests and for the operation of forest recovery instruments in six instruments:

- a. Forestry Law (Decree Law 101-96, of the Congress of the Republic of Guatemala)
- b. Law for Forestry Incentives Program for Small Holders on Land Suitable for Forestry and Agroforestry (PINPEP; Decree 51-2010, of the Congress of the Republic of Guatemala)
- c. Law to Promote Establishment, Regeneration, Restoration, Management, Production and Protection of Forests in Guatemala (PROBOSQUE; Decree 2-2015, of the Congress of the Republic of Guatemala) and its Regulations (Resolution No. JD.12.2016, dated 16 March 2016)
- d. Framework Law to Regulate the Reduction of Vulnerability, Compulsory Adaptation to the Effects of Climate Change and the Mitigation of Greenhouse Gases, which proposes the creation of the National Fund for Climate Change (Decree 7-2013, of the Congress of the Republic from Guatemala)
- e. Regulation of PINFOR (Resolution No. JD.03.31.2014 of the INAB)
- f. Law for Forestry Incentives Program for Small Holders on Land Suitable for Forestry and Agroforestry PINPEP- (Resolution No. JD 01.12.2011 of the INAB)

The nature and dynamics of the strategic lines of the ENDDBG, are aimed at complementing activities that are underway, whether with public or private national funding, to find a conceptually objective and feasible proposal. This is to answer and to provide viability to a mechanism of benefit distribution (MDB – for its acronym in Spanish), with whose investments can be supported the fulfillment of the goals of the strategy, while optimizing the benefits and co-benefits resulting from the reduction of deforestation and degradation of the forests. The participation of relevant actors in the design, implementation and benefits of these mechanisms enjoys legitimacy and representativeness and the results show success, changes and positive impacts according to the specific purposes.

Under the premise of good governance, as in the Dialogue and Participation Process, there was a need for the REDD+ benefit sharing mechanism to use the legal, technical, financial and operational governance platform of the existing mechanisms, considering the strategic proposal and the orientation and destination that payments for results may have. If the results of analyzes to be carried out indicate that it is not feasible to use these platforms, some other option that serves this purpose should be created or adapted.

From this account, there is a preliminary consensus that the MDB should be based on and integrate several current mechanisms that allow the implementation of instruments of various policy instruments that provide incentives for the management and conservation of forests in various modalities, others that promote the conservation of strategic ecosystems through financing of specific projects, among others.

Most of these initiatives have demonstrated effectiveness in achieving goals and agreement in the vertical and horizontal distribution of related benefits.

The technical design of the MDB is currently in process, for which a work program is initially sought for compatibilities between national and international requirements of a robust, transparent, cost-effective, equitable and flexible mechanism. Based on these analyzes, a team of experts in the legal, technical, economic, financial and governance areas is currently developing a comprehensive proposal to submit it for consultation and validation by the stakeholders. This team is focused on the next route:

1. Generation of the conceptual and reference framework of the National REDD + Benefit-sharing Mechanism
2. Systematization and analysis of the current mechanisms that includes the establishment of compatibilities and / or incompatibilities related to the requirements stipulated in the FCPF methodological framework.
3. Mapping of interested parties, as potential beneficiaries of the mechanism to be proposed.
4. Preparation of a proposal of the mechanism ENDDBG's benefit distribution to be submitted for consultation and validation.

This process will involve the Ministry of Public Finance and multiple REDD+ stakeholders, also seeking to link the Benefit Sharing Mechanisms of existing REDD+ projects.

## Subcomponent 2d: Social and Environmental Impacts

### National Safeguards Approach

In response to the provisions of the Framework Law on Climate Change (LMCC – for its acronym in Spanish), among the international commitments that Guatemala has assumed before the United Nations Framework Convention on Climate Change (UNFCCC), which are included in the REDD+ Strategy is the approach, respect and compliance with safeguards. Within the framework of the preparation and with the objective of accessing payments for REDD+ results, Guatemala has developed a National Approach on REDD+ Safeguards (see Annex: ENS) with which it seeks to comply with the requirements associated with REDD+ safeguards, which has the purposes of: i) define the way in which compliance with the REDD+ safeguards will be guaranteed, ii) political-legal framework and institutions responsible for implementation, and iii) compliance aspects that allow the resolution of conflicts, non-compliance mechanisms and report generated information.

This effort has been built in a participatory manner since 2014, facilitated by the REDD + Multi-sector Safeguards Committee, with the technical and financial support of IDB and CARE International NGO under the USAID/PRCC project, based on a critical path, which was oriented in the following stages:

- Constitute a Technical Committee on Safeguards
- Determine objectives and scope of the ENS REDD+
- Identification and analysis of the legal, institutional and compliance framework relevant to safeguards
- Definition of the architecture and operation of the ENS REDD+
- Launch the Safeguards Information System

In this context, progress was made in August 2015 and with the participation of multiple actors, workshops were held for the interpretation and construction of the National Safeguards Approach (75 stakeholders, 35% women). The principles, purposes, indicators and the applicable legal, institutional and compliance framework for each safeguard were also defined preliminarily. Additionally, it was identified how the existing governance frameworks in the country will serve to respond to the commitments assumed by Guatemala in terms of REDD+ safeguards (See Annex X).

The National Committee of Safeguards, composed of 16 members, is proposed to act as a multisector advisor to legitimize and validate how the components of the National Strategy will address and respect the safeguards. In this process, the objectives of the ENS REDD+ have been established, also that of each safeguard and preliminary indicators that measure the compliance with the REDD+ safeguards.

### Social and Environmental Strategic Assessment (SESA) and the Environmental and Social Management Framework (ESMF):

Guatemala has developed the Social and Environmental Strategic Assessment (SESA) and the Environmental and Social Management Framework (ESMF) that are based on the FCPF environmental and social safeguard requirements. These have been developed under a participatory process involving 611 stakeholders (242 women and 369 men) in five geographic regions of the country. The purpose of the evaluation is to identify and prioritize possible impacts (adverse and positive) derived from the implementation of Guatemala's REDD + options and activities.

The analysis was carried out based on the guidelines and inputs provided by GCI and guided by IDB as the delivery partner. Regarding the country's REDD+ proposal, it is based on three REDD+ measures: a) avoided deforestation; b) avoided forest degradation (due to forest fires and forest biomass extraction); and c) increases in forest carbon reservoirs. As well as the REDD+ options and activities defined in the ER-PIN and Mid-Term Report (2016).

For the analysis of impacts, the following is presented:

- Brief explanation of the scope of the strategy option, along with its specialization and linkage with the REDD+ measures.
- Identification of the legal framework linked to each strategic option.
- List of REDD+ activities to be considered under each option.
- Identification of potential impacts (adverse and positive) derived from the implementation of each strategic option (based on the information compiled in the regional SESA workshops and with due consideration of the REDD+ activities proposed to date).
- Identification of potential complaints and claims associated with the implementation of each strategic option.

As a result, 51 potential adverse impacts, 64 potential positive impacts and 59 potential conflicts and claims were identified. As a result of the Evaluation, mitigation measures have been defined to address the potential adverse impacts or promote the positive impacts of REDD+, this is known as the Environmental and Social Management Framework (ESMF).

As a result of the SESA, Guatemala has developed the ESMF as the operational instrument where the principles, guidelines and procedures are established to address, avoid and minimize the potential risks of

adverse impacts and potentiate the social and environmental benefits associated with the implementation of the ENDDBG.

The ESMF proposes measures to reduce, mitigate or counteract adverse environmental and social impacts, and to improve the positive impacts and opportunities of projects, activities, policies or regulations associated with the future implementation of the options of REDD+ Strategy. The preparation of the management framework considered the following as inputs:

- The review of the proposed REDD + Strategy options within the R-PP and the ER-PIN
- The analysis of government institutional entities responsible for the implementation and supervision of the SESA and ESMF, including the required institutional arrangements.
- Analysis of existing platforms and / or governance structures that are estimated to be used in the context of REDD+

It is also based on the proposal of the specific dissemination, communication and dialogue mechanisms of the SESA and ESMF, as well as the report with the mapping of actors. Another important input is the report generated on the legal/regulatory deficiencies and the application of policies, institutions and existing capacities linked to the possible social and environmental risks associated with the implementation of the ENDDBG.

The ESMF proposal developed to date includes the following sections:

- Section 1:** Measures to reduce, mitigate or counteract adverse environmental and social impacts and to enhance the positive impacts associated with the future implementation of the options of REDD+ Strategy. This is in accordance with the IDB's Safeguard Policies under the Common Approach of the FCPF, as well as the application of UNFCCC safeguards.
- Section 2:** Specific frameworks required by the FCPF to mitigate and manage the potential impacts derived from the implementation of REDD+ Strategy options.
- Section 3:** Institutional arrangements for the implementation and supervision of the ESMF. It is preliminary because it is pending to confirm who the institutions in charge will be.
- Section 4:** Mechanism of Information and Attention to Complaints (MIAQ – for its acronym in Spanish).
- Section 5:** Arrangements for dialogue and participation of relevant actors. To date, it plans to present a description and evaluation of the existing and relevant participation and dialogue platforms, and how they can play a role in the supervision and implementation of the ESMF.
- Section 6:** Practical considerations for the implementation of the ESMF.

The Social and Environmental Safeguards Policies (operational policies of the IDB and the WB) that apply to the ESMF of Guatemala, in accordance with the themes and guidelines of the Common Approach of the FCPF (see Table 13).

**Table 13. Operational policies of the Social and Environmental Safeguards for the common approach of the FCPF**

| Policies                        | Applicability for Guatemala's ESMF   |
|---------------------------------|--|
| Environmental Evaluation        | When a negative impact identified is linked to the theme of Environmental Assessment defined under the Common Approach, the following will be activated: <ul style="list-style-type: none"> <li>• Environmental Policy and Compliance with Safeguards (703) of the IDB</li> <li>• Principles 15 and 4 the Operational Policy for Environmental Assessment (401) of the WB</li> </ul>   |
| Natural Habitats                | When a negative impact identified is linked to the theme of 'Natural Habitats' defined under the Common Approach, it will be activated: <ul style="list-style-type: none"> <li>• The Environment and Safeguards Compliance Policy (703) of the IDB</li> </ul>  |
| Forests                         | When a negative impact identified is linked to the theme of 'Forests' defined under the Common Approach, the following will be activated: <ul style="list-style-type: none"> <li>• the Environment and Safeguards Compliance Policy (703) of the IDB</li> <li>• Principles 9a, 10, 12 and 14 of the Forest Operational Policy (4.36) of the WB.</li> </ul>   |
| Involuntary Resettlement        | When a identified negative impact is linked to the issue of 'Involuntary Resettlement' defined under the Common Approach, the following will be activated: <ul style="list-style-type: none"> <li>• IDB Involuntary Resettlement Policy (710)</li> <li>• Principles 2b, 6a, 6b and 10 of the Involuntary Resettlement Operational Policy (4.12) of the BM</li> </ul>   |
| Indigenous Peoples              | When a negative impact identified is linked to the theme of 'Indigenous Peoples' defined under the Common Approach, the following will be activated: <ul style="list-style-type: none"> <li>• The IDB Policy on Indigenous Peoples (765)</li> <li>• Principle 21 of the Operational Policy on Indigenous Peoples (4.10) of the WB</li> </ul>   |
| Physical and Cultural Resources | When a negative impact identified is linked to the theme of 'Physical and cultural resources' defined under the Common Approach, the following will be activated: <ul style="list-style-type: none"> <li>• The Operational Policy on Physical and Cultural Resources (OP 4.11) of the WB.</li> <li>• The Environment and Safeguards Compliance Policy (703) of the IDB Directive B.9. Natural habitats and sites.</li> </ul> |

Source: extract form Environmental and Social Management Framework (GCI, 2016)

### Gender and REDD+ Road map:

For REDD+ processes to be implemented effectively it is important to include the gender perspective and thereby contribute to the empowerment of women, foster compliance with national and international commitments of gender equality, guarantee a rights-based approach to development human rights, establish frameworks for effective participation (especially of women in rural areas) and increase the recognition of women as important managers, key stakeholders and decision-makers on forests and forest management.

For this, Guatemala has made important efforts to mainstream the gender approach in the national REDD+ process, under the gender guidelines of the United Nations Framework Convention on Climate Change

(UNFCCC), the Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW), as well as the national framework through the National Policy for the Promotion and Integral Development of Guatemalan Women 2008-2023<sup>28</sup>, the Climate Change Law and GCI's Gender Policy Instruments.<sup>29</sup>

Within the framework of the proposed REDD+ strategy options, the GCI Gender Directorates/Units led a participatory process involving 291 stakeholders (240 women and 51 men) who identified and prioritized strategic actions for the incorporation of gender considerations for the three phases of the National REDD+ Process: preparation, implementation and payments for results. This effort was made with the technical and financial support of the IDB and IUCN.

For this, they held a series of workshops<sup>30</sup> with multiple stakeholders of the REDD + measures (with special attention to groups of women working in the management of forests), to: Train participants in gender, climate change and REDD +, and jointly develop the proposed route to incorporate the gender approach into the national REDD + process (see: Gender Work Route).

The Gender and REDD+ Road map is based on eight (8) contemplated gender considerations:

1. Access and equitable right to land tenure for women and men
2. Equitable distribution of benefits between women and men
3. Improve the livelihoods and well-being of women
4. Good governance - leadership and empowerment of women for decision-making
5. Maintain and improve biodiversity and environmental services for the equal benefit of women and men
6. Full and effective equal participation of women and men
7. Equitable and relevant access to information by women and men
8. Compliance with local, national and international laws, treaties and conventions on women's rights

It is important to highlight that the stakeholders identified, by component, 75 strategic actions for the incorporation of gender considerations in the 3 phases of REDD +. From this route, it is expected that both the government and local organizations provide follow-up and support to the implementation of the strategic actions proposed for the REDD + measures and activities that the country undertakes within and outside of protected areas.

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[http://www.segeplan.gob.gt/downloads/clearinghouse/politicas\\_publicas/Derechos%20Humanos/Politica%20Promoci%C3%B3n%20%20y%20desarrollo%20Mujeres%202008-2023.pdf](http://www.segeplan.gob.gt/downloads/clearinghouse/politicas_publicas/Derechos%20Humanos/Politica%20Promoci%C3%B3n%20%20y%20desarrollo%20Mujeres%202008-2023.pdf)

<sup>29</sup> MARN Gender Policy: <http://www.marn.gob.gt/Multimedios/61.pdf>; MAGA Gender Policy: <http://web.maga.gob.gt/download/politicahttp://web.maga.gob.gt/download/politica-institucional-igualdad-genero.pdf> institucional-igualdad-genero.pdf; INAB Gender Policy: <http://www.marn.gob.gt/Multimedios/440.pdf>

<sup>30</sup> Workshops on gender and the national REDD+ process, available at: [http://www.marn.gob.gt/s/redd\\_/paginas/Talleres\\_Nacionales\\_REDD](http://www.marn.gob.gt/s/redd_/paginas/Talleres_Nacionales_REDD)

### Component 3: Reference Emissions Level/Reference Levels (REL/RL)

Significant progress has been made in achieving the Forest Reference Emission Levels/Forest Reference Levels (REL/RL) in the country. Guatemala, through the GCI and the Interinstitutional Forest and Land Use Monitoring Group (GIMBUT)<sup>31</sup>, made the decision to establish the reference period 2001-2010 for the REL/RL. This decision is based on the progress made since 2001, in the framework of cooperation between INAB, CONAP, UVG and URL, which allowed for the implementation of a mapping system for the dynamics of forest coverage in Guatemala, generating a synergy of work that has allowed to obtain the series of map of Dynamics and official forest coverage for the country (INAB, CONAP, UVG, URL, 2012).

However, the progress made to date, it is considered important to update the REL/RL in order to include evaluations to 2014 and 2016 and thus comply with the requirements of the FCPF methodological framework and the Letter of Intent with the Carbon Fund. These activities are carried out so that, in this way, the formulation of the ER-PD proposal is carried out in accordance with the updated REL/RL. These were built to obtain information on REDD+ measures: reducing emissions from avoided deforestation, reducing emissions from forest degradation, and increasing carbon stocks in forests and other land uses. For this purpose, the country has decided that the period of the reference level is from 2001-2010. To facilitate the development of reference levels, five REDD+ regions were determined, which together cover the entire national territory: i) Northern Lowlands (TBN – Northern Lower Lands – TBN – *for its acronym in Spanish*), ii) Sarstún-Motagua, iii) Central-East, iv) West and v) South Coast (see Figure 9).



Figure 9. Map of REDD+ regions for Guatemala

Source: page 26 from Reference Emissions Level/Reference Level (GCI, 2018)

<sup>31</sup> In March 2010 an agreement was signed between MARN, CONAP, INAB and UVG (academia) to formalize the creation of the Forestry Mapping Group; This agreement was extended to include new institutions: MAGA, URL, USAC, IGN and SEGEPLAN



## Conceptual Framework

### Operational Definitions

The estimation of the reference levels required the elaboration of definitions of strategies that would allow the technical operation in the obtaining of the activity data and the calculation of the emissions. The definitions are the following:

#### Tree

Woody plant with stem and defined cup with secondary growth that in its state of maturity reaches a minimum height of 5 meters and a minimum diameter of 10 cm. Considerations:

- Palms and bamboo species, which are species that do not have secondary growth and do not have a woody part, are excluded from the tree concept;
- Species that are branched from their base are not considered as trees, which must have a defined stem, category such as shrub;
- Consider that the thresholds can be revised. To consider for ecological aspects especially of humidity can be minor;
- Diameter measured at 1.3 meters above ground level

#### Forest

Surface continues with dominant cover of trees with minimum canopy coverage of 30%, forming a mass of a minimum of 0.5 hectares and minimum width of 60 meters.

#### Deforestation

It is the area classified as Forest at the beginning of the period and that was converted to another category not considered as forest at the end of the period, due to anthropogenic causes.

#### Degradation

It is the reduction of carbon stocks in forests caused by unsustainable anthropogenic activities (fire, extraction of wood and wood).

#### Increases in the Existence of Forest Carbon

Increase in carbon stocks in areas subject to a change in coverage from non-forest to forest, to forest plantations, or to SAF of interest<sup>32</sup>; and increase of carbon stocks in forests that remain as forests.

#### Scale

The scale was established in accordance with decision 1/CP.16 paragraph 71 of the UNFCCC. The REL/RL has a national scale. To facilitate the development of the reference levels, the subnational regions defined in the country were used (see Figure 7). These REDD + regions were established considering topographical, environmental, social, and other characteristics.

#### Reference Period

The emissions and removals estimations were defined for the period 2001-2010. The selection of this time series corresponds to the period of the national maps of Forest Dynamics (2001-2006 and 2006-2010) and Maps of Forest Coverage and Uses of the Earth (2001, 2006 and 2010) that are the basis for obtaining the activity data of the changes in coverage, forest fires and increases in carbon sinks. It is planned to update the emission estimates for what will be included in the years 2014-2016. Additionally, the weighted temporality was calculated from the dates of the images for each mapping project, that is, the temporality of the satellite images obtained for the period 2001-2006.

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<sup>32</sup> As in the case of coffee managed under shade, which has a forest coverage of not less than 30%

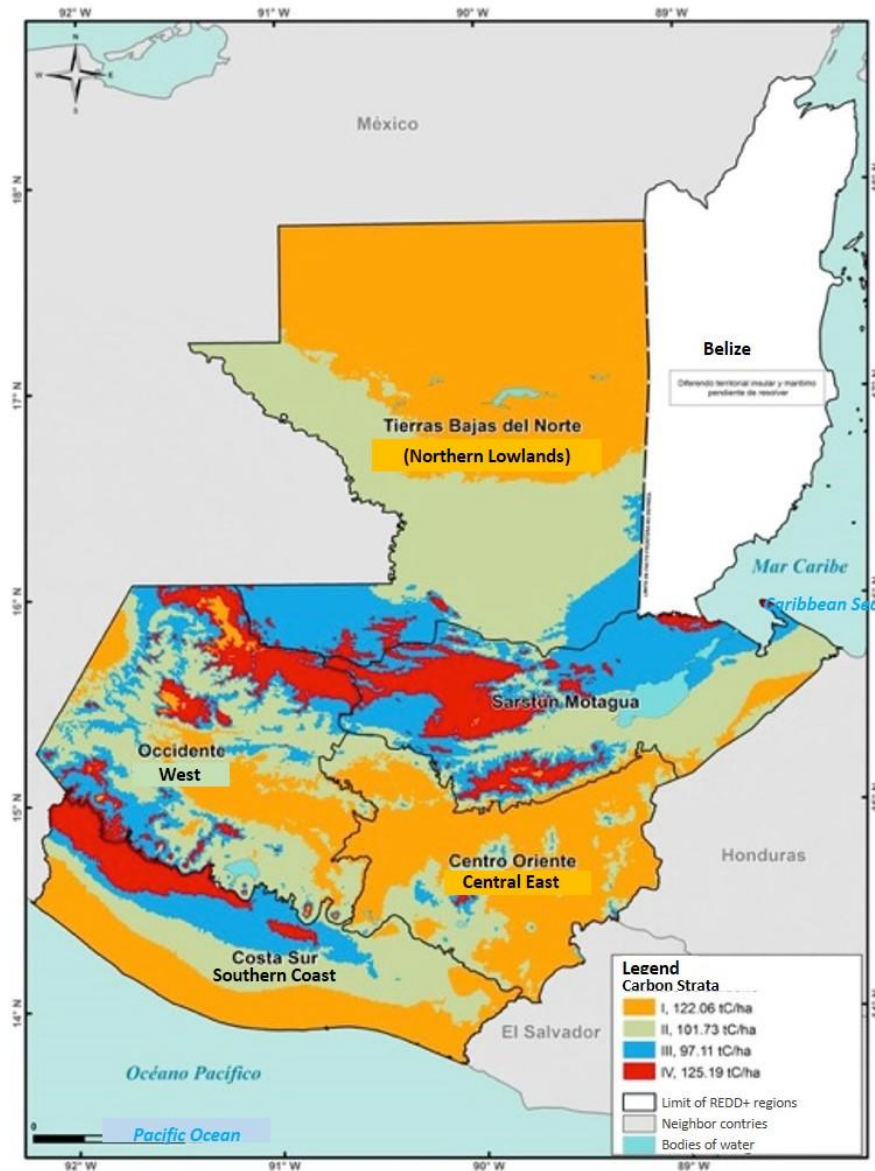
However, it is planned to estimate the emissions to the years after the years of the reference period (until 2016), within the framework of the National Emissions Reduction Program (ERPD) with the Carbon Fund in accordance with what is established in the Letter of Intent (LOI).

**Approach**

Guatemala adopted the "activity-based approach" and will be carried out through the analysis of medium-resolution satellite images for both the calculation of emissions from deforestation and the calculation of forest fire degradation estimates.

**Map of Carbon Strata**

With information on biomass stocks in forest lands, the Carbon Stratus Map was generated, information that served as a basis for the REL/RL estimates (see Figure 10).



**Figure 10. Map of Carbon stratification in the forests of Guatemala**  
 Source: page 33 from Reference Emissions Level/ Reference Level (GCI, 2018)

This map is the result of the compilation of information from forest inventories carried out in natural forests. In this analysis, statistics were taken for the calculation of  $t\ C\ ha^{-1}$ , of the aerial and underground biomass, using the ombrothermic index layer that incorporates the variables of precipitation and temperature.

In the analysis the allometric equations were used according to the REDD+ Regions, for carbon stratification, which were generated at the country level, with the support of the Universidad del Valle de Guatemala and studies carried out in the Maya Biosphere Reserve. In total, 2 306 well-treated plots were used, which vary in size and range from 0.02 to 1 hectare.

The statistical analyzes were carried out to generate the statistically significant strata, using the estimation of tons of carbon per hectare, applying nonparametric statistical tests, since the data do not present a normal distribution and the plots come from different sources of information. Likewise, the medians were calculated for each of the strata, modeling with the Monte Carlo method of each of the plots according to the size and location within the carbon stratification (see Table 14).

**Table 14. Biomass Inventories Before Land Conversion (*B<sub>BEFORE</sub>*)**

| Stratum | Horizons of ombrothermic indexes   | Existence of biomass (ton biomass/ha) | Existence of forest carbon ton C/ha) |
|---------|--|---------------------------------------|--------------------------------------|
| I       | Upper semi-arid<br>Dry lower<br>Dry superior<br>Subhumid inferior<br>Subhumid superior<br>Hyperhumid superior<br>Ultra-wet | 259.70                                | 122.10                               |
| II      | Lower wet  | 216.40                                | 101.70                               |
| III     | Superior wet   | 206.60                                | 97.10                                |
| IV      | Syperhumid inferior  | 266.40                                | 125.20                               |

Source: page 34 from Reference Emissions Level/Reference Level (GCI, 2018)

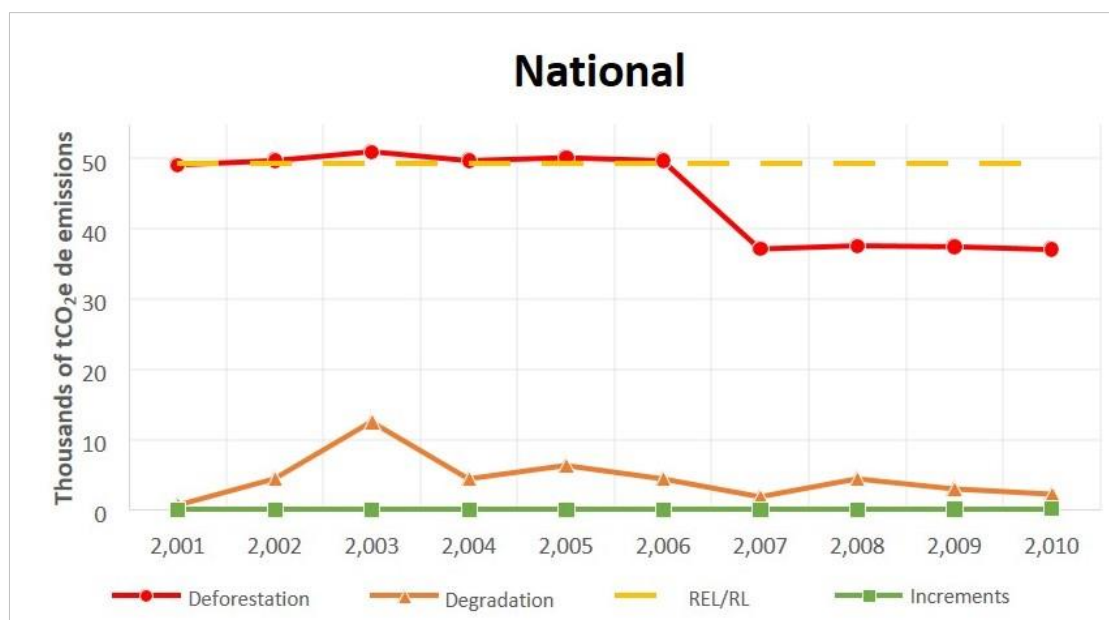
## REFERENCE LEVELS

### National Total Reference Level

The REL/RL for Guatemala indicates that there is a net flow of emissions equivalent to 49.3 million tons of CO<sub>2</sub>e per year, a value that represents the annual historical average for the country (see Annex: NREF/NRF). Of the total GHG flow observed in the reference period, deforestation represents the main flow, with 91.06% of the total flow, equivalent to 44.98 million tCO<sub>2</sub>e emitted per year, followed by fire degradation representing 9.02% of the total, with 4.46 million tCO<sub>2</sub>e issued per year, and increases in carbon reserves that represent an absorption of -0.08% with a total of 0.04 million tCO<sub>2</sub>e absorbed per year (see Table 15 and Figure 11).

**Table 15. GHG flow by measured REDD+ activity at national level**

| REDD+ Activity     | REL/RL (tCO <sub>2</sub> e year <sup>-1</sup> ) | Emissions % |
|--------------------|---|-------------|
| NREF Deforestación | 44 983 335.2                                    | 91.06%      |
| NREF Degradación   | 4 455 106.6                                     | 9.02%       |
| NREF Aumentos      | -39 893.5                                       | -0.08%      |
| REL/RL             | 49 398 548.3                                    | 100%        |


**Figure 11. Emissions Per Year at National Level, During the Period and Average Reference Level Results**

The distribution of the emission flow in the country varies from one region to another. The highest contribution of emissions at the national reference level corresponds to the sub-national region of REDD + the Northern Lowlands (TBN) with 54.4% of emissions (including flows from deforestation and forest degradation) and 41% of the flow from the increase in carbon stocks. It is followed by the Western subregion, with 17% of total emissions and 27% of carbon stock increases (see Table 16).

**Table 16. Emissions and annual increases by REDD + region during the reference period**

| REDD+ Region            | REL def/deg (tCO <sub>2</sub> e year <sup>-1</sup> ) | RL Incr (tCO <sub>2</sub> e year <sup>-1</sup> ) | REL/RL (tCO <sub>2</sub> e year <sup>-1</sup> ) |
|-------------------------|--|--|---|
| Central East            | 5 100 818  | -4 085.59  | 5 096 733                                       |
| Southern Coast          | 2 662 366  | -6 768.00  | 2 655 598                                       |
| West                    | 8 204 602  | -10 550.13                                       | 8 194 052                                       |
| Sarstún Motagua         | 6 556 518  | -2 095.55  | 6 554 422                                       |
| Tierras Bajas del Norte | 26 914 137   | -16 394.22                                       | 26 897 743                                      |
| <b>Total</b>            | <b>49 438 442</b>                                    | <b>-39 893.49</b>                                | <b>49 398 548</b>                               |

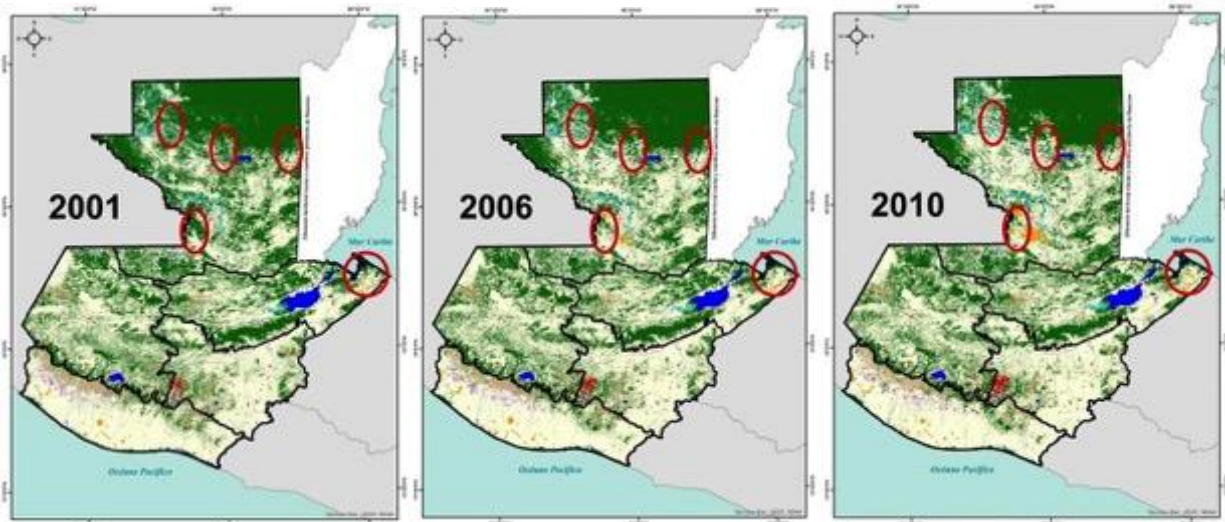
### Deforestation Reference Level

Total emissions of CO<sub>2</sub>e for deforestation nationwide are 44 983 335 tCO<sub>2</sub>e per year, of which 50.97% corresponds to the Northern Lowlands region followed by the Western (17.80%) and Sarstún - Motagua (14.28%) regions, being the 3 highest values nationally. Table 17 shows the annual CO<sub>2</sub>e emission values by region during the reference period for the deforestation activity.

**Table 17. Emissions by REDD + region (includes land conversion + Forest Fires)**

| Deforestation by Region<br>2001-2010 Period | Area<br>ha     | CO <sub>2</sub><br>Emissions<br>(tCO <sub>2</sub> e year <sup>-1</sup> ) | No-CO <sub>2</sub> Gas<br>Emissions<br>(tCO <sub>2</sub> e year <sup>-1</sup> ) | Total Emissions<br>(tCO <sub>2</sub> e year <sup>-1</sup> ) | Percentage<br>% |
|---|----------------|--|---|---|-----------------|
| Southern Coast                              | 7 382          | 2 622 576  | 17 145  | 2 639 720   | 5.87%           |
| Central East                                | 12 500         | 4 961 159  | 21 832  | 4 982 992   | 11.08%          |
| Sarstún Motagua                             | 17 151         | 6 380 921  | 42 793  | 6 423 715   | 14.28%          |
| West  | 20 996         | 7 991 101  | 15 758  | 8 006 859   | 17.80%          |
| Tierras Bajas del Norte                     | 57 763         | 22 137 630   | 792 419   | 22 930 049  | 50.97%          |
| <b>Total</b>                                | <b>115 792</b> | <b>44 093 388</b>  | <b>889 948</b>  | <b>44 983 335</b>   | <b>100%</b>     |

The Central East and the South Coast regions contribute with 11.08 and 5.87% of the CO<sub>2</sub>e emissions of the national total. The following graph shows the emissions due to deforestation for the reference period for each of the five Regions (see Figure 12).



**Figure 12. Main deforestation hot spots in Guatemala, period 2001-2010**

In the dynamics of emissions by category of conversion (Forest to Other Non-Forest Uses), 97.45% of the emissions correspond to changes in the category of Forest Lands to Agricultural Lands, equivalent to 42 970 368 tCO<sub>2</sub>e per year during the reference period (See Table 18).

**Table 18. Reference level for deforestation due to forest land conversion (2001-2010)\***

| Conversion of Forest Lands        | Area ha        | CO <sub>2</sub> Emissions (tCO <sub>2</sub> e year <sup>-1</sup> ) | Percentage % |
|-----------------------------------|----------------|--|--------------|
| Forest Lands → Other Lands        | 95             | 41 416   | 0.09%        |
| Forest Lands → Settlements        | 206            | 87 415   | 0.20%        |
| Forest Lands → Rubber             | 687            | 128 998  | 0.29%        |
| Forest Lands → Palm               | 1,648          | 313 501  | 0.71%        |
| Forest Lands → Coffee             | 1,893          | 551 690  | 1.25%        |
| Forest Lands → Agricultural Lands | 111,261        | 42 970 368   | 97.45%       |
| <b>Total</b>                      | <b>115,792</b> | <b>44 093 388</b>  | <b>100%</b>  |

\*Note: Non-CO<sub>2</sub> gas emissions are not included in this table. Only 2% of the total emissions from deforestation caused by fires are composed of these and, therefore, are not considered significant.

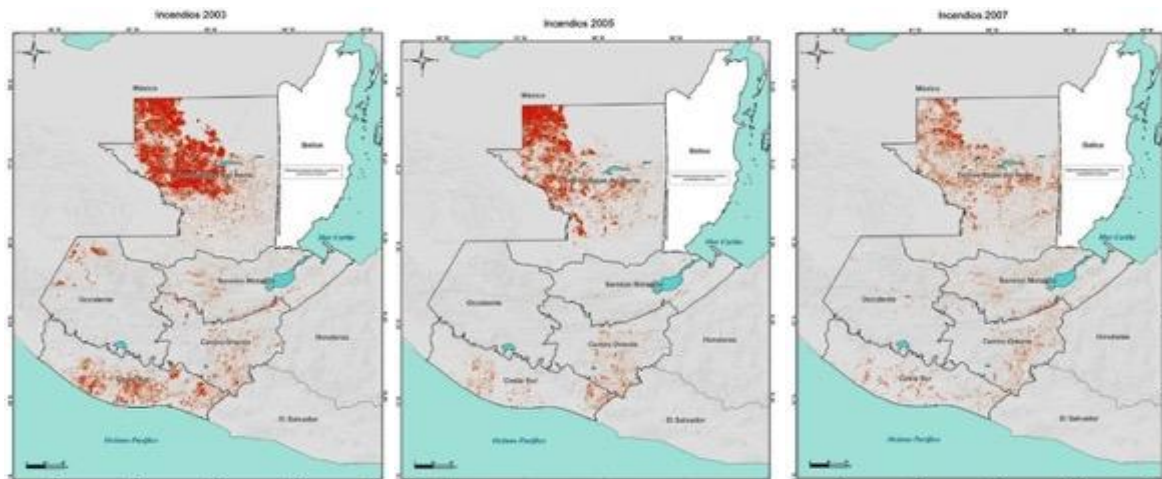
### Degradation Reference Level Due to Forest fires

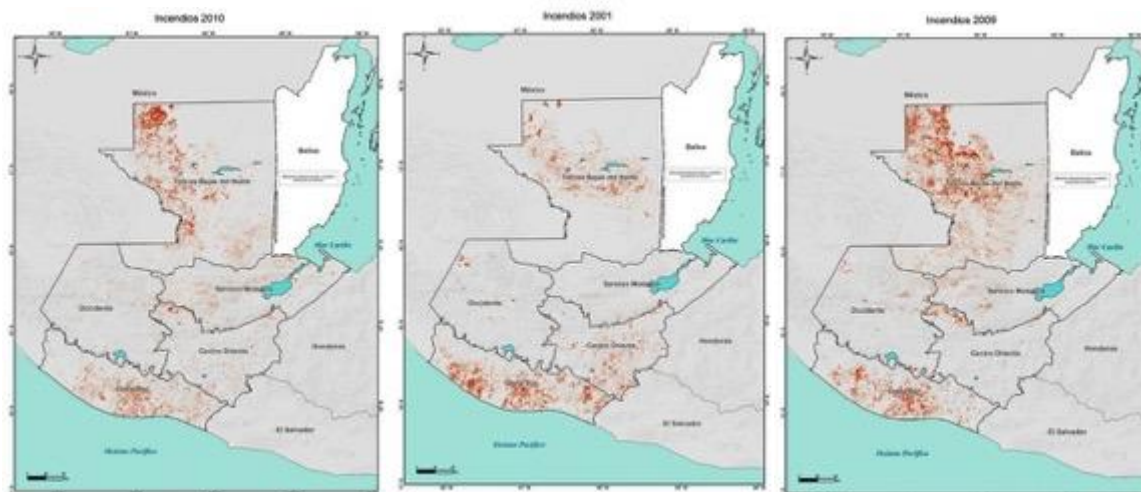
The forest fires caused emissions of 4 455 106 tons of CO<sub>2</sub>e per year in forest areas during the reference period. The Northern Lowlands region presented the highest emissions with 89.43% of total emissions (see Table 19 and Figure 13).

**Table 19. Emissions from Forest Fires by Subnational Region During Reference Period**

| Degradation by Region Periodo 2001-2010 | ha -year        | tCO <sub>2</sub> eq-year | tCO <sub>2</sub> eq-year (CH <sub>4</sub> ) | tCO <sub>2</sub> eq-year (N <sub>2</sub> O) | Emissions T        | Percentage % |
|---|-----------------|--------------------------|---|---|--------------------|--------------|
| Southern Coast                          | 383.1           | 19 623.1                 | 2 364.7                                     | 658.2                                       | 22 646.1           | 0.51%        |
| West                                    | 3 505.4         | 171 347.3                | 20 648.4                                    | 5 747.7                                     | 197 743.4          | 4.44%        |
| Central East                            | 1 886.2         | 102 098.0                | 12 303.5                                    | 3 424.8                                     | 117 826.3          | 2.64%        |
| Tierras Bajas del Norte                 | 62 570.6        | 3 452 264.4              | 416 019.7                                   | 115 803.8                                   | 3 984 087.9        | 89.43%       |
| Sarstún Motagua                         | 2 252.4         | 115 075.4                | 13 867.3                                    | 3 860.1                                     | 132 802.8          | 2.98%        |
| <b>Average</b>                          | <b>70 597.7</b> | <b>3,860,408.2</b>       | <b>465 203.6</b>                            | <b>129 494.7</b>                            | <b>4 455 106.6</b> | <b>100%</b>  |

\* The emissions of non-CO<sub>2</sub> gases are converted to CO<sub>2</sub>e for the sum of total emissions.





**Figure 13. Main degradation hot spots (forest fires) in Guatemala, period 2001-2010**

Currently, reference levels of emissions from forest degradation already include analysis of the contribution of emissions due to forest fires, as a cause of degradation. However, to include the non-sustainable extraction of firewood and illegal logging, work is currently under way on a short-term work plan (first quarter of 2018) to establish whether the emissions generated by these causes are significant.

This work plan includes a medium-term dimension (second and third quarter of 2018) to have the baseline and monitoring system for this baseline of degradation due to firewood and wood felling. This plan contemplates the use of high spatial resolution images and will be executed with additional readiness funds. It is expected that the implementation of monitoring for these aspects will be carried out in 2019.

### Enhancing Carbon Stock Reference Level

The increase in stocks in the forest areas planted by the PINFOR and PINPEP incentive programs resulted in captures of 39 893 tons of CO<sub>2</sub>e per year during the reference period. 41.09% of the increases come from the Tierras Bajas del Norte region, while 26.45% come from the West and 16.97% from the South Coast. The Central East and Sarstún Motagua regions report catches of 10.24 and 5.25% of CO<sub>2</sub>e of the national total (see Table 20 and Figure 14).

**Table 20. Carbon Sequestration Due to Increases in Biomass By Region, In The Reference Period**

| Increases by Region Period 2001-2010 | Average Area of Annual Increases (ha year <sup>-1</sup> ) | Increases Average (tCO <sub>2</sub> e year <sup>-1</sup> ) | Percentage %   |
|--------------------------------------|---|--|----------------|
| Center East                          | 113.19  | -4 085.59  | 10.24%         |
| Southern Coast                       | 378.71  | -6 768.00  | 16.97%         |
| West                                 | 343.86  | -10 550.13   | 26.45%         |
| Sarstún Motagua                      | 132.25  | -2 095.55  | 5.25%          |
| Tierras Bajas del Norte              | 1026.94   | -16 394.22   | 41.09%         |
| <b>Total</b>                         | <b>1994.95</b>  | <b>-39 893.49</b>  | <b>100.00%</b> |

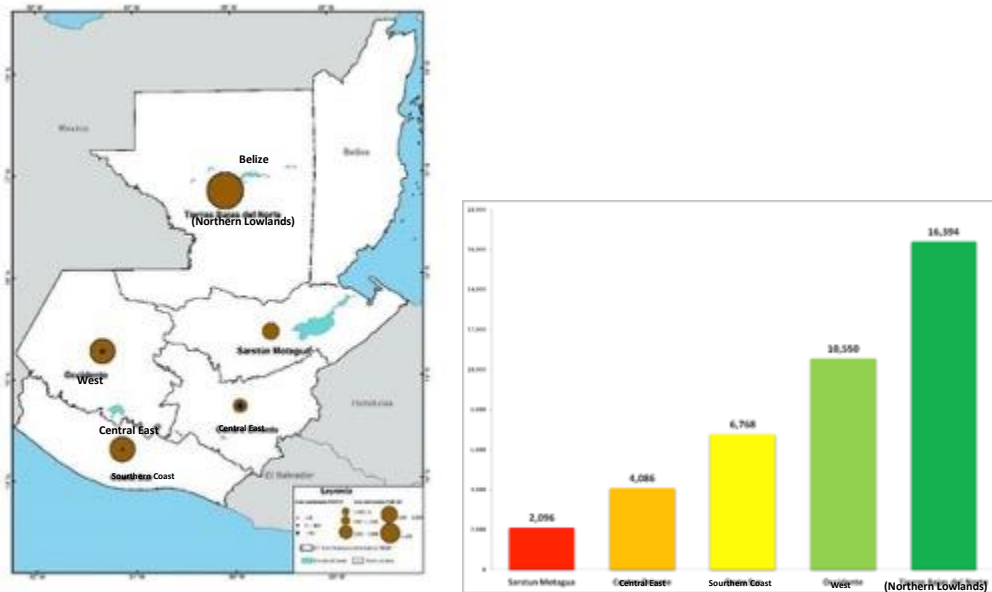


Figure 14. Carbon stock enhancing by reforestation per REDD+ region, period 2001-2010

### Uncertainties

The calculation of the uncertainties for the estimation of CO<sub>2</sub> emissions resulting from deforestation was determined by the Monte Carlo simulation, where a total uncertainty for these emissions of 3.35% was established. The uncertainty of non-CO<sub>2</sub> emissions from fires causing deforestation is 0.76% and the uncertainty of fire emissions causing degradation is 5.77%. On the other hand, the calculation in the uncertainties of the catches of increases in the country is 2.6%.

It results from adding the uncertainties of the simulations of the three activities, obtaining also an uncertainty of the final figure of net emissions in Guatemala of 49.39 million tCO<sub>2</sub>e, with a **3.27%** uncertainty (see Table 21).

Table 21. Uncertainty of Carbon Emissions and Removals by REDD+ Activities

| REDD+ Activity | REL/RL (tCO <sub>2</sub> e year <sup>-1</sup> ) | Uncertainty % |
|----------------|---|---------------|
| Deforestation  | 44 983 335                                      | 3.67          |
| Degradation    | 4 455 107                                       | 5.77          |
| Increases      | -39 893   | 2.59          |
| <b>Total</b>   | <b>49 398 548</b>                               | <b>3.27</b>   |

Uncertainty in the forest reference levels has been determined through Monte Carlo method, which is accepted by the IPCC. However, the low values estimated raises the need to review the sources, taking special consideration in the data used, the review of samples, the temporal and spatial existence of new inputs.



With FAO and Silva Carbon support, GIMBUT is carrying out an assessment for the uncertainty estimated in the reference emissions level. This support includes knowledge exchange with the National Forestry Commission of Mexico (CONAFOR), and in the first quarter of 2018 the uncertainties for the 3 baselines will be reviewed, especially for the increase of carbon stocks. With this, during the second and third quarter of 2018, the total emissions estimates will be made for the period 2001 to 2010 and extended to 2014.

This preliminary version of REL/RL it is the result of joint work led by the GIMBUT Geographic Information System (GIS) Units, which were strengthened by the GIS technical team with the resources of the IDB / FCPF and UNDP. This team was advised by Winrock International (WI) within the framework of the Climate, Nature and Communities Program in Guatemala (CNCG) funded by USAID<sup>33</sup>.

This mechanism would allow to monitor the emission reductions that are generated by the existing projects, as well as other REDD+ activities that are implemented. Both the NREF / NRF and the SIREDD + will be aligned to the Emissions National Register mechanism established by the Framework Law on Climate Change (Article 22, Decree 7-2003).

The results of this REL/RL are under internal review, prior to its approval by the GCI and will subsequently be widely socialized with interested parties. When this process is concluded, they will be submitted for review by international experts. There is documentation of the development of this process.

In parallel, the GIMBUT Geographic Information System (GIS) Units have been working on an update of the REL/RL, in anticipation of compliance with the ENDDBG schedule and as established by the FCPF Methodological Framework, updated in June 2016 and valid. In this sense, the review of the Technical Advisory Panel of the TAP established for the first quarter of 2019, implies that the REL/RL must be updated by the date closest to two years prior to said review, that is, the REL/RL must be updated to 2016. The update of the REL/RL includes the validation of coverage maps and land use change generated by Guatemala in 2014 and the preparation of a new map for 2016. The validation of these maps and the corresponding emission estimates for 2016 will be carried out later to conclude with the update of the reference levels.

It is planned to incorporate the use of LIDAR technology (Laser Imaging Detection and Ranging) in the land use mapping systems, which would imply greater efficiency in the use of resources, technical and financial, as well as shorter times of information processing. To improve the scalability of emission reduction estimates based on updated maps, it is expected that the use of this technology will contribute to the reduction of uncertainty in estimates of emissions from deforestation, forest degradation and carbon increases. This type of technology has been widely considered by other countries<sup>34</sup> who, like Guatemala, seek to improve the accuracy of their emissions inventories.

As part of the improvement plan for information collection and processing systems for the updating of the reference levels, and mainly for the design of the proposal for the Project Document for the Emissions Reduction (ERPD), with the additional readiness funds work will also be carried out to:

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<sup>33</sup> Consortium formed by Rainforest Alliance (RA), Fundación Defensores de la Naturaleza (FDN – *for its acronym in Spanish*), World Wildlife Fund (WWF), The Nature Conservancy (TNC), Asociación Sotz'il, Asociación Guatemalteca de Exportadores (AGEXPORT – *for its acronym in Spanish*), Counterpart International (CI) y el Centro de Estudios Ambientales y Biodiversidad de la Universidad del Valle de Guatemala (CEAB-UVG – *for its acronym in Spanish*).

<sup>34</sup> Nepal (for future verifications of its forest reference level); Democratic Republic of the Congo (to prepare carbon maps); Costa Rica (for the monitoring of deforestation, reforestation / secondary regeneration and degradation).

- Expand the analysis of forest degradation, with the aim of addressing other causes of degradation different from forest fires. This implies carrying out a complete and detailed analysis of the drivers of forest degradation, which must be spatially explicit, for which purpose, a roadmap with concrete activities must be established to generate short-term inputs for the forest management lines. Reference of forest degradation and future models for their updating, likewise, for the establishment of efficient forest degradation monitoring systems.
- Complete the land cover and land use mapping updated to 2016, for which it is proposed to use two scales, 1:50 000 using medium resolution sensors such as Landsat 8 and 1:25 000 using high resolution sensors. This proposal is since the reference period currently used 2000-2010 for the construction of reference levels leaves an information gap to date. It must be borne in mind that prior to initiating the monitoring events, it is necessary to update the reference levels, and thus comply with the FCPF methodological framework.

## Component 4: Monitoring Systems for Forests and Safeguards

### Subcomponent 4a: National Forest Monitoring System and Subcomponent 4b: Information Systems for Multiple Benefits, Other Impacts, Governance and Safeguards

Guatemala, in order to facilitate social access and dissemination of information on forest monitoring and information on safeguards to multiple stakeholders (IP (Interested Parties – IP – for its acronym in Spanish), improve and facilitate the management and coordination of systems among the GCI institutions, and as well as avoiding high costs in the design and maintenance of the system, decided to build a unified system that integrates the two monitoring and information systems proposed for component 4 of the R-PP proposal submitted to the FCPF, that is, Subcomponent: 4a . "National Forest Monitoring System" and Subcomponent: 4b. "Information Systems for Multiple Benefits, Other Impacts, Governance and Safeguards".

This system was designed in coordination with the GCI, GIMBUT and other interested parties, to ensure its institutionalization and approval. As a result of this process, the conceptualization and design of the National Information System for GHG Emissions, Multiple Benefits, Other Impacts, Governance and REDD+ Safeguards, also known as the National REDD + Information System (SIREDD+ - for its acronym in Spanish), was achieved. Specifically, SIREDD+ corresponds to the fourth component of the National REDD+ Strategy, focused on the development of "Systems for Forest Monitoring and Information on Safeguards with its two subcomponents: a) Forest Monitoring System and b) Information Systems for Multiple Benefits, Other Impacts, Management and Safeguards"(see Annex: SIREDD+).

SIREDD+ is a tool that will allow the country to fulfill certain functions for reporting information on the National Monitoring, Reporting and Verification System (MRV – for its acronym in Spanish) of Guatemala's REDD+ Strategy, both for the information component on GHG emissions and removals, as for the component of non-carbon variables (REDD+ Safeguards, Multiple Benefits, Other Impacts and Management). In this sense, the SIREDD+ was conceived as a repository of information on REDD+, which considers information on: a) Accounting for emissions and removals of greenhouse gases from REDD+ activities; b) Compliance with the approach and respect of the safeguards in the implementation of REDD+ activities; and c) Reports of Multiple Benefits, Other Impacts and Management.

For its design and implementation, the guidelines of the UNFCCC and the FCPF, and Guatemala's legal framework on forestry and environmental matters, especially the existing information systems, were considered. For this reason, the SIREDD+ is considered an information input that will help feed the National Information System on Climate Change (SNICC – *for its acronym in Spanish*)<sup>35</sup> in the mitigation component as part of the Agriculture, Forestry and Other Land Use sector, which will be fed by relevant systems or sources of information included in the monitoring component of the National System of MRV. This means that the SIREDD+ will not create new information, only raw information will be disseminated and/or processed or analyzed by the competent entities.

SIREDD+ is part of the National Information System on Climate Change (SNICC) in its component of the National System of Monitoring, Reporting and Verification of the AFOLU Sector in Guatemala (National System of MRV-REDD+) in the Reporting part (see Figure 15).

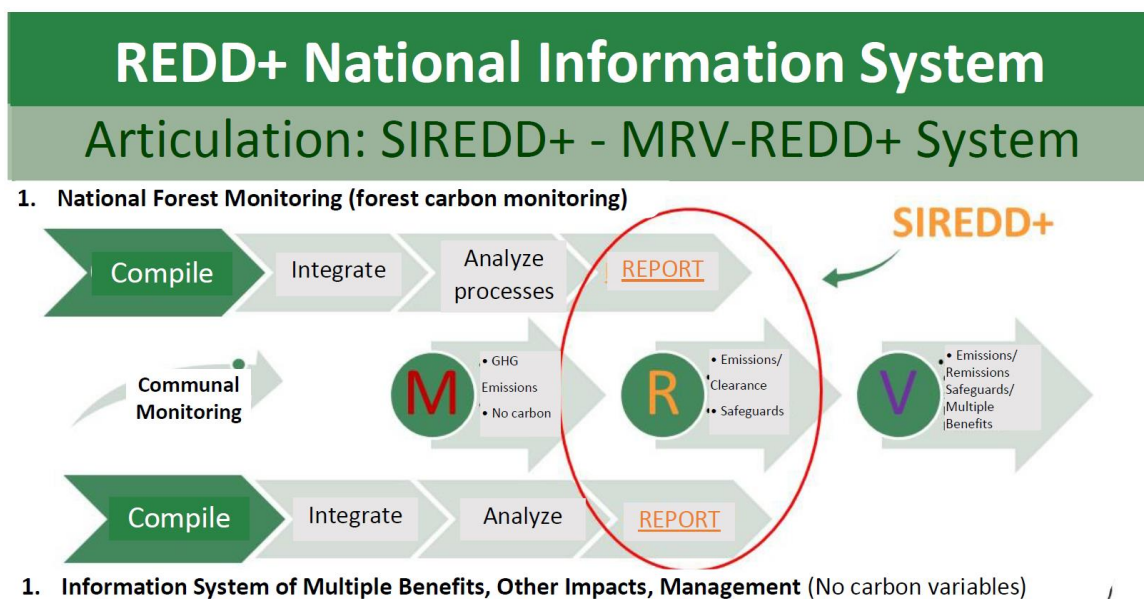
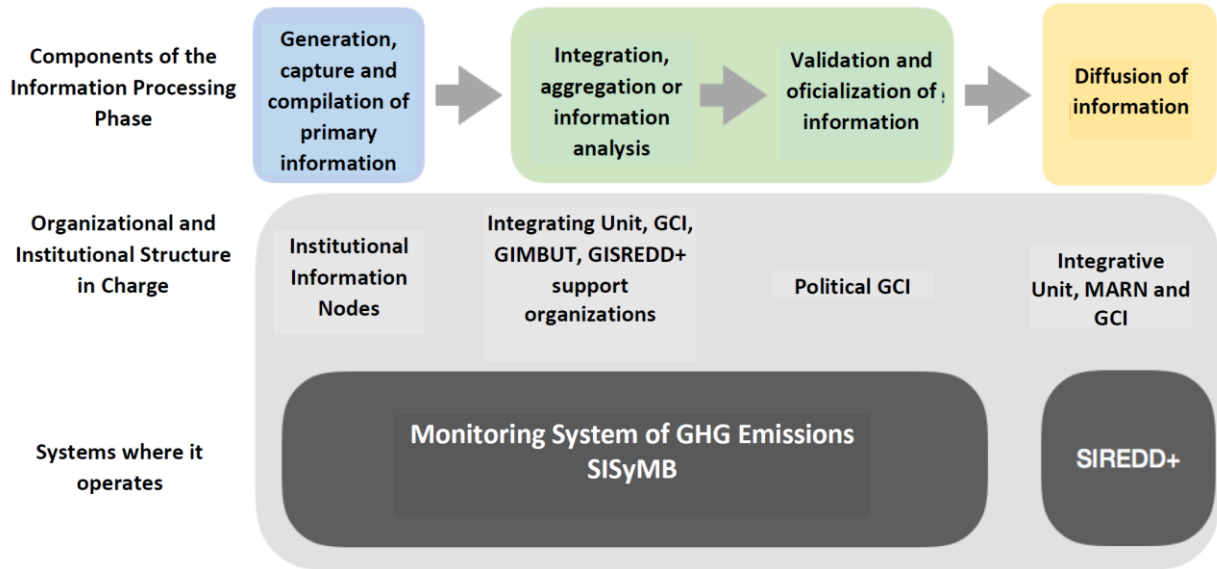


Figure 15. Articulation of SIREDD+ With the National System of MRV

In the context of SIREDD+, the first three components of the information processing phase refer to actions and institutional arrangements already established in the GHG and SISyMB emissions monitoring system, and that the information dissemination component is SIREDD+'s responsibility, which shows the importance of the articulation of these systems in terms of established governance (see Figure 16).

<sup>35</sup> Created by article 9 of the Framework Law on Climate Change (Decree 7-2013).



**Figure 16. Functions and Responsible Entities for the Processing of SIREDD+ Information**

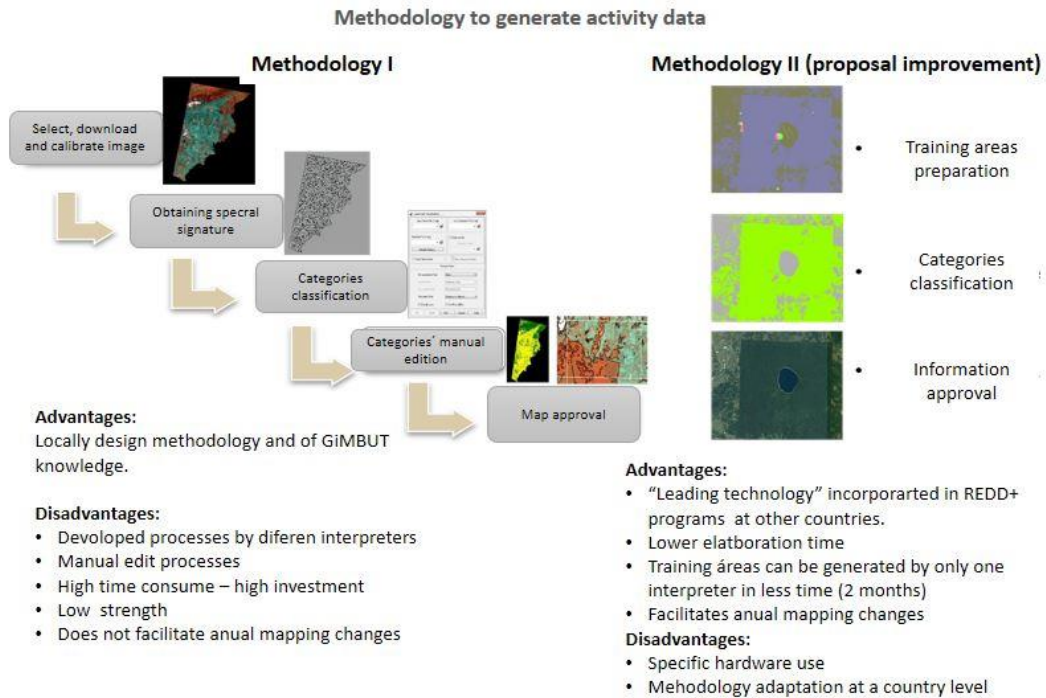
The REL/RL being built and the MRV System include the calculation of the results of the REDD+ measures will be implemented, as well as the non-carbon variables (safeguards, multiple benefits, management) of special importance. This mechanism would allow to monitor the emission reductions that are generated by the existing projects, as well as other REDD + activities that are implemented, avoiding double counting.

Both the NREF / NRF and the SIREDD + will be aligned to the emissions registration mechanism established by the Framework Law on Climate Change (Article 22, Decree 7-2003). The REDD + registry will be designed with additional funding and will be anchored to the National REDD + Information System (SIREDD +) in which all information related to the strategy will be available (emissions, safeguards, multiple benefits, other impacts, management and safeguards).

**Emissions monitoring and report:**

The MRV system proposal entails 3 components: monitoring, reporting and verification, each of which involves different activities and processes, which are addressed independently and at different times. Regarding Monitoring, there is a scheme that establishes the types of monitoring that will be carried out: the emissions and removals for the different land uses, and the compliance with the non-carbon variables.

The monitoring approach consists in generating activity data through the analysis of medium resolution satellite images. It is contemplated in the medium term to use advanced technology to obtain deforestation and degradation data more efficiently with the support of the University of Maryland, which is in a testing and validation phase by GIMBUT.



**Figure 17. Methodologies to generate activity data. Source: GIMBUT, 2017**

The calculation of the emissions resulting from deforestation is estimated through land use and post-deforestation maps under MAGA responsibility, who must update those maps every two years. The inputs for this are the forest cover maps at the national level by INAB, who coordinates with CONAP for mapping the forest cover within protected areas. The following figure illustrates the methodology used and the methodological improvement proposal developed by the University of Maryland.

To generate activity data due to forest fire degradation, the SIGMA methodology developed by CONAP in collaboration with INAB, CONRED and SIPECIF was used. This methodology consists in the identification of the months with highest occurrence of heat points by means of the MODIS sensor, with which the search, selection and download of the Landsat images (5 and 7) and 8 for monitoring are guided. Subsequently, the composition of bands and conversion of the radiometric resolution is made by means of the Non-Supervised Classification of an isodata of 25 classes for the identification of fires. Then pure classes and mixed classes of fires are classified, and a reclassification of the image is made, then a regrouping and elimination of pixels is done not less than groups of 4 pixels, the image is converted to vector and the scars of fire are manually edited, this process refers to the elimination of polygons that were misclassified as fires. After editing the vector layers of each of the images, they are subjected to a validation process

For this, the monitoring period has been planned annually, although for years prior to 2014 the availability of good quality LANSAT images will define the analysis periods. For degradation due to illegal extraction of firewood and wood felling, a short-term plan is currently being worked on, and which will allow, in addition to the baseline, the monitoring system that will consider the baseline proposals and monitoring plans contemplated in the National Forest Landscape Restoration Strategy.

To generate the activity data by enhancing carbon stocks, an estimate is made of the historical CO<sub>2</sub> removals in the plantations that are incentivized by PINFOR and PINPEP, which are recorded and monitored by INAB through data records, tabular measures contemplated in the modalities of reforestation and establishment of agroforestry systems. This monitoring is carried out by INAB and it is reported through the Forest Statistical Information System of Guatemala (SIFGUA) and the Fiscalization Department and national accounts (budget allocated for this purpose).

The following table describes in more detail the distribution of responsibilities for monitoring:

**Table 22. Distribution of responsibilities by thematic competence of the GCI institutions**

| Institución | Actividades a nivel nacional  | Vínculos a nivel nacional  |
|-------------|---|--|
| INAB        | <ul style="list-style-type: none"> <li>• Mapas de Cobertura Forestal a nivel nacional, excepto la Región Tierras Bajas del Norte (TBN) y Sarstún Motagua (SM).</li> <li>• Inventario Nacional Forestal</li> <li>• Estimaciones del contenido de carbono para la medida de degradación a nivel nacional vinculadas al uso de la leña y la tala selectiva lícita e ilícita. INAB se deberá coordinar con CONAP para apoyar las estimaciones en el mapa de densidades de carbono.</li> <li>• Estimación de remociones por incremento de stocks de carbono a nivel nacional, a través de manejo forestal y reforestación (manejo de bosque natural, plantaciones, SAF, incentivos forestales) y regeneración natural.</li> </ul>  | Nueve oficinas regionales y 33 oficinas sub-regionales que cubren todo el territorio nacional.   |
| CONAP       | <ul style="list-style-type: none"> <li>• Mapa de densidades de carbono a nivel nacional para las tres modalidades REDD+, a partir de la estratificación de la cobertura forestal en áreas homogéneas en contenido de carbono.</li> <li>• Estimaciones del contenido de carbono para la modalidad de deforestación vinculada al cambio de uso de la tierra y la pérdida de la cobertura forestal.</li> <li>• Estimaciones del contenido de carbono para la modalidad de degradación a nivel nacional, vinculada a incendios, para lo cual generará datos de cicatrices de fuego e información por factores de emisión.</li> <li>• Mapa de Cobertura Forestal para la Región Tierras Bajas del Norte y Sarstún Motagua. CONAP se encargará de trasladar la información a INAB para compilar el mosaico a nivel nacional.</li> </ul> | Oficinas regionales que posee en el Altiplano Central, Altiplano Occidental, Las Verapaces, Costa Sur, Nor-oriental, Oriente, NorOccidental, Petén y Suroriental; asimismo, en el Centro de Monitoreo y Evaluación (CEMEC) ubicado en Petén. |
| MAGA        | <ul style="list-style-type: none"> <li>• Mapas de Uso de la Tierra y Usos Post-deforestación, tomando en consideración datos de carbono en cultivos y sistemas agroforestales, lo que servirá de insumo para la construcción de factores de emisión.</li> </ul>   | Se apoyaría en las oficinas departamentales a nivel nacional y en el Sistema Nacional de Extensión Rural (SNER) que posee, con oficinas en todas las municipalidades del país.   |

| Institución | Actividades a nivel nacional   | Vínculos a nivel nacional  |
|-------------|--|--|
| MARN        | <ul style="list-style-type: none"> <li>• El INAB, CONAP y MAGA integran toda la información de las actividades REDD+ bajo su responsabilidad de acuerdo a su competencia temática.</li> <li>• Toda la información ya digerida será trasladada al MARN para integrarla y sistematizarla en un informe y reportarla a la CMNUCC.</li> <li>• Además, el MARN deberá:</li> <li>• Dar acompañamiento a todas las actividades técnicas realizadas por las otras instituciones del GCI, con el propósito de estar familiarizado con los datos técnicos generados que deberán integrarse para el Reporte.</li> <li>• Homologar y asegurarse que exista coherencia en los datos presentados en los inventarios de GEI, las líneas base de emisiones para el sector UTCUTS, las Comunicaciones Nacionales y el Registro de Proyectos de Mercado de Carbono.</li> <li>• Como ente rector de la ley de cambio climático, debe velar por el cumplimiento de los artículos 19, 20 y 22 de la Ley Marco de Cambio Climático.</li> <li>• El MARN deberá contar con las capacidades técnicas para manejar los datos de cada una de las instituciones especializadas en las actividades de monitoreo.</li> </ul> | Se apoyaría en el Departamento de Ciencia y Métrica y el Departamento de Mitigación de la Unidad de Cambio Climático, así como en la Unidad de Información Ambiental y Cambio Climático. |
| GIMBUT      | Asesor: Se encargará de discutir, revisar y consensuar los resultados generados por cada una de las instituciones del GCI para las actividades de monitoreo a su cargo, de acuerdo a lo presentado anteriormente.  |  |

The definition of the sources of emission or removal of GHG and the proposed monitoring activities for their measurement, frequency with which the institutions are able to generate this information and the frequency required for the reports are presented in Table 23.

**Table 23. Definition of proposed monitoring activities for the National REDD + Strategy**

| REDD+ Activity                           | GEI Emission/Absorption | Considered Monitoring Activities for the Measurement  | Generation Frequency | Reporting Frequency |
|--|-------------------------|---|----------------------|---------------------|
| 1. Emissions Reduction for Reforestation | Land Use Change         | 1.1 Mapping of Forest Cover, Land Use, with images of medium resolution                           | 2 years              | Biannual            |
|  |                         | 1.2 Mapping of Land Use Change with minimum IPCC categories, with medium resolution images        | 2 years              |                     |
|  |                         | 1.3 Mapping Forest Cover, Land Uses and its Dynamics and Forest Types with high resolution images | 5 years              |                     |
|  |                         | 1.4 National Forest Inventory   | 5 years              |                     |
|  |                         | 1.5 Quantification of carbon densities  | 2 years              |                     |
|  | Fires                   | Cartografía de cicatrices de fuego  | Annual               | Biannual            |

|  |  |   |        |          |
|--|--|---|--------|----------|
| 2. Reduction of emissions due to degradation | Wood   | Analysis and systematization of regional databases and geospatial location  | Annual |          |
|  | Lumber   | Analysis and systematization of regional databases and geospatial location  | Annual |          |
| 3. Increase in carbon stocks                 | Reforestation and Forest Management * (Info mandatory plantations, Forestry Incentives, Forest Management and AFS) | Working with databases (Permanent Forest Measurement Plots (PPMF –for its acronym in Spanish) and remote sensing analysis                           | Annual | Biannual |
|  | Natural Regeneration*  | Working with databases (Permanent Forest Measurement Plots (PPMF –for its acronym in Spanish) and remote sensing analysis and application of models | Annual | Biannual |

Note: \* these activities are intended to be measured in the future.

Source: National Information System – SIREDD+, GCI, 2017

The purpose of this proposal of monitoring component information is the generation of information that can be verified on GHG emissions related to deforestation and forest degradation, as well as GHG removals due to an increase in carbon stocks. Within the proposal, the involvement of indigenous communities and peoples, including women and youth groups in the monitoring of non-carbon variables, is considered.

### Community monitoring:

Regarding community monitoring, this is the basis of the MRV since it provides information on the state of the forest, the dynamics of forest cover change, the natural resources associated with the ecosystem and the social and economic conditions of the communities, directly or indirectly linked with the use and exploitation of these resources. In addition, it brings with it a series of benefits for the community since it is a form of social participation that allows covering local information needs, improves transparency in the management of natural resources, and identifies existing resources and the state of conservation in the that are found.

Community monitoring seeks to generate relevant information for communities, increase their technical knowledge and generate exchange of experiences to improve the capacities of people who manage natural resources.

The integration of community monitoring, both technical monitoring of emissions and non-carbon variables, is recommended to be carried out in accordance with a classification of the communities in various categories corresponding to the capacities and strengths of each one. Depending on the characteristics of each community, this will be the capacity they have to monitor certain carbon and non-carbon variables in the field. (See table 24) The strengthening and inclusion of community monitoring will be addressed with additional resources.



Table 24. Definition for community monitoring activities for the ENDDBG

| Category  | Characteristics  | Monitoring activities  |
|---|--|--|
| A<br>Model similar to forestry concessions                    | <p>Community in forest concession.</p> <p>Decision making based on governance, with norms and guidelines established in agreement by the community.</p> <p>Experience of at least 20 years in forest management and commercial forestry.</p> <p>Knowledge in the use of forest measurement instruments.</p> <p>Knowledge in the use of instruments for water quality monitoring.</p> <p>Knowledge of flora and fauna species characteristics of the area.</p> <p>Easy access and knowledge in technology (use of computers, GIS software and remote sensors).</p> <p>High interference in political processes.<br/>Coordination with governmental institutions in charge of the management of natural resources.</p> | <p>Mapping forest cover.</p> <p>Lifting of permanent parcels in the field: forest inventories and carbon inventories.</p> <p>Verification in the field with GPS coordinate capture of forest loss and gain dynamics, by fires, illegal logging, invasions, change of land use.</p> <p>Wood volumes marketed and income from the sale of timber products.</p> <p>Functioning of forest governance structures with community participation.</p> <p>Technical assistance provided by the GCI to strengthen forest management processes.</p> <p>Incorporation of communities to forestry activity.</p> <p>Complaints of cases of non-compliance with the law (logging and illegal hunting).</p> <p>Water quality</p> <p>Underlying attitudes about forest management, through surveys.</p> |
| B<br>Similar model to the 48 Cantones Totonicapán, El Chilar. | <p>Decision making based on governance, with norms and guidelines established in agreement by the community.</p> <p>Experience of at least 20 years in forest management.</p> <p>Knowledge in the use of instruments of forest measurement.</p> <p>Knowledge in the use of instruments for water quality monitoring.</p> <p>Knowledge of flora and fauna species characteristics of the area.</p> <p>High interference in political processes.</p>   | <p>Integration of the community in decision making and public administration of the forest inside and outside protected areas through processes and structures that promote participatory democracy.</p> <p>Involvement of community leaders in collective forest management, policy making, decision making and training on forest management.</p> <p>Survey of plots in the field: forest and carbon measurement.</p> <p>Biodiversity</p> <p>Flows and water quality.</p>  |

| Category   | Characteristics   | Monitoring activities   |
|--|---|---|
|  | Coordination with governmental institutions in charge of the management of natural resources.   | <p>Verification in the field with GPS coordinate capture of forest loss and gain dynamics, by fires, illegal logging, invasions, change of land use.</p> <p>Complaints of cases of non-compliance with the law. Underlying attitudes about forest management, through surveys.</p>  |
| C<br>Model of communities with minor level of organization | <p>There is no decision making based on governance, with norms and guidelines established in agreement by the community.</p> <p>With limited experience in forest management collectively.</p> <p>Knowledge in the use of forest measurement instruments.</p> <p>Knowledge in the use of instruments for water quality monitoring.</p> <p>Knowledge of species of flora and fauna characteristic of the area.</p> | <p>Plots survey's in the field: forest and carbon measurement.</p> <p>Verification in the field with GPS coordinate capture of forest loss and gain dynamics, by fires, illegal logging, invasions, change of land use.</p> <p>Flows and water quality.</p> <p>Biodiversity Complaints of cases of non-compliance with the law.</p> <p>Underlying attitudes about forest management, through surveys.</p> |

Source: Fuentes, G. 2017 MRV Governance proposal

### Monitoring and report of safeguards and non-carbon issues:

Likewise, a document of Reporting Needs Linked to Non-Carbon Benefits and Safeguards (see in Annex: SIREDD+) was developed, comprising a matrix of indicators to report compliance with the approach and respect for REDD+ safeguards, as well as elements on non-carbon variables. The indicators matrix was developed based on the progress indicators of the National Safeguards Approach document of Guatemala, the results of the SESA and the review of indicators considered for the non-carbon variable monitoring component of the MRV System of Guatemala.

Below is an example of indicators for the safeguards report:

| Need for report by safeguard  | Indicator  | Entity | Office               |
|---|--|--------|----------------------|
| A. Description of how guidelines and options (particularly option 1) have the aim to ensure REDD+ compatibility with the purposes of the national forest and climate change policies, and to contribute to its successful implementation. | Number of national and international legislation frameworks, environmental and of gender, in the REDD+ framework, harmonized. (GCI Gender Work Path)   | MARN   | GCI Gender Work Path |
| B. Percentage of adjustments of forest governance for REDD+ that count on functional information access mechanisms  | Number of statistic information institutional mechanisms with gender and ethnic pertinence approach and in coordination with ICT's. (DFFMC – Department of Municipal and Communal Forest Strengthening; Gender)                                | INAB   | DFFMC Gender         |
| C. Description of relevant and applicable governance agreements, their application in the context of REDD+ National Strategy guidelines and options   | Number of agreements with technical schools, universities and with the Ministry of Education for the recovery and implementation of the traditional knowledge of indigenous peoples regarding forest administration on school syllabus (DFFMC) | INAB   | DFFMC                |
| D. Description of relevant and applicable governance agreements, their application in the context of REDD+ National Strategy guidelines and options   | Number of technical assistance visits to strengthen the local forest management processes in OFM's (Municipal Forest Office – OFM – <i>for its acronym in Spanish</i> ) (DFFMC)  | INAB   | DFFMC                |
| E. Description of relevant and applicable governance agreements, their application in the context of REDD+ National Strategy guidelines and options (specially options 2, 4, 6 and 7)   | Number of technical assistance visits with silver fir species (EFE; Strategic Forest Ecosystems – EFE – <i>for its acronym in Spanish</i> )  | INAB   | EFE                  |
| F. Description of relevant and applicable governance agreements, their application in the context of REDD+ National Strategy guidelines and options (specially options 2, 4, 6 and 7)   | Location and number of control points in protected areas (Management)  | CONAP  | Management           |

**Figure 18 Safeguards reporting needs (example)**

Source: National Information System – SIREDD+, GCI, 2017.

It is expected that the report of the respect and approach of the safeguards will have the following structure:

## REPORT SUMMARY OF REDD+ SAFEGUARDS IN GUATEMALA

### Executive Summary

#### I. Introduction

#### II. Information on How REDD+ Safeguards Were Specified In the Country.

- *Description interpretation process of REDD+ safeguards in the country, according to the circumstances and the national context.*
- *The process of identifying the constituent elements that comprise each REDD+ safeguard and which have been adequate according to the circumstances and context of the country (framework of country safeguards)*

#### III. Information on the approach to REDD+ safeguards in the country.

- a. *Description of the legal framework: laws, policies, regulations, plans and programs relevant to the country's safeguard framework.*
- b. *Description of the institutional framework: institutions and institutional agreements relevant to the country's safeguard framework.*
- c. *Description of information systems, dispute resolution mechanisms and non-compliance mechanisms relevant to the country's safeguard framework.*

#### IV. Information on the respect of REDD+ safeguards in Guatemala.

- *Analysis of the effectiveness of the country's governance agreements in relation to the country's safeguard framework.*
- *Analysis of the limitations for the implementation and the subsequent plans to strengthen the identified weaknesses, including capacity, financial and technical needs, in order to improve the implementation.*
- *Claims, disputes or disputes filed in relation to the application of the Cancun safeguards and the manner in which they were resolved*
- *Results of the implementation of the safeguards*

#### V. Additional Information Relevant to the Compliance With the Approach and Respect for REDD+ Safeguards.

1. *Information related to the preparation of the information summary*
2. *Information related to the process of development and design of the information system of safeguards (SIS).*
3. *Information related to the sub national application of the safeguards.*
4. *Information related to broader safeguarding processes in the country (framework of safeguards)*
5. *Other sources of information.*

#### VI. Conclusions

#### VII. Recommendations

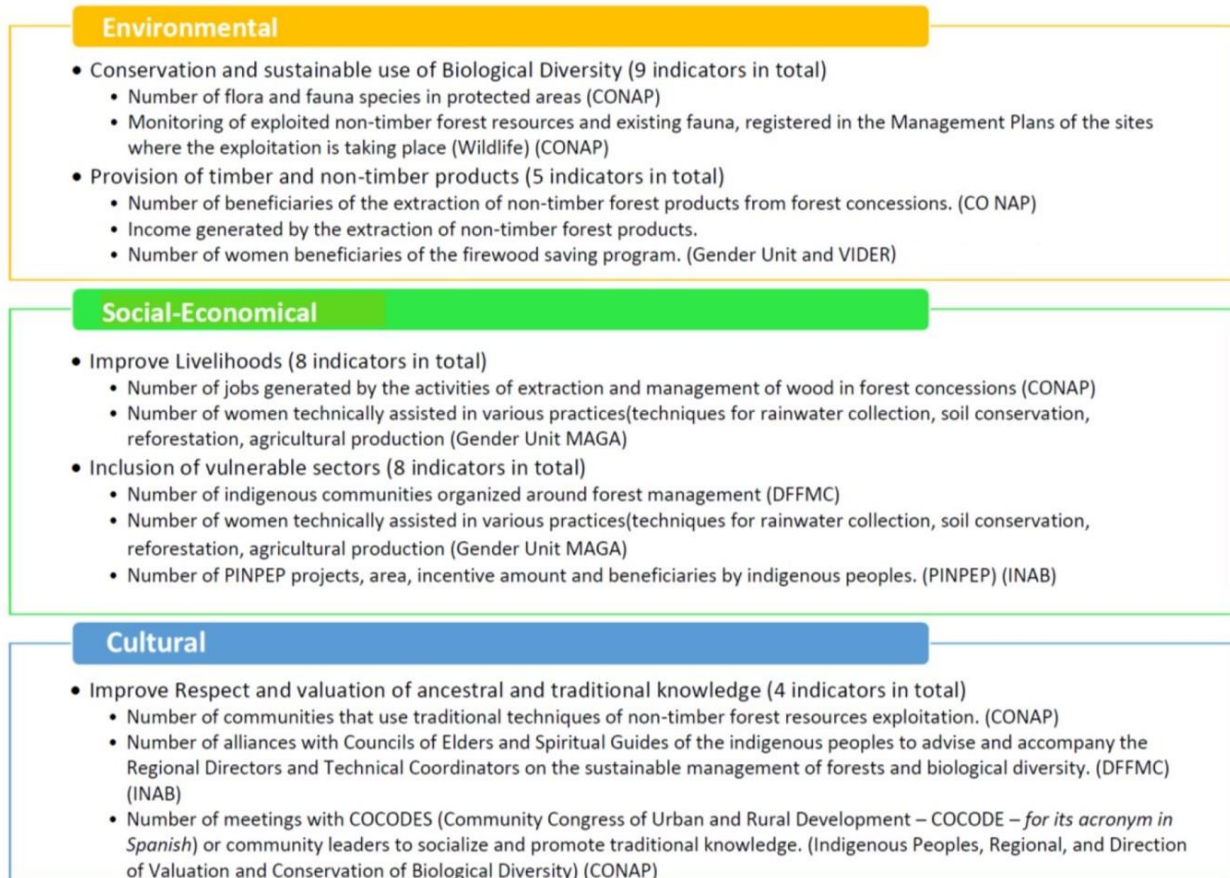
#### VIII. References

#### Annexes

Figure 19 Report structure for safeguards

Source: Information Report Methodology following the guidelines of the three UN Conventions, ICG, 2017

To monitor the generation of multiple benefits, it is proposed to use a set of indicators based on information that the GCI entities already generate (MARN, MAGA, INAB and CONAP). A prioritization of monitoring indicators has been made for this purpose (34 in total), as well as the identification of information gaps that are expected to be generated and monitored in the medium term. With these indicators, a pilot mechanism for gathering, analyzing and reporting information in the short and medium term is proposed (see Figure 20).



**Figure 20. Prioritization of Multiple Benefit Categories for the Compilation, Analysis and Reporting of Information to SIREDD+**

Source: extract from National Information System – SIREDD+, GCI, 2017.

It is expected that the monitoring report of multiple benefits will be carried out under the following structure:

## SUMMARY REPORT OF MULTIPLE REDD+ BENEFITS IN GUATEMALA

|  |
|--|
| Executive Summary  |
| I. Introduction  |
| II. Framework To Analyze REDD+ Multiple Benefits in Guatemala.   |
| III. Monitoring Approach and Report of Multiple Benefits Guatemala.  |
| IV. Report of REDD+ Multiple Benefits in Guatemala.  |
| <ul style="list-style-type: none"> <li>a. <i>Environmental benefits</i></li> <li>b. <i>Socio-economic benefits</i></li> <li>c. <i>Cultural benefits</i></li> </ul> |
| V. Recommendations to improve the monitoring and measurement of REDD+ multiple benefits in Guatemala.  |
| VI. Conclusions  |
| VII. References  |
| Annexes  |

**Figure 21 Report structure for multiple benefits**

Source: Information Report Methodology following the guidelines of the three UN Conventions, ICG, 2017


The design of SIREDD+ web platform is concluding at present. It includes strategic information of each of the components of the ENDDBG:

- What is REDD+ and what is the country's proposal,
- Results of reference levels,
- Which are the safeguards and how are they proposed?
- Results of SESA, ESMF and MIAQ,
- REDD+ Gender and Route,
- Multiple benefits and how to monitor them,
- Design and initial implementation of dialogue and participation,
  - Geoportal with reference level maps, as well as other information relevant to the process such as: maps of communal lands, linguistic groups, priority areas for restoration of the forest landscape, maps of priority watersheds, among others.


Below (see Figure 22) is an image of one of SIREDD+ modules. The final version is scheduled for February 2018 and will be published through a release along with the strategy document and the R-Package.

INICIO REDD+ EMISIONES GEI SALVAGUARDAS MULTIPLES BENEFICIOS DIALOGO Y PARTICIPACION GEOPORTAL


Inicio



Cápsulas Informativas




Community Congress of Urban and Rural Development




34.2% of the national territory is on the protected area category?

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The National Strategy to Reduce Deforestation and Forest Degradation (REDD+) seeks to generate multiple benefits including the reduction of greenhouse gas emissions (GHG) that are generated by deforesting an area or degrading a forest ...

[Continue reading...](#)



Guatemala plans to implement the following REDD+ activities: i) Reduction of emissions from deforestation, ii) Reduction of emissions from degradation and iii) Increases in forest carbon stocks; based on reference levels at national and regional level ...

[Continue reading...](#)



The safeguards are actions to avoid possible risks or social and environmental damages derived from the implementation of REDD+, as well as actions to ensure social and environmental benefits in the population and its territories ...

[Continue reading...](#)

Figure 22. Proposal for the design of the SIRRED+ portal in Guatemala



Ministerio de Ambiente  
y Recursos Naturales

Ministerio de Agricultura,  
Ganadería y Alimentación

Consejo Nacional de  
Áreas Protegidas



# Methodology for Participatory Self-Assessment of the ENDDBG Preparation Process

The methodology for the Self-assessment of multiple stakeholders for the REDD+ readiness process, arising from the development of the ENDDBG, was developed based on the evaluation criteria and questions established in the *FCPF's Guide for the Framework of Evaluation for the Preparation for REDD+*<sup>36</sup>, from which the established general guidelines were adopted, as well as the recommendations for carrying out the process in general, mainly the use of the Framework of Criteria and Guiding Questions for its adaptation to the Guatemalan context.

On this occasion, the evaluators were only stakeholders out of the public sector and the background evaluated for this process are considering information generated from the REDD+ Readiness Preparation Proposal (R-PP) in 2012, period from which Guatemala has been working on improving local capacities for the approach of deforestation and forest degradation, for which it has had the technical and financial support of the IDB and the FCPF.

This evaluation is totally different from the one performed in 2016 for the Mid Term Report. At that time, government institutions self-evaluated to see their own progress in the REDD+ readiness process<sup>37</sup>. Thus, the self-assessment held for the R-Package was carried out by non-government stakeholders but by other sectors of civil society: local communities, private sector, indigenous peoples, women's groups, NGOs, academy, local governments and others. This means the two evaluations were carried out by two different group of actors where each of them has their own perception of the progress reached.

<sup>36</sup> <https://www.forestcarbonpartnership.org/sites/fcp/files/2013/July2013/FCPC%20framework%207-25-13%20SPA%20web.pdf>

<sup>37</sup> Taken from page 2 of the Midterm Report. Available at:

[https://www.forestcarbonpartnership.org/sites/fcp/files/2016/Mar/MTR%20Guatemala\\_2016\\_Spanish.pdf](https://www.forestcarbonpartnership.org/sites/fcp/files/2016/Mar/MTR%20Guatemala_2016_Spanish.pdf)



It is normal for government people who are closer to the process to have greater knowledge, to be more involved and to have greater mastery of the information. For stakeholders, although there has been an exhaustive process of socialization, training and dissemination of information (See Annex *Socialización* in the REDD+ Subportal), due to the complexity and specificity of the topic it is a time-consuming process to understand and assimilate, and this is why in some cases the depth level of information still needs to be improved with some actors. Strengthening the knowledge and management of information is included in the planning of additional resources.

The evaluation methodology consists of qualitative variables, which generates differences in the interpretation of the level of progress represented by each of the colors. This is also a factor that can affect the evaluation process for the evaluators. However, the differences between the two evaluations instead of affecting the process is considered to enrich and strengthen it, since it helps to identify areas for improvement within the process, which must be addressed with additional funding and are also a valuable input to help the government to identify where is needed more reinforcement.

The stakeholders self-assessment is an entirely separate and independent process and there has been no intervention of government entities, but only an external actor who facilitated self-assessment allowing transparency in the process and reflecting stakeholders visions. This exhaustive and detailed exercise was carried out with actors with a high representativeness of the sectors, so it is normal that there are different opinions, but it's something that benefits the continuity of the strategy with additional resources.

The difference between the two evaluations, that is, the one made by the government for the Mid-Term Report and the self-evaluation carried out by the stakeholders for the R-Package, is a situation that has not only occurred in Guatemala, but has also been seen in other countries such as Mexico or Chile, where a similar situation occurred since the results between both evaluations showed differences regarding what the government had evaluated and what the stakeholders had evaluated.

Doing these two evaluations (with two different audiences) allows to identify gaps and other strategic aspects that should be strengthened and improved with the additional readiness funds, taking into account the visions, concerns and suggestions made by stakeholders, especially those that come from local-based organizations. In order to show the differences between both processes, the following table presents the results of both evaluations:

| Components and Subcomponents  | Self-assessment Performed by Government (IMT)  | Self-assessment Performed by Stakeholders (R-Package) |
|---|--|---|
| <b>Component 1: Readiness of Organization and Consultation</b>                                      |  |   |
| Subcomponent 1a: National REDD+ Management Arrangements   | Significant progress                           | Progressing well, further development required        |
| Subcomponent 1b: Consultation, Participation, and Outreach  | Significant progress                           | Further development required                          |
| <b>Component 2: REDD+ Strategy Preparation</b>  |  |   |
| Subcomponent 2a: Assessment of Land Use, Land-Use Change Drivers, Forest Law, Policy and Governance | Progressing well, further development required | Further development required                          |
| Subcomponent 2b: REDD+ Strategy Options   | Significant progress                           | Significant progress                                  |

|   |  |  |
|---|--|--|
| Subcomponent 2c: REDD+ Implementation Framework   | Significant progress                           | Further development required                   |
| Subcomponent 2d: Social and Environmental Impacts   | Progressing well, further development required | Progressing well, further development required |
| <b>Component 3: Reference Emissions Level / Reference Level (REL / RL)</b>                          |  |  |
| Subcomponent 3: REL / RL  | Significant progress                           | Significant progress                           |
| <b>Component 4: Monitoring Systems for Forests, and Safeguards</b>                                  |  |  |
| Subcomponent 4a: National Forest Monitoring System  | Further development required                   | Further development required                   |
| Subcomponent 4b: Information System for multiple benefits, other impacts, governance and safeguards | Further development required                   | Progressing well, further development required |

Source: Midterm Report (2016) and Multi-Stakeholder Participatory Self-Assessment (January 2018).

As planned, the overall aim of the Participatory Self-assessment was to strengthen the dialogue processes based on the participatory and methodical analysis with different stakeholders, about their responsibilities, level of participation and contribution in the readiness phase of the ENDDBG. This process allowed the participants to assess, despite the complexity and specificity of the topic, the progress made within basic activities developed towards the finalization of the preparation phase of the Guatemalan ENDDBG strategy. At the same time, it served as a space to detect areas to be improved in order to strengthen the participative preparation of the strategy through the additional readiness funds, taking into account the concerns and different perspectives of each of the stakeholders. The Self-assessment process also offered the opportunity to demonstrate the commitment of the stakeholders on REDD+ activities within the ENDDBG in Guatemala.

## Background

On early 2016, the Government of Guatemala conducted a Self-assessment exercise on its own progress towards the preparation of the strategy, which was presented to the FCPF in its Mid-Term Report. In this exercise, the Government presented the progress made in the preparation phase of the National REDD+ Strategy and requested additional funds

In January 2018, the Multi-Stakeholder Self-assessment was carried out within the REDD+ activities of Guatemala's ENDDBG, which must be developed as part of the "Readiness Package" (R-Package). Given that they are two groups of totally different actors, it is normal that the government people who are closer to the process and have greater knowledge and command of it, and in the case of the stakeholders, despite the fact that there has been a broad process of socialization, training and dissemination of information, because of the complexity and specificity of the topic, is a process that takes time to be understood and assimilate, so in some cases the level of depth in the information still needs to be improved.

For this was used the the mapping of actors identified used for the dialogue process under General Plan for Dialogue and Participation. The identified actors are part of indigenous peoples, local communities and local organizations that influence on forest management at a local level, as well, Municipalities (through their Municipal Forestry Offices and/or Municipal Management Units (UGAM – *for its acronym in Spanish*) and Municipal Women's Offices (OMM – *for its acronym in Spanish*), Commonwealths (grouped municipalities), representatives of the different levels of the Development Councils Systems (SISCODE for its acronym in Spanish), groups of women and young people who manage or influence forest management

, NGOs and community forestry networks, Universities and academia, Private companies and Government Institutions.

The Participatory Multi-Stakeholder Self-Evaluation evaluates the perception of stakeholders on the REDD+ regarding the progress in the process of preparation of the ENDDBG, the implementation framework of the same, the Reference Levels, the Forest Monitoring System and the Information System on Safeguards.

This process was carried out considering two general steps:

### 1. Construction of the Method and Evaluation Framework

The methodological process for carrying out the self-evaluation with the Stakeholders was based on the standard established for the FCPF. This method was adjusted or adapted to the Guatemalan circumstances based on the experiences and lessons learned in a pilot evaluation, in order to know and test the understanding of stakeholders about the evaluation framework provided by the FCPF. This framework has 34 criteria included in 4 components of the preparation of REDD+ activities; 58 guiding questions are used to guide interpretation and evaluation more objectively.

Clearly, for the process to be easily understood, adjustments were made to both the Evaluation Criteria and the Guiding Questions, without losing its essence. Both were adapted to national circumstances through the standardization of language and conceptualization to give consistency and continuity to the process of dialogue and national participation of the ENDDBG.

On the other hand, the questions that address elements of high technical complexity were subjected to an adjustment through the opinion of academic experts and specialized professionals (see Annex 1). This self-evaluation process is part of a fully participatory and inclusive report that reflects the perspectives and experiences of the key actors or stakeholders within the preparation process.

Based on the experience, the following steps were taken:

- a. An official invitation was sent to the Focal Point of each of the stakeholders and was cited to participate, preferably to the people who have maintained a link throughout the preparation phase of the ENDDBG process. However, on some occasions, actors from certain territories where access to information did not have a depth level that was reached in other areas, participated. This due the democratic, open and participatory process of the invitation, where the fundamental criterion is the legitimacy and autonomy of representation.
- b. Materials developed from the preparation process of the ENDDBG, derived from relevant activities, were available for consultation by any stakeholder.
- c. As the initial context of the self-assessment workshop of the REDD+ activities process within the ENDDBG, the Ministry of Environment presented the chronology of the preparation phase indicating and emphasizing the key phases and dates within the entire construction process and implementation of the strategy. This presentation served as a basis and reference for the participants regarding the most significant advances in REDD+ activities in which each stakeholder participated throughout the preparation phase of the ENDDBG.
- d. Facilitators of the workshop (an external entity) developed a clear and detailed presentation on the methodology of the self-assessment of the construction process of the ENDDBG. In this sense, feedback

is provided on the Progress Indicators proposed by the FCPF and used for the self-assessment of the ENDDBG 's construction process.

- e. The guide approved by the FCPF consists of an evaluation framework, which consists of 4 components, 9 subcomponents, 34 evaluation criteria and 58 diagnostic questions. General guidelines are provided to take into account when addressing the respective criteria.
- f. A summary of the advances and inputs that to date are held for each component in the framework of the entire preparation process of the ENDDBG was prepared.
- g. Likewise, the facilitators guided the formation of working groups made up of stakeholders, mainly integrated according to the expertise or knowledge of the four components or subcomponents defined for participatory self-evaluation.
- h. The attendees, who made the self-assessment based on the Guiding Questions, were required, within the same form or record, to supplement with additional information that would allow generating proposals to improve the ENDDBG. For this purpose, a file prepared in Microsoft Excel was developed for each Guiding Question, where they directly recorded the additional contributions within the self-evaluation process. This additional information refers mainly to:
  - include general comments
  - how gender issues and indigenous peoples have been addressed, and
  - some suggestions to improve future processes.

In addition, the speakers from each stakeholder group were asked to prioritize the relevant issues of strengthening or advancing within the process of building the ENDDBG strategy.

- i. Based on the above, each group was asked to dedicate themselves to the evaluation of each subcomponent according to their perspective and degree of knowledge.
- j. In this way, a result was obtained (product) in groups, a visual synthesis of the overall achievements or progress by Subcomponent using indicators of progress as established by the FCPF. This matrix had a subjective scale, since the qualification for each Subcomponent was represented with a color, according to the scale of colors defined above.
- k. In an organized manner, 5 groups were formed within which, in a democratic manner, they selected a rapporteur and a secretary, developing the exercise in a very effective and precise manner.
- l. At the end of the group analysis process, a plenary was developed where:
  - The results were agreed in such a way that there was only one visual synthesis for each sector.
  - The capacity of management, conduction and planning of the specific actions of REDD + was discussed in the process of the construction of the ENDDBG and the GCI and MARN's executing unit roles, as well as the involvement and participation of each one of the Stakeholders throughout the preparation phase of REDD+.
  - Information was obtained on the significant achievements and areas or components/subcomponents that require additional development regarding the 34 evaluation criteria, and actions that address the areas in which it has been determined that we must continue working in.

## 2. Integration of the Final Report, Feedback and Presentation

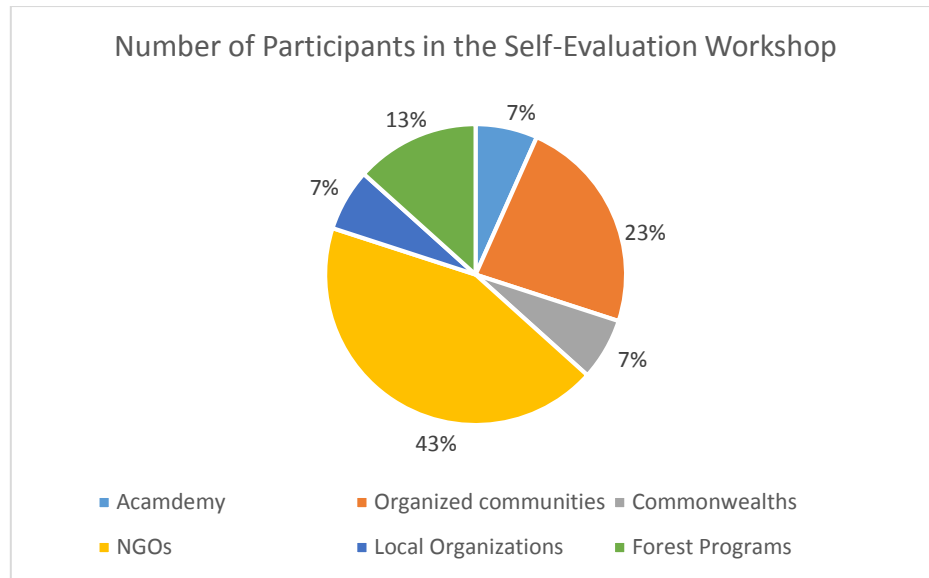
After the development of the Participatory Multi-Stakeholder Self-Assessment workshop, the corresponding results were systematized respecting the color scale and the indicators established for the process.

In this sense, the facilitator of the self-assessment workshop used these inputs or results to complete a progress report or current situation of the REDD+ preparation process within the construction of the ENDDBG, that is, how the country has progressed, the lessons learned, the weaknesses or shortcomings in the process and, mainly, the prioritization of the steps to be taken towards the end of the preparation phase. The justifications and arguments have been systematized and integrated into the results, part of this report.

# Results of the Participatory Self-Assessment

This section presents the results of the Participatory Multi-Stakeholder Self-Evaluation held in the Guatemala city on 17 January 17, 2018. This event had the approach of a national workshop and was attended by actors with a high representativeness from the areas of all the regions involved in REDD+ activities within the construction process of the ENDDBG strategy. The activity that was carried out in accordance with the work agenda included in Annex 2 of this document and with the participation of representatives of the academy, organized communities, commonwealths, local-civil organizations, NGOs and civil society representing forest platforms nationwide.

During the organization of the workshop, 101 people representing local organizations, groups and institutions that were identified during the mapping of actors were summoned. In total, 50 stakeholders participated from different sectors, including local governments, academy, members of forest communities, associations of indigenous communities, local women's organizations, non-governmental organizations, private sector and civil society, was achieved. (See figure 20) It is important to emphasize that the discussion and leadership in the development of the workshop was led by women.



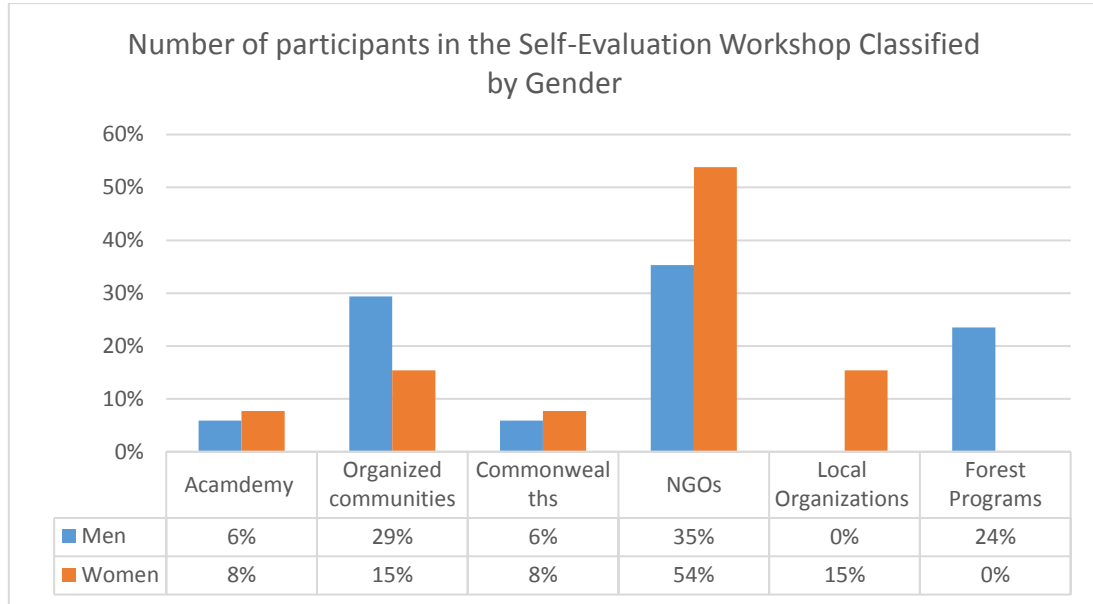
**Figure 20. Attendance of participants to the Self-Assessment workshop of the construction process of the ENDDBG strategy, January 2018.**

The dynamic of participatory evaluation of this workshop was developed in participatory and inclusive work tables for the discussion and assignment of pertinent qualifications to the components and subcomponents already defined in the methodology. In the following figures some of the work tables are displayed.



**Figure 23. Group work tables within the Self-Assessment workshop of the construction process of the ENDDBG Strategy, January 2018.**

To exemplify the participation of women and men in the workshop, Figure 21 – presented below – illustrates the representativeness percentages of men and women participation at the workshop within each sector.



**Figure 24. Attendance of participants to the Self-Assessment workshop of the construction process of the ENDDBG Strategy, classified by gender, January 2018.**

As can be seen in the previous figures, the participation was 57% men and 43% women is identified, allowing authentic feedback and evaluation with an appropriate gender approach. Taking into consideration the conditions and all the inputs obtained by the groups formed within the participatory, inclusive, democratic and legitimate process of Self-Assessment to the process of preparation of the REDD+ activities within the ENDDBG.

**GENERAL RESULTS OF THE PROCESS**

The results of this process made it possible to determine the level of progress that stakeholders interpret has been reached in Guatemala in the REDD+ preparation process. In general terms, it can be concluded that the country has made progress but there is a great demand for participation since many of the actors come from territories where they have not necessarily had such a thorough participation as has happened with other actors in central areas and with greater access to information. The results obtained in each of the subcomponents are presented below.



| <b>Component 1: Readiness of Organization and Consultation</b>                                      |  |
|---|--|
| Subcomponent 1a: National REDD+ Management Arrangements   | Progressing well, further development required |
| Subcomponent 1b: Consultation, Participation, and Outreach  | Further development required                   |
| <b>Component 2: REDD+ Strategy Preparation</b>  |  |
| Subcomponent 2a: Assessment of Land Use, Land-Use Change Drivers, Forest Law, Policy and Governance | Further development required                   |
| Subcomponent 2b: REDD+ Strategic Options  | Significant progress                           |
| Subcomponent 2c: REDD+ Implementation Framework   | Further development required                   |
| Subcomponent 2d: Social and Environmental Impacts   | Progressing well, further development required |
| <b>Component 3: Reference Emissions Level / Reference Level (REL / RL)</b>                          |  |
| Subcomponent 3: REL / RL  | Significant progress                           |
| <b>Component 4: Forest Monitoring and Information Systems on Safeguards</b>                         |  |
| Subcomponent 4a: National Forest Monitoring System  | Further development required                   |
| Subcomponent 4b: Information System for multiple benefits, other impacts, governance and safeguards | Progressing well, further development required |

Source: Workshop on Participatory Self-Assessment of the preparation of the ENDDBG, January 2018.

## ANALYSIS OF THE PARTICIPATIVE SELF-ASSESSMENT RESULTS

The results obtained with the evaluation of the stakeholders for the different components indicate that there are different levels of progress in the country, but in general terms, reflect that there is a demand to deepen the knowledge and handling of information in those territories where access to information has not had the level of depth that has occurred in areas with better access to information. Currently, significant progress has been made in the socialization of information, for example, a process of dialogue was carried out in a participatory manner to make a more accurate dialogue and to build the ENDDBG in a participatory manner. For this, the methodology developed for each territory was built from the bases with the stakeholders, taking into account the sociocultural context of each territory, and where the parties provided feedback and validated the stakeholders mapping, making a self-selection of the organizations and representatives in the regions. This has generated a greater demand to improve access to information and to continue with the dialogue for the participatory construction of the strategy, which will be carried out with the additional resources of the second phase of the readiness.

Since the beginning of the REDD+ process, a socialization and information dissemination strategy has been implemented to disclose the detailed results and analysis. The following provides the analysis of the results for each of the subcomponents developed by each group within the workshop.

## ANALYSIS OF PARTICIPATIVE SELF-EVALUATION RESULTS

It is important to highlight that six criteria are marked with a \*\*\* meaning that initially, at the Self-assessment workshop, stakeholders indicated that could not evaluate those criteria since they did not

have access to final reports of the products linked. Nevertheless, after the workshop and in order to meet this requirement, MARN sent the final documents to the evaluators thus improving access to this information and the final assessment result has been updated.

## Component 1: Readiness Organization and Consultation

### Subcomponent: 1a. National REDD+ Management Arrangements

#### a. Results Obtained from the Participative Self-Assessment

| Subcomponent 1a: National REDD+ Management Arrangement |   |  |
|--|---|--|
| 1  | Accountability and transparency                                     | Progressing well, further development required |
| 2  | Operating mandate and budget  | Further development required                   |
| 3  | Multi-sector coordination mechanisms and cross-sector collaboration | Progressing well, further development required |
| 4  | Technical supervision capacity                                      | Not yet demonstrating progress                 |
| 5  | Funds management capacity   | Progressing well, further development required |
| 6  | Feedback and grievance redress mechanism                            | Further development required                   |

In general terms, the evaluation of the subcomponent shows progress, but as a whole, it is necessary to continue developing the process to consolidate it in the long term. There are several levels of progress, in pragmatic terms the self-assessment emphasizes that within the entire subcomponent further development is necessary to demonstrate the achievements that Guatemala has reached.

The achievements of some aspects is due to the processes that have been initiated in the country for several years, either by national institutions or by the civil society. However, it is considered that they have been addressed individually and with low coordination by the GCI's regional technicians. In that sense, it is considered that addressing these issues has often been poorly clear and transparent and even not very aggressive in raising awareness of the progress made to date and inviting grassroots organizations to participate in the process. Stakeholders consider it necessary to strengthen the GCI at the level of the regional officers to better empower local organizations on the the readiness progress. It is acknowledged that this instance has been useful in the developed process however, we still need to advance more on the subject, at the level of the territories and support of local organizations to continue with the socialization of information and dialogue, such as the one started in 2017.

On the other hand, it is considered that in the subcomponent there have been significant advances in some instances and platforms for dialogue, for instance, as in the case of gender units. There is a Gender and REDD+ Roadmap<sup>38</sup> established in terms of REDD+, in addition, to date there is a well established policy framework. In spite of the advances, it is considered that it is necessary to strengthen and empower local organizations for the implementation of this roadmap.

Stakeholders also consider that despite the participation of indigenous peoples, there is still a need to expand the participation of this sector through Indigenous Authorities and to identify and take into account

<sup>38</sup> Work route for the Incorporation of Gender Considerations in the National REDD+ Processes of Guatemala; at <http://www.marn.gob.gt/s/redd /paginas/Ruta de trabajo para la incorporacin de consideraciones de gnero en el proces o nacional REDD de Guatemala>

more legitimate leaders of the ethnic groups existing in Guatemala. Likewise, it is considered necessary to update the database or stakeholder mapping to ensure the adequate participation of indigenous communities and peoples, as well as women's and youth groups. They also recognize that it is beginning with the implementation of the General Dialogue and Participation Plan, a process that began at the end of 2017, and that is the follow-up of the socialization and dissemination strategy carried out in the different national and regional workshops that have been carried out, also it is a living and continuous process that will be carried out and strengthened with additional resources.

It was deemed important and strategic to transfer in more detail the information on the governance frameworks, roles and capacities, including financial information that is available for the process of construction of the REDD+ activities. The organized groups emphasized the need to know in greater detail the issues to improve the empowerment of REDD+ activities by the grassroots.

It deemed that there is uncertainty regarding the planning of activities in the REDD+ construction process, since they consider that most of the financial investment is in the contracting of consultancies, which limits investments in community issues, indigenous peoples and gender. In this sense, it is considered that there are differences between the preparation phase of the REDD+ activities and their implementation per se, which are different moments, but that the dissemination of these processes and their differences needs to be reinforced since they are complex issues and that takes time to assimilate and understand.

A similar situation was observed related to the MIAQ, which although the mechanism exists, the stakeholders evaluated that even when they have listened and participated in the process of construction of these instrument, there is no clearly defined procedure to operationalize it at the local level, that is, at the level of indigenous peoples or communities that request respect for customary rights in the management and protection of forest.

#### **b. Improvements in the Sub-component**

The country has made a significant efforts to promote the participation of local governance platforms, which is demonstrated within the documentation of the outreach exercise (see annex 1 folder named "*socialización desde el inicio*"), as well as in the process of communication, socialization and participatory construction of several products of the strategy (SESA, ESMF, Gender and REDD+ Roadmap, Safeguards, strategy options, etc.) However, this has triggered a greater demand for information from these actors and others, which will be addressed through the for feedback and grievance redress mechanisms, but also through additional resources, strengthening dialogue with local actors and improving access to information.

At the beginning of the process of socialization, training and dissemination of information were based on forest governance platforms at the national level, including the Forest, Biodiversity and Climate Change Group (GBByCC and its commissions). However, within the participatory construction of different products of the strategy and the implementation of the dialogue process, more than 240 community-based organizations were reached: indigenous peoples, women's groups, and the private sector (including african palm producers, cattle farmers, oilmen and others are being involved), local governments, NGOs, etc. Through this, it seeks to strengthen forest governance and improve inter-sectoral coordination for the dissemination and dialogue of information, the accountable and transparent and access to information.

The exercise of dialogue has allowed the development of methodologies according to the legal framework of the country, the cultural relevance and the socioeconomic context of each territory. For this, a general methodology was developed (general plan) and from which five territorial plans were derived agreed between local governance platforms and GCI, as a multi-sectoral coordination mechanism. This has allowed

the development of various outreach materials in different Mayan languages and for different type of actors, including a video in Spanish, five radio spots in Mayan languages, five radio spots in Spanish and a comic-type infographic.

This experience will be used with the second phase of the Readiness through additional resources to reach a larger number of stakeholders through these and other governance platforms, to improve access and understanding of the information through the continuation of the dialogue and mechanisms for complaints resolution.

### **c. Steps to Follow in the Process**

During the self-assessment, stakeholders indicated what would be the next steps to improve the actions of this component and that they consider should continue working and strengthening with additional readiness funds. The proposed actions reflect the government's planning taking into account the concerns and suggestions made by the interested parties, which will be addressed with the additional resources:

- Frequent updating of the mapping of local actors that will participate in the implementation and monitoring of REDD+ actions in the country. There was made an observation that greater involvement and participation of the indigenous authorities is required (in the places where they exist), since they are recognized ancestral structures and representatives of the indigenous peoples. In this way, a better representation of this sector in the process can be guaranteed. This revision and update must be carried out as part of the implementation of the territorial plans and the communications products developed.
- Strengthen the processes of socialization and dissemination of information on REDD+ at the local level, mainly with information such as legal frameworks, available resources, proposed mechanisms for decentralization and deconcentration of execution, and procedures for access to information and attention of the concerns of the interested parties. It is considered important to promote and respect the rights of different groups.
- Strengthen the technical capacities of the ICG, both at the central and regional levels, in order to improve inter-institutional coordination and strengthen the national REDD+ process. Emphasis will be placed on improving efficiency and effectiveness in the processes of communication, exchange and access to information and transparency in the processes executed within the ENDDBG, based on the experience of the process of socialization and dialogue.
- Strengthen the understanding the linkage of the current financing of the strategy (including the additional readiness funds) with the management of other additional funds that are considered. Currently there are funds from the FIP for the implementation of REDD+ activities, as well as financing other processes, such as the resources of the NAMA Facility to promote the efficient use of firewood, among others, but it is important to deepen the understanding of these other processes.
- Transfer the logistics of the process of dialogue and participation on the learning and implementation of REDD+ processes to local-level bodies, which will strengthen a decentralized and inclusive process. This is how it was done with the dialogue carried out at the end of 2017.
- Government entities should implement and institutionalize the MIAQ with high priority, especially through regional and departmental offices, and should be the means to improve access to information for interested parties in each region, mainly through dialogue.

### **Subcomponent: 1b. Consultation, Participation, and Outreach**

**a. Results Obtained from the Participative Self-Assessment**

| Subcomponent 1b: Consultation, Participation and Outreach |   |                                |
|---|---|--------------------------------|
| 7   | Participative and engagement of key stakeholders              | Further development required   |
| 8   | Consultation Processes  | Further development required   |
| 9   | Information sharing and accessibility of information          | Not yet demonstrating progress |
| 10  | Implementation and public disclosure of consultation outcomes | Not yet demonstrating progress |

The orange color represents a greater demand for participation: many actors that participated are people who come from the territories that do not necessarily had such an exhaustive participation in the processes as people who are in the central areas and who have more access to information.

The process of nominating the parties for the self-evaluation was self-selection made by the organizations themselves during the dialogue process and where there was been no intervention by external actors, that is, there was a self-selection. This resulted in several of these actors coming from areas of groups in certain territories where access to information does not have the depth level as in areas with better access to information.

The stakeholders consider that the processes of dissemination and exchange of information should be strengthened, especially in those territories where access to information is limited. In pragmatic terms, the self-evaluation emphasizes that within the whole subcomponent, further development is necessary to demonstrate the achievements that have been made in the country. Regarding some criteria and evaluation questions, some stakeholders recognized that this process should be continued and strengthened. However, they consider that the process was carried out transparently and democratically, and they also consider that participation has been left open to interested parties that wish to participate.

As in most of the components, the interested parties stated that they had participated in more than one event for the dialogue and participation of the ENDDBG, such as the gender case, as well as for the construction of territorial dialogue plans and others. However, at the time of the self-assessment they emphasize not knowing the documents or final results that were generated and are aware that many of these were finalized at the end of 2017. For this they consider it necessary to continue the dialogue and improve access to information, especially in territories where there has not been a depth level compared to other areas.

The parties recognize that in 2017 a broad process of dialogue and participation was established with local actors at the national level in order to articulate the different efforts and platforms currently in place; process that they believe was carried out in a very horizontal, participatory, democratic, transparent and legitimate manner, organized in principle by grassroots organizations. This process was socialized and validated at the end of 2017, making it possible to developed the General Dialogue and Participation Plan and the territorial plans<sup>39</sup>. However, some stakeholders emphasize that the REDD+ construction process must reinforce compliance with and respect for Convention 169<sup>40</sup>. Given this, it is considered that the preparation phase of REDD+ activities and the structural issues of the country linked to hydroelectric and mining should be differentiated, where the consultation processes are even broader and require greater participation and discussion; likewise, it must be recognized that they are different levels that must be clarified to avoid this type of uncertainty.

<sup>39</sup> Available at <http://www.marn.gob.gt/Multimedios/9625.pdf>

<sup>40</sup> Convention 169 of the International Labor Organization on indigenous and tribal peoples

In practical terms, the self-assessment recognizes that there are participatory processes and dialogue and participation, but that they should be continued and strengthened, so that they require greater and better coordination, and that they should encourage their integration with local groups or territorial platforms, and that the equitable participation of men and women, adults and youth, among others, be included directly from there.

Regarding exchange and access to information, they consider that there is evidence of the progress, such as the GIMBUT, the institutional information systems, among others. However, during the self-assessment, the group considered that disclosure and access to information should be strengthened and deepened, especially in those territories where there are no optimal conditions for this.

This situation concludes that this process of exchange and access to information only exists effectively at a very technical or specific institutional level and that, and at the level of local stakeholders this should be strengthened and continued throughout the dialogues, taking into account the inclusion of more actors through analogous or little technified information systems, using more local communication mechanisms, for the exchange and access to the information generated from REDD+ activities.

#### **b. Progress in the Sub-component**

Since the beginning of the REDD+ process, an exhaustive socialization, training and dissemination of information has been carried out. However, this has been done mainly with governance platforms at the national level.

There has also been a process of participatory construction of the different products of the strategy (e.g. SESA, ESMF, MIAQ, Gender and REDD+ Roadmap etc.) trying to involve more local actors. Likewise, the design and implementation of the strategy dialogue was initiated, for which the General Dialogue Plan and the five territorial plans for its implementation were built in a participatory manner, which were agreed between local organization and GCI, based on socio-cultural aspects of each territory. A total of 370 stakeholders participated in this process (42% women and 58% men).

With the territorial methodologies defined, the implementation of the dialogue began starting in five strategic territories for REDD+ and where to date 296 interested actors have participated (35% women and 65% men). For this, cultural and gender considerations were included. Dialogue and participation is a living process that must continue even for the implementation of the strategy, and this will be reinforced in the territories where it has already started, and is expected to address other strategic areas.

#### **c. Steps to Be Followed in the Process**

The items listed below reflect the government's planning, as well as the concerns and recommendations made by stakeholders to strengthen the implementation of the dialogue and to continue the participatory construction of the strategy:

- Continue the implementation of the Territorial Plans of Dialogue and Participation<sup>41</sup> in the prioritized territories in 2017, and, if necessary, include new strategic areas in this process. The participation of indigenous peoples, women's groups, local communities and even those actors who are considered agents of deforestation should be strengthened. This will continue to be done through local organizations, as done on 2017.

<sup>41</sup> Available at: <http://www.marn.gob.gt/Multimedios/9639.pdf>

- The dissemination and socialization of the information generated in the multiple processes that have been made are strengthened, taking into account the considerations established in the Gender and REDD+ Roadmap and appropriate cultural relevance (for example, audiovisual material developed in Mayan languages, use of local information channels, dialogue events, etc.).
- The technical capacities of the GCI will be strengthened, both at the central level and at the regional offices, to improve inter-institutional coordination for the national REDD+ process. Emphasis should be placed on improving efficiency and effectiveness in the processes of communication, exchange and access to information and transparency in the processes executed within the ENDDBG.
- Strengthen the empowerment of interested parties to operationalize actions and implement the strategic actions established within the ENDDBG *in situ*.

## COMPONENT 2: REDD+ STRATEGY PREPARATION

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

#### a. Results Obtained from the Participative Self-Evaluation

| Subcomponent: 2a. Assessment of Land Use, Land-Use Change Drivers, Forest Law, Policy and Governance |  |  |
|--|--|--|
| 11   | Assessment and analysis  | Further development required                   |
| 12   | Prioritization of direct and indirect drivers/ barriers to forest carbon stock enhancement | Further development required                   |
| 13   | Links between drivers/barriers and REDD+ activities  | Significant progress <sup>42</sup> ***         |
| 14   | Action plans to address natural resource rights, land tenure, governance                   | Further development required *** <sup>43</sup> |
| 15   | Implications for forest law and policy   | Further development required *** <sup>44</sup> |

The information on drivers that has been used within the ENDDBG has been generated through secondary information, studies that have been carried out in the country (including the results of the reference levels) and participatory exercises carried out in the territories. This information has been systematized in one of the studies financed by the FCPF (see Annex *Evaluación preliminar de Factores del Uso de la Tierra, Causas y Agentes*). However, during the dialogue process, a more detailed approach was carried out at the territorial level, which validated much of the systematized driver information and allowed the parties that participated in this exercise to provide more detailed feedback on the studies have been made that cannot address this level of detail.

In the workshops it was observed that stakeholders demanded greater socialization and allow this information to be socialized towards a wider group of actors, and that is what we inferred in some way reflects the orange color that could be observed in the self-assessment. These actors who participated in these dialog exercises and with the evaluation ratify this demand since it is a more detailed and validated way that allows a more precise identification of the agents and drivers of deforestation.

<sup>42</sup> \*\*\* These criteria was initially not evaluated during the self-assessment workshop since stakeholders indicated did not know the final versions of the products linked. Nevertheless, MARN send the final documents to the evaluators and the final results has now been update.

<sup>43</sup> Idem

<sup>44</sup> Idem

Likewise, it demonstrates the importance of strengthening the broadcasting of information on the drivers or factors that promote deforestation and forest degradation in Guatemala and ensuring the linkage of public policies in the effect to land use dynamics. These situations can represent a source of bias to the progress made, due to the ignorance or disinformation of the participants. However, the process was carried out in a transparent and democratic manner, leaving an open door for the stakeholder's who wanted to participate.

In pragmatic terms, the self-assessment emphasizes that further development of the activities is necessary to demonstrate the real achievements that have been reached in the country, in cases such as land use evaluation, factors that cause changes in land use, forest law, policy and the management of activities to reduce or reverse the process.

In the Self-Evaluation Workshop, it was permanently mentioned what was emphasized in ENDDBG Workshops, where the general problematic of tenure and securitization of land was exposed, as well as ownership transfer of emission reductions, as well as rights over forestry resources, and other aspects related to forestry law and other forest management instruments. However, this problem has not been evaluated and analyzed in detail, nor have schemes or proposals been created as solutions, so further development is necessary.

For the analysis of the main direct and indirect factors causing degradation and deforestation, it is considered that there is information at the local level which was obtained in the existing projects. In addition, stakeholders at the local level have provided progress in this process to strengthen the national process, but there is general uncertainty because they have not had access to information from national analyzes, and how the results of this are aligned with local deforestation and forest degradation studies.

They consider that there are activities that have been taken into account for enhancing carbon stocks within the early REDD+ activities, and claim to be an active part of the processes and institutional groups created at the country level for land use assessment, the drivers of changes in land use, forest law, policy and management in general.

It is considered that there are instruments and tools in the country for the management of forests, such as PINPEP (Forestry Incentives Program for Small Holders on Land Suitable for Forestry and Agroforestry – PINPEP – *for its acronym in Spanish*), PROBOSQUE (Promotion, Establishment, Regeneration, Restoration, Management, Production and Protection of Forests in Guatemala – PROBOSQUE – *for its acronym in Spanish*) – for example – to stop the advance of deforestation and degradation of forests, as well as the protection and expansion of forest carbon stocks (SIGAP (Guatemalan System for Protected Areas– SIGAP – *for its acronym in Spanish*), concessions, communal forests, factions). The underlying theme may lie in the way of harmonizing or articulating what Guatemala already has advanced in these issues and that are part of the explicit policies that have been promoted since 1996, for example. The important thing to emphasize in this subcomponent is to reinforce feedback, exchange and access to the information mechanisms.

#### **b. Improvements in the Sub-Component:**

Based on the results of the dialogue and the review of existing documents (maps, reference levels, etc.), the causes of deforestation and forest degradation were identified. For this, in each territory, people were provided with the specific maps of each region where the geospatial technical analysis of the drivers is displayed, so that the parties could validate it and / or include additional inputs. This exercise also discussed



the main barriers that limit the implementation of actions to address the drivers of deforestation and forest degradation, as well as lines and strategic actions to address this problem, taking into account the vision of organizations at the local level.

Based on these drivers and barriers, three strategic axes have been proposed to address the drivers of deforestation and forest degradation, including actions for the restoration of degraded lands and forests, increased flows of forest goods and services, and strengthening the governance framework for activities related to forests and other related land uses.

To do this, 6 strategic lines have been defined associated with the direct causes and three strategic lines of a transversal nature to all the causes. As a whole, these alignments imply the implementation of 27 strategic actions and for each one specific objectives and activities are established, which will serve for the construction of the programmatic framework of the strategy. This information is collected within the first version of the ENDDBG delivered as an annex to the R-Package. These inputs will continue to be discussed with stakeholders to identify improvements, prioritize actions and develop a participatory action plan for them.

Likewise, there is a systematization of the policy framework that also analyzes incompatibilities of sectoral policies (for example, agriculture and irrigation), and which has been taken into account both for the preliminary analysis of the drivers of deforestation and for the proposed activities to address this problem based on the linked forest policy framework (for example, forest incentive programs and actions of the Guatemalan protected areas system). For these implications, a proposal for an approach has been made which is taken into account in the REDD+ actions that are proposed to address deforestation and degradation, for example, sustainable silvopastoral systems. In this systematization of policies, it was also identified which of these policies and their instruments promote more general development objectives and have broad community support.

### **c. Steps To Be Followed In the Process**

Following the inclusion of concerns and recommendations expressed by stakeholders, as well as government planning, to consolidate the actions of this subcomponent is proposed:

- Establish and / or strengthen the processes of dissemination of information to local and community-based groups and organizations, including other interested parties such as COMUDE (Municipal Development Council – COMUDE – for its acronym in Spanish) and COCODE (Community Congress of Urban and Rural Development – COCODE – for its acronym in Spanish).
- Establish a strategy to achieve the empowerment of women and youth in the processes that are developed at the community level to improve land use, know and be clear about the factors that cause changes in land use, forest law, politics and management, since much of the generated information is not known by these groups.
- Strengthen the processes of dialogue and participation, which must be generated from the territorial platforms in order to guarantee and promote the theme of gender, indigenous communities and peoples and youth.
- A more robust analysis of the drivers of deforestation and forest degradation will be carried out, linked to socio-economic aspects, policy and management. This analysis will also reinforce the link with the results of emission reference levels, as well as the policy analysis of the forestry sector and other strategic sectors such as energy, agriculture, livestock and others.
- This analysis will include the issue of rights of emission reductions linked to transactional issues and emissions reduction potential.

- Mainstreaming the ENDDBG within the territorial public planning framework, through the involvement of SEGEPLAN

With additional readiness funds, GCI's technical capacities will be improved at central and regional levels, to upgrade inter-institutional coordination for the national REDD+ process. Emphasis will be made on improving efficiency and effectiveness in the processes of communication, exchange and access to information and transparency in the processes executed within the ENDDBG at the local level.

## Subcomponent: 2b. REDD+ Strategy Options

### a. Results Obtained from the Participative Self-Evaluation

| Subcomponent: 2b. REDD+ Strategy Options |  |  |
|--|--|--|
| 16                                       | Selection and prioritization of REDD+ strategy options         | Progressing well, further development required                   |
| 17                                       | Feasibility assessment   | Progressing well, further development required <sup>45</sup> *** |
| 18                                       | Implications of strategy options on existing sectoral policies | Further development required*** <sup>46</sup>                    |

This result reflects the demand for greater involvement of sectors outside the forestry sector, which, although there has been an important advance in forest policy matters and the ENDDBG seeks to strengthen this framework of policy instruments, some of the sectors where the drivers are located need an approach with a greater level of depth. To do this, it is proposed to address from the planning process at the territorial level and greater participation of local governments who are those who have a level of interference and important decision on the change of land use, therefore, within additional resources are promoted to strengthen the incorporation of actions in a more solid way within the planning process of public policy and territorial planning.

In a very specific way, the criterion on the definition of the lines of action of the REDD+ Strategy evaluated that progress has been made well, but the process still needs more development to meet the demands of the process of preparation of the ENDDBG. However, they mentioned that of the four incompatible policy instruments found, there is a table that details the actions that each of them work, but there is no definite timetable to resolve the incompatibilities that were found.

The stakeholders expressed their knowledge, participate and provide information required in different regional events and workshops, to support the process of collective and participatory construction of the ENDDBG.

Taking into account the above, they assessed that, if the direct and underlying causes of deforestation and forest degradation have been taken into account, presented in workshops and different studies and instruments of institutions and other civil society organizations, but it is expected that, with the results of the studies that are in process and that are pending to present final results, some axes of work and / or

<sup>45</sup> Idem

<sup>46</sup> Idem

actions of the strategy are refined, including the involvement of actors out of the forest field and who has incidence in the land use change.

In addition, the group considered that the emissions reduction estimates are in the process of being developed, including updating the reference levels to 2016 to comply with the requirements of the FCPF methodological framework. These national reference levels should be integrated into the issues of ownership and land and transfer in the reduction of emissions. Currently, the ENDDBG is based on a theoretical potential, that is, it has been developed based on estimates of unadjusted emissions reduction.

#### **b. Progress in the Sub-Component:**

As mentioned above, in the dialogue conducted, a preliminary prioritization of strategic lines and actions was taken to address deforestation and forest degradation (strategy options). These were prioritized by stakeholders based on the causes of deforestation and forest degradation (exercise that was carried out at the beginning of each workshop). All actions are based on the existing forestry policy framework (for example, forestry incentive programs and actions in SIGAP) so that being linked to the national framework are politically, financially, technically, socially and environmentally viable. However, these actions will be evaluated more specifically during the preparation of the strategy action plan.

Also, in order to involve actors outside the forestry sector, although there has been an important advance in forest policy matters and the ENDDBG seeks to strengthen this framework of policy instruments, some of the sectors where the drivers are need a approach with a greater level of depth. To do this, it is proposed to address it from the planning process at the territorial level and greater participation of local governments who are those who have a significant level of interference and decision on the change of land use.

Therefore, with the additional resources, the incorporation of REDD + actions will be promoted in a more solid way within the planning process of public policy and territorial planning, through the incorporation of the ENDDBG into the K'atun 2032 National Development Plan and public planning at national level. This will be done by involving the Secretariat of Planning and Programming of the Presidency (*SEGEPLAN – for its acronym in Spanish*), which through these policy instruments depart departmental and municipal plans taking into account not only the technical but also the budgetary part.

#### **c. Steps To Follow In the Process**

The steps proposed for the consolidation of this subcomponent are also based on the planning carried out by the government, as well as the concerns and recommendations expressed by the parties during the self-evaluation:

- Prioritize and streamline the process of coverage and land use maps updating and estimates of emission reduction.
- Prioritize and address the issue of land ownership and transfer of emission reduction titles to land transactional national potential.
- Involve owners and legal owners in processes of validation in the field of carbon inventories, beyond pass permits to empower them in the process.
- Conduct workshops or feedback events on a permanent basis to strengthen, update and / or adjust the ENDDBG when required.

- It is specifically considered, to deepen more in the search, review and analysis of other regulations in other sectors (transport, energy, for example) to approach some incompatibilities, since no specific type of analysis is known.
- Dialogue process will reinforce the proposal of lines of action to address the drivers of deforestation and forest degradation, taking into account traditional practices and gender considerations. In this sense, consider the institutional strategy of gender equity with ethnic relevance, which will contribute to strengthen and guide the actions considered in the ENDDBG.

## Subcomponent: 2c. Implementation Framework

### a. Results Obtained From the Participative Self-Evaluation

| Subcomponent: 2c. Implementation Framework |  |   |
|--|--|---|
| 19   | Adoption and implementation of legislation / regulations | Progressing well, further development required  |
| 20   | Guidelines for implementation                            | Not yet demonstrating progress                  |
| 21   | Benefit Sharing Mechanism                                | Not yet demonstrating progress                  |
| 22   | National REDD+ Registry and system monitoring            | Not yet demonstrating progress <sup>47***</sup> |

Very punctually, in this subcomponent the group evaluated "that progress has been made well, but the process still needs more development" to comply with what was demanded in the process of preparation of the ENDDBG.

Although there are no specific mechanisms for REDD+, there is already a solid base and experience that the country has and on which it is proposing the construction of a mechanism articulated to the ENDDBG. This is partly because this is a topic that has not been yet addressed in depth since the country decided to first deep on the definition and prioritization of the REDD+ activities before entering in depth the discussion of the benefit sharing, otherwise could somehow affect the process like has happened in other countries in the management of expectations.

Currently, with reference emissions levels, there is a more detailed process of the territories with more REDD+ potential, so with the additional funds it is proposed to enter into a deep exercise for the development and consolidation of these mechanisms.

During the self-assessment, all the stakeholders ratified the explicit existence of laws and regulations related to REDD+ programs and activities or to climate change, mainly regarding the legal framework of the forestry governing institutions in Guatemala (INAB (National Forest Institute – INAB – *for its acronym in Spanish*), CONAP (Protected Areas Council – CONAP – *for its acronym in Spanish*) and the respective instruments of policy that have worked for more than 25 years (PINFOR (Forestry Incentive Program – PINFOR – *for its acronym in Spanish*), PINPEP, PROBOSQUE). However, there are significant gaps in the definition of carbon rights and the transfer of emission ownership. Likewise, they consider that it is necessary to link the legislation related to REDD+, with the Law of Development and Decentralization Councils, as well as with other specific legal frameworks, such as the one of energy. They consider that it is necessary to explicitly clarify said REDD+ legislation with current legislation, which complements or strengthens what already exists, for example: For gender and indigenous communities and peoples' issues, it was evidenced that

<sup>47</sup> Idem

within the instruments generated the inclusion of women, indigenous communities and peoples in the implementation of actions that strengthen the operation of the ENDDBG, is precisely considered.

Finally, they consider that it would be opportune to strengthen the mechanism of communication and social outreach for the exchange and access to information by the stakeholders (e.g. LOI, BSM (Benefit Sharing Mechanism), REDD+ projects). As national evidence, the experiences of the 4 REDD+ pilot projects are already available, which have designed and consulted a benefits mechanism.

Regarding the guidelines or model for implementation of the ENDDBG, the integration process of the REDD+ Preparation Package has not clearly presented who has the rights over emissions reductions. The group also evaluated that the mechanisms for benefit sharing are not known yet, but they consider that those who exert forest management or who are active actors should be a priority subject, in order to ensure the implementation of the proposed action lines of the ENDDBG *in situ*, considering the owners, possessors, tenants, concessionaires, among others. In addition to the foregoing, the group evaluated that the procedures for official authorizations and the mechanisms for claiming are not known.

#### **b. Progress in the Sub-Component:**

The existing legal framework (policies, laws, regulations, norms, etc.) supports the implementation of the National Strategy, that is, the policies and their instruments present an adequate orientation and scope in their proposals, mainly in relation to the management of natural resources, conservation of biodiversity and the environment. According to the systematization of the forest policy and governance framework in Guatemala, of the 63 policy instruments analyzed (policies, laws, regulations, standards, strategies, plans, agendas, manuals), 55 are linked to the National REDD + Strategy.

From these, seven have been identified as the ones responsible for the distribution of benefits. Guatemala has developed extensive experience in the design and implementation of economic policies and instruments aimed at promoting the conservation, management and sustainable use of natural resources in different modalities and institutional arrangements. These instruments have been designed with a governance framework, and have the institutional, legal and financial basis to operate and distribute state resources to beneficiaries that implement management, conservation, reforestation, restoration, agroforestry, and other actions which benefit Guatemalan society.

These include national forest incentive programs (PINFOR, PINPEP and PROBOSQUE), forest concession schemes on state lands considered in national forest legislation, mechanisms that are applied inside and outside protected areas. It is worth mentioning that the Strategy proposal includes these mechanisms as strategy options.

On the other hand, the country has demonstrated a substantial progress towards the implementation framework of the strategy through the Forest Investment Program (FIP) and the development of the National Emissions Reduction Program (ER Program) under the FCPF Carbon Fund:

1. Approval of the FIP Investment Plan for the implementation of REDD+ activities and in the process of designing the approved FIP projects
2. Letter of Intent signed with the Carbon Fund and in the process of developing the ER Program
3. Firewood efficient program approved by the NAMA Facility to complement actions related to the sustainable production of firewood

#### **c. Steps to Follow in The Process**

For the consolidation of this subcomponent, the following actions are considered, taking into account also the concern and feelings of the stakeholders:

- To evidence with greater specificity the inclusion of the Mayan worldview within ENDDBG's REDD+ activities, as well as in the local ground rules and regulations.
- Consolidation of the benefit sharing mechanism, ensuring its linkage with the existing national framework and the *ad hoc* mechanisms of existing REDD+ projects.
- Design the national REDD+ registry as part of the SIREDD and socialize and disseminate it with interested parties and with civil society in general.
- Improve the mechanisms within the ICG at the central and regional levels will be improved to facilitate inter-institutional coordination for the national REDD+ process. Emphasis will be placed on improving efficiency and effectiveness in the processes of communication, exchange and access to information and transparency in the processes executed within the ENDDBG at the local level. A mechanism will be developed for easy access and understanding of the information developed within this component, with the aim that everyone can have access and exchange of information within the system.
- Strengthen the empowerment and feedback of information will be strengthened by the interested parties to operationalize actions and implement the lines of action established within the axes of the ENDDBG *in situ*.

## Subcomponent: 2d. Social and Environmental Impacts

### a. Results Obtained From the Participative Self-Evaluation

| Subcomponent: 2d. Social and Environmental Impacts |   |  |
|--|---|--|
| 23   | Analysis of social and environmental safeguard issues | Not yet demonstrating progress                 |
| 24   | REDD+ strategy design with respect to impacts         | Progressing well, further development required |
| 25   | Environmental and social management framework         | Significant progress                           |

The previous table corresponds to the evaluation of subcomponent 2d and shows a diversity of progress, varying from the lowest indicator (no development is showed yet) to the best indicator (considerable progress), according to the rating made by the stakeholders.

The reason is because the parties are demanding to detail more how safeguards will be addressed in their territories according to the sociocultural contexts of each region. The parties stated that despite the participatory construction of the SESA and ESMF, they prioritized potential positive or negative impacts, as well as their mitigation measures; this is an exercise at a strategic level and does not necessarily address a level of implementation detail, so people in some way ask to detail this level further. This will be done with the continuation and disclosure of the dialogues so that the parties define the approach to the safeguards linked to the ENDDBG in a more detailed manner for each region.

The stakeholders consider that there is no clarity in the operation process and in its purpose. They consider that it is necessary to take into account the safeguards that have already been implemented in the pilot projects currently in operation.

For the issue of SESA social and environmental risks and impacts, there is evidence and documentation in the legitimate and participatory process at national level carried out since 2015-2016; however, at the group's discretion, the process has advanced, but needs further development to strengthen it and consider it to be capable of operating, for which it is necessary the execution of an analysis at the implementation level.

For the subject of environmental and social management framework, the group made its evaluation with considerable progress, since they have the evidence and certainty in the definition of the prioritized social and environmental impacts. However, they leave the concern that a better disclosure and wider socialization of the final results are necessary.

#### **b. Progress in the Sub-Component**

As of 2015, the first approach of the National Safeguards Approach is available, where 75 stakeholders (35% women) defined and interpreted the REDD+ safeguards, and for each one they agreed: principles, objectives, indicators, the legal, institutional framework and compliance. However, there is a demand to socialize this information more.

There already is a Social and Environmental Assessment (SESA) for which 611 stakeholders (242 women and 369 men) identified potential positive and negative impacts derived from the implementation of REDD+ in Guatemala. This tool guides the mitigation of potential negative impacts or the increase of positive impacts. As a result of the prioritization of social and environmental impacts, mitigation measures were also prioritized, this is known as the Framework for Environmental and Social Management (ESMF), which is a process of principles, measures and / or actions to avoid or reduce the negative impacts identified and potentiate the positive social and environmental benefits.

Likewise, the Gender and REDD+ Roadmap is already in place where the Gender Directorates / Units led a participatory process, whose 291 stakeholders (240 women and 51 men) identified and prioritized strategic actions for the incorporation of gender considerations for the three phases of the national REDD+ process: preparation, implementation and payments by results.

#### **c. Steps to Follow In the Process**

Taking into consideration the evaluation carried out, interested parties and the government consider important:

- Having already the design and final documents, it is necessary to deepen in the broadcasting and access to information, as well as the training on how to implement them in the territories. With the additional resources, the broadcasting and dialogue of REDD+ safeguards will be reinforced, according to the context of each territory, including the broadcasting of SESA and ESMF results, and the monitoring of their approach.
- Strengthening the empowerment and feedback of information will be strengthened by the interested parties to operationalize specific actions of SESA and the ESMF to implement the lines of action established within the axes of the ENDDBG *in situ*.
- That safeguards already implemented by pilot projects currently in operation are taken into account. It is necessary to articulate what is already implemented with what is proposed within the ENDDBG.

### **COMPONENT 3: REFERENCE EMISSIONS LEVEL/REFERENCE LEVELS**

#### **a. Results Obtained from The Participative Self-Evaluation to Component**

| COMPONENT 3: REFERENCE EMISSIONS LEVEL/REFERENCE LEVELS |  |  |
|---|--|--|
| 26  | Demonstration of methodology   | Progressing well, further development required |
| 27  | Use of historical data and adjusted to national circumstances  | Progressing well, further development required |
| 28  | Technical feasibility of the methodological approach, and consistency with UNFCCC/IPCC guidance and guidelines | Further development required                   |

This component shows in general terms an acceptable progress, but that requires greater impulse and support to consolidate and strengthen the process, mainly in relation to the dissemination and socialization of information, a process that was evidenced as weak regarding to the stakeholders' criteria.

To evaluate the progress related to this particular component a group was formed by several interested parties who reported having participated, some from the beginning, in the different spaces of planning, discussion and construction of topics related to specific levels of reference, as well as in other processes that make up the construction of the ENDDBG. This, with the aim of articulating and integrating the REL / RL with the entire national REDD+ process.

Regarding the topic of the methodologies for forest monitoring and that served for the construction of the REL / RL, it is considered that there is enough knowledge and human capacity in the institutions that participated in the process, but that these institutions have not made the socialization of the advances and the methodology used. It is known that adjustments were made to the employee maps for the calculation of the REL / RL, but these have not been officially published yet.

In relation to the use of historical data, stakeholders consider that the source utilized –forest dynamics maps in Guatemala – are valid and fit the national context. However, it is acknowledged that work must continue to conclude the maps for the periods 2014 and 2016, in order to obtain the REL / RLs required for the REDD+ planning process. Currently, the estimates available reach up to 2010. It is considered that there is information, such as carbon content in the forests, that can be improved and thus, the accuracy of the REL/RL estimates would also be improved. Many of the databases that were used – especially those used to calculate the carbon content in the forests – were historical data bases whose objective was different to the topic of Climate Change and REDD+, and therefore, their homologation to adjust the data.

Regarding the technical feasibility of the methodological approach used, it is acknowledged that progress has been made in the country in improving skills and that the groups received support from international experts. The methodology is solid, since it meets the requirements of the IPCC and the UNFCCC. On this topic, more than the use of the methodology, it was indicated that the data sources, the forest cover dynamics maps, must approach the other two pending categories for land use.

Due to this, stakeholders concluded that the process of exchange and information access only exists at a very technical or specific institutional level (governmental and some NGOs) and that, at the level of the local-based organizations (rural, communal groups, municipal, indigenous, etc.) the results of the REL /RL are unknown, which is why specific consideration must be adopted, due to the complexity of the matter.

#### **b. Progress in the Sub-Component:**

The reference levels for the 3 REDD+ measures have been elaborated: deforestation, degradation (forest fires) and enhancing carbon stock. This version 1.0 of the results was developed under the methodology of



the Carbon Fund of the FCPF and was prepared by the technicians of the government institutions grouped in the GIMBUT, which includes the participation of two universities.

The results are presented at a national level and by REDD + region, and short-term plans are currently being worked on to finalize the baselines for firewood and legal / illegal timber as part of the degradation, as well as monitoring it. Uncertainty estimates are also being evaluated and monitoring plans for deforestation are being prepared by strengthening the MRV at regional levels.

### c. Steps To Follow In the Process

Despite the advances that are recognized by the stakeholders, it is considered that work should continue on the subject, focused on aspects such as:

- Finalize the definition of fundamental concepts used for the reference levels, as rubber plantations (*Hevea spp.*), As well as the approach of topics such as the methodology to measure / map natural regeneration and its distinction with forest plantations; the distinction of land uses from grasslands with annual agriculture and shrubs; and to have a methodological proposal that contributes to the improvements and escalation required by the FCPF.
- Hold specific technical meetings with the stakeholders involved in the process, broadening participation (consider socialization and convening) and effectively integrating other civil society actors with experience in the subject.
- Encourage information access and exchange in a relevant manner, to improve the databases This will allow improving the methodology and periodicity of generation of forestry coverage mapping information.
  - Expand the analysis of forest degradation to address different degradation drivers other than forest fires. This implies carrying out a detailed analysis of agents and drivers of spatially explicit forest degradation and the establishment of a road map with activities that can generate inputs in the short term to generate forest degradation reference lines and future models for updating them and the establishment of efficient forest degradation monitoring systems.
  - Prepare cartographies of land use and coverage at two scales (for example 1: 100 000 using Landsat 8 and 1: 20 000 using Sentinel-2) updated to 2016. This is necessary, because the reference period used in 2000-2010 for the construction of the baselines, leaves a void without information to date, which is too long that will have to be strengthened to update the reference levels and, in that way, start the monitoring events.
  - Include the issue of firewood as part of the baseline for monitoring forest degradation.
  - Complete the IPCC categories for the land use change map

It is acknowledged that these actions will facilitate the design of the National Emission Reduction Program (under the ERPD format) with the Carbon Fund, in accordance with the provisions of the Letter of Intent (LOI), which seeks to capitalize on the implementation of the ENDDBG. It is known that many resources are required to maintain the processes of generation and refining of cartographic information and carbon content, which is why work must be carried out in the search for other resources.

It is recommended the integration of other actors, such as women's groups and indigenous communities in the collection and monitoring of data used for reference levels. It is considered of vital importance for the process that the institutions responsible for the FREL / FRL endorse and socialize the information generated, consider aspects of gender, communities and indigenous peoples, explaining inconsistencies that may have been detected throughout the process.

## COMPONENT 4: FOREST MONITORING SYSTEMS AND INFORMATION ON SAFEGUARDS

### Subcomponent 4a. National Forest Monitoring System

#### a. Results Obtained From the Participative Self-Evaluation of Component 4a

| Subcomponent: 4a. National Forest Monitoring System |  |                                |
|---|--|--------------------------------|
| 29  | Documentation of monitoring approach         | Further development required   |
| 30  | Demonstration of early system implementation | Not yet demonstrating progress |
| 31  | Institutional arrangements and capacities    | Further development required   |

It is considered that this subcomponent presents few advances, so it requires a lot of support and efforts to make significant progress. The preparation of the MRV system requires inputs from the reference levels which were recently completed and which had a significant level of progress at the time of presenting the Mid-Term Report due to the fact that the country contemplated addressing the 3 REDD+ measures and the estimates at the national level. Therefore, the ability to refine them and finalize them has required considerable time.

This in some way conditioned the progress in the preparation of the MRV system and that was reflected in the fact that its design was presented relatively recently. For this reason, it is a product that is still not known in such detail at the level of stakeholders, especially in those territories where the information has not had the level of depth that had in areas with better information access.

Among the arguments and comments of the stakeholders group, related to the focus of the forest monitoring system and safeguards, the advances related to the definition of the institutional structure and governance of this system are recognized to date. However, they consider that the formulation of a proposal that improves the monitoring systems linked to firewood and wood extraction from forests, the evaluation and monitoring of natural regeneration – among others – has not been considered or socialized with other stakeholders.

The progress achieved to date is acknowledged, but it indicates that these have not been socialized and validated with other civil society actors and stakeholders. For this reason, PI stakeholders involved do not have all the elements that allow them to determine the level of advance in uncertainty of the information generated to date. This is a manifest weakness that does not allow the criterion to be evaluated with adequate progress.

Stakeholders recognize that progress has been made in the design and definition of a system for forest monitoring and safeguards, (within SIREDD+). It was indicated that several participated in the discussion meetings for the design and construction of the same and it is known that the process has advanced significantly. However, they were not aware that this system has been tested and is being implemented, recognizing that it was recently completed (end of 2017).

Due to the lack of information or lack of dissemination, the system designed and proposed has not yet started with the testing and validation phase, so there is no information to evaluate the process. It is considered that it is vital to start with the initial tests and validation of the system.

In spite of the advances in the governance framework for the generation of information, the commitments among all the actors have not been defined, which guarantees the viability of the system's implementation. Although, in the design of the system, the roles of the institutions are clearly defined, it is advisable to review relevant aspects such as technical and financial capabilities, as well as the stability of those responsible for the system administration.

Within the development of the governance framework of the MRV system, the amount of financial resources needed to operate it properly was determined, not knowing if the incident has been carried out to achieve them, making the operation of the system feasible.

#### **b. Progress in the Sub-Component**

To make the MRV system, inputs of the reference levels are needed, which were presented with a significant level of progress in the Mid Term Report and from there the MRV system began to work in greater depth, which was recently completed. For this reason, it is a product that has not been socialized in such detail to the stakeholders. This will be achieved under the approach made with the additional resources strengthening the MRV capacities at the regional level including community monitoring as main activities for the priority territories for REDD+.

For this system, the governance schemes for the generation of information and monitoring for GHG emissions have been defined. It establishes the roles and responsibilities of each institution in accordance with its legal mandate and thematic competence. Likewise, the existing information systems and defined information generation and reporting methodologies have been evaluated.

The FREL / FRL being built and the MRV System include the calculation of the results of the REDD+ measures will be implemented, as well as the non-carbon variables (safeguards, multiple benefits, management) of special importance. This would allow monitoring for the reduction of emissions and that existing projects really contribute to the mitigation of climate change, avoiding double counting. The REDD + registry will be designed with additional funding and will be anchored to the SIREDD+ in which all information related to the strategy will be available (emissions, safeguards, multiple benefits, other impacts, management and safeguards).

#### **c. Steps to Follow In The Process**

Two key aspects that were identified by the stakeholders: poor socialization of the SIREDD+ development and start with the test and demonstration of the execution of the designed system. Therefore, together with the government, they propose the following actions:

- Accelerate the socialization of the progress achieved to date, and allow other local actors to review and, if feasible, present proposals to improve the methodologies used, in order to comply with the FCPF improvement and escalation requirements, especially related to gaps in information on how to extract firewood and wood from forests and natural regeneration.
- It is recommended to consider integrating existing community capacities and adapting them in obtaining information that can strengthen the functioning of the system (community monitoring).
- It is envisaged to strengthen community monitoring, including the monitoring carried out by local governments, such as the municipalities or commonwealths.
- It is recommended to establish a strategy to start with the monitoring of the indicators with which there is currently a reporting capacity, without forgetting the FCPF requirement for improvement and scaling.

- It is recommended to address the conclusions of the diagnosis of the governance framework of the MRV system, mainly in relation to: the stability of the process and those responsible for the system, and the financial aspects that ensure the feasibility of implementing the system.

It is expected that during 2018 and 2019, with additional readiness funds, the process of dissemination and dissemination of results for the four components will be strengthened. It is planned that during the first semester.

By March 2018, the launch of the SIREDD+ platform will be evaluated, through which all the final documentation generated in the process of construction of the ENDDBG and all REDD+ activities will be accessible. It is also considered that with additional readiness funds, monitoring systems will be strengthened at the level of the regions (local territories) for the monitoring of biodiversity, forest cover, fires, firewood, among others.

#### Subcomponent: 4b. Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards

##### a. Results Obtained from the Participative Self-Evaluation to Component 4b

| Subcomponent: 4b. Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards |  |  |
|---|--|--|
| 32  | Identification of relevant non-carbon aspects, and social and environmental issues | Progressing well, further development required |
| 33  | Monitoring, reporting and information sharing                                      | Not yet demonstrating progress                 |
| 34  | Institutional arrangements and capacities  | Progressing well, further development required |

It is considered that this subcomponent presents advances in some issues, mainly in the analyzes of the information systems, but it requires a lot of support and efforts to make significant progress. However, it is considered a weakness in the process related to the lack of socialization and implementation of the proposed MRV system, which was evidenced as one of the main current weaknesses.

Like the previous subcomponent, the design of the MRV for safeguards and multiple benefits was conditioned to the advancement of emission reference levels and was reflected in the fact that its design was presented relatively recently. For this reason, it is a product that is still not known in such detail at the level of interested parties, especially in those territories where the information has not had the level of depth that has occurred in areas with better access to information.

Among the arguments and comments of the participants of the group of stakeholders, the advances related to the definition of the MRV system, its governance framework and the institutional structure are recognized. However, there is no clear evidence of socialization with stakeholders, especially indigenous communities and peoples.

What was important and relevant in the evaluation was that the interested parties, who were part of this group, reported having participated, some from the beginning, in the different planning, discussion and construction spaces of the MRV's specific topic, as well as in other processes that make up the construction of the ENDDBG. They consider that this situation complies with this, with the aim of articulating and integrating the MRV system with the entire national REDD+ process (which includes SESA, ESMF, MIAQ, Gender, Dialogue, among others).

They consider that there is evidence that the main social and environmental issues that should be monitored by the system have been identified, but to date, only the proposal of the management indicators (or of compliance with the activities) is known, however, there is no knowledge of the indicators that allow evaluating the generated impacts with the application of REDD+ measures.

Participating interested parties know that progress has been made in the design and definition of a system for forest monitoring and safeguards, but there are no known advances in their implementation, testing and validation by the institutions involved. Due to the lack of information, or the dissemination of information, there is no information that allows us to evaluate the process with better progress. It is considered that it is vital to start with the initial tests and validation of the system.

#### **b. Progress in the Sub-Component:**

As part of the design of the SIREDD+, the safeguards information system has already been built, for which reporting needs have been identified by safeguarding, considering the information that is already produced in the country linked to the policy framework on which the ENDDBG is built.

Likewise, monitoring indicators have been defined linked to information that government institutions already generate, and which other indicators are necessary, but information has not yet been generated. This evaluation includes the governance proposal for the institutional group in charge of generating, collecting and consolidating information on safeguards and other non-carbon variables, for which a process is being created through a Ministerial Agreement (GISREDD+ group).

Under this governance proposal for monitoring of safeguards and other non-carbon variables, roles and responsibilities of the different institutions have also been defined in accordance with their legal rectories and thematic competence. In addition, the methodology for generating information and reporting has been identified. (see annex: SIREDD+)

#### **c. Steps To Be Followed in the Process**

Similar to the evaluation of subcomponent 4a, below are the actions that must be carried out to consolidate this monitoring system, based on not only the government's planning but also the statements made by the interested parties during this evaluation:

- Socialize the advances, considering the integration of the communities and indigenous peoples (without forgetting the gender principles) and start with the functioning tests of the system.
- It is recommended to establish a strategy to start with the monitoring of the indicators with which there is currently a reporting capacity, without forgetting the FCPF requirement for improvement and scaling.
- Address the conclusions of the diagnosis of the governance framework of the MRV system, mainly regarding: the stability of the process and those responsible for the system, and the financial aspects that guarantee the feasibility of implementing the system.
- It is foreseen to strengthen community monitoring, including the monitoring carried out by local governments such as municipalities or associations.
- Strengthen MRV at the regional level.

### **General Recommendations Made to the Self-Evaluation Process**

As a result of the self-assessment and in order to guide the country's efforts, participants suggest that the next actions to be carried out for the construction of REDD+ in the country focus on the following topics:

- Disseminate information and progress made at all levels, including grassroots groups, communities and indigenous peoples and local governments. It is important for these groups to disseminate and mediate information on the main forest issues, such as forest cover, fronts of deforestation and forest degradation, advances in reforestation, among others, in order to have elements that improve their level of knowledge and increase their involvement and proposals towards the implementation of REDD + actions.
- Continue the implementation of the dialogues through the territorial plans and developed communication products, to deepen the participation and establish a follow-up plan, which should be implemented in the coming months, as a measure to improve the involvement of the stakeholders in the subsequent actions of REDD+ within the ENDDBG Strategy, conceived as an inclusive, participatory and continuous process.
- Improve the levels of coordination of the responsible in Guatemala, such as the GCI, aiming better integrating and integrating the REDD + activities and the national consolidation of the ENDDBG. Likewise, that the levels of coordination and transfer of the same be improved at the level of the regional or departmental delegations so that it has a better and greater impact on the strategic actor of the ENDDBG.
- Finalize the detailed analyzes of drivers of deforestation and forest degradation, and that these analyzes serve as a basis for the definition and / or revision of the proposals contained in the National REDD + Strategy.
- Clarify and define the issue of land tenure, carbon rights and ownership of emission reductions, both on privately owned land and on municipal, communal and state lands, for example, forest concessions, in where the legal status of carbon and emissions rights is not defined. This case should be analyzed considering the incentive programs that exist in the country.
- Consolidate Define the Benefit Distribution Mechanism, related to carbon rights and social and environmental safeguards, and elaborate it through the dialogues.
- Advance in the implementation of REDD + actions different from the early actions promoted by the REDD + projects, in order to demonstrate concrete progress in the subject, maintaining the link with the other phases of REDD + (preparation and payments by results).
- Improve and extend reference levels. It is suggested to review the methodological framework that was used for the generation of coverage maps until 2010, and continue with the generation of new maps, trying to reach at the analysis until the 2016 period. Methodologies must also be improved to distinguish some important issues, such as: forest plantations of natural regeneration, pastures, natural or cultivated, annual crops, and permanent crops with shade (coffee, cardamom, etc.) of the natural forest.
- Continue to promote the incorporation of gender considerations into the national REDD + process through the implementation of the Gender and REDD + Route developed. Gender equity must be strengthened; there is a strategy, a roadmap, but both are not being implemented to date, due to lack of funds.
- Involve other actors outside the forestry sector in order to improve the scope of the implementation of actions to address the causes of deforestation and forest degradation, aligning the ENDDBG with the public policy framework for planning and budgetary allocation.

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# Annex

The annexes cited throughout this document are available on the REDD+ web page at Ministry of Environment and Natural Resources: *"Paquete de Preparación"* (Readiness Package)

Link: [http://www.marn.gob.gt/s/redd /paginas/Paquete\\_de\\_preparacin](http://www.marn.gob.gt/s/redd /paginas/Paquete_de_preparacin)

General Dialogue and Participation Plan for the participatory construction of the National Strategy for the Reduction of Deforestation and Forest Degradation in Guatemala

Territorial Dialogue and Participation Plans for the participatory construction of the National Strategy for the Reduction of Deforestation and Forest Degradation in Guatemala

Analysis of Territorial Context and Mapping of local actors for the participatory construction of the National Strategy for the Reduction of Deforestation and Forest Degradation in Guatemala

Report of the National Forum for Validity the Dialogue and Participation Plan on the National REDD + Strategy of Guatemala

Design and route of Implementation of the Information and Attention to Complaints Mechanism for REDD + (MIAQ)

Preliminary assessment of the Factors of Land Use, Causes and Agents of deforestation and forest degradation in Guatemala

Systematization of the Forest Policy and Governance framework for the construction of the National Strategy for the Reduction of Deforestation and Forest Degradation in Guatemala

National Strategy to Address Deforestation and Degradation of Forests in Guatemala (ENDBBG)

National Approach to Safeguards of Guatemala (ENS)

Strategic Social and Environmental Evaluation (SESA)

Framework for Environmental and Social Management of Guatemala (ESMF)

Work route for the Incorporation of Gender Considerations in the National REDD + Processes of Guatemala

Reference Levels of Forest GEI Emissions from Guatemala

National Information System for GHG Emissions, Multiple Benefits, Other Impacts, Management and REDD Safeguards (SIREED +)

## Annex 2. List of workshops and meetings that served as the basis for multisector participation in the Dialogue and Participation process for the construction of the ENDDBG

Participants lists of the people who participated in the Workshops and Meetings that served in the Dialogue and Participation process, are available in the REDD+ WebPortal: Preparation Packet, from the Ministry of Environment and Natural Resources: [http://www.marn.gob.gt/s/redd\\_/paginas/Paquete\\_de\\_preparacin](http://www.marn.gob.gt/s/redd_/paginas/Paquete_de_preparacin)

| No. | Nombre   | Lugar             | Fecha                          |
|-----|--|-------------------|--------------------------------|
| 1   | Taller de Planificación de Implementación de la ENREDD+  | Guatemala         | 07 de marzo de 2014            |
| 2   | I Taller de Planificación y Coordinación Conjunta REDD+  | Escuintla         | 27 al 30 de mayo de 2014       |
| 3   | II Taller de Planificación Conjunta para la Preparación de la Estrategia Nacional de Reducción de Emisiones por Deforestación y Degradación de Bosques evitada REDD+   | Izabal            | 31 de enero de 2015            |
| 4   | III Taller de Planificación Conjunta para la Preparación de la Estrategia Nacional de Reducción de Emisiones por Deforestación Evitada y Degradación de Bosques en Guatemala (Estrategia Nacional REDD+)   | Escuintla         | 3, 4 y 5 de junio de 2015      |
| 5   | I Taller de Enfoque Nacional de Salvaguardas REDD+   | Antigua Guatemala | 25 y 26 y 27 de agosto de 2015 |
| 6   | I Taller de intercambio de experiencias y visiones sobre la Reducción de Emisiones de Gases de Efecto Invernadero provenientes de la Deforestación y Degradación de Bosques (REDD+) y su vinculación con Género.   | Antigua Guatemala | 9 y 10 Septiembre 2015         |
| 7   | Taller de Degradación forestal en el marco REDD+ en Guatemala  | Guatemala         | 5 y 6 de noviembre de 2015     |
| 8   | II Taller sobre Género y REDD+   | Sololá            | 09 al 13 de noviembre 2015     |
| 9   | IV Taller de avances para la preparación de la Estrategia Nacional REDD+   | Chiquimula        | 01 al 03 de Marzo 2016         |
| 10  | III Taller REDD+ y Género  | Guatemala         | 10 marzo de 2016               |
| 11  | Taller con el Grupo de Implementadores REDD+ para la presentación de actividades tempranas REDD+ en áreas protegidas y avances en la preparación de la Estrategia Nacional REDD+   | Peten             | 09 y 10 de junio 2016          |
| 12  | Curso de formación de capacitadores en gobernanza y gestión forestal con énfasis en REDD+  | Quetzaltenango    | 15 al 21 de julio 2016         |
| 13  | Taller de Presentación de los Planes de Trabajo de las Consultorías siguientes: “Elaboración del SESA, ESMF Y MAR”, y “Sistema de monitoreo e información de emisiones de gases de efecto invernadero, múltiples beneficios, otros impactos, gestión y Salvaguardas REDD+” | Guatemala         | 28 de julio 2016               |
| 14  | Talleres de socialización de la Ley y Reglamento PROBOSQUE   | Mazatenango       | 24 al 25 de agosto de 2016     |
| 15  | II Congreso Nacional de Cambio Climático   | Quetzaltenango    | 5 al 7 de octubre de 2016      |
| 16  | Taller municipal para la socialización del Reglamento PROBOSQUE  | Mazatenango       | 18 de noviembre de 2016        |
| 17  | Taller municipal para la socialización del Reglamento PROBOSQUE  | Quiche            | 24 de noviembre de 2016        |
| 18  | Talleres generalidades del cambio climático y socialización temprana de la preparación de la ENREDD+   | Zacapa            | 29 de noviembre de 2016        |
| 19  | Evaluación Estratégica Social y Ambiental (EESA) de las opciones propuestas para la Estrategia REDD+ de Guatemala”   | Peten             | 20 al 22 de febrero de 2017    |

|    |  |                   |                                   |
|----|--|-------------------|-----------------------------------|
| 20 | Evaluación Estratégica Social y Ambiental (EESA) de las opciones propuestas para la Estrategia REDD+ de Guatemala”                   | Alta Verapaz      | 27 de Febrero al 01 de Marzo 2017 |
| 21 | Evaluación Estratégica Social y Ambiental (EESA) de las opciones propuestas para la Estrategia REDD+ de Guatemala”                   | Zacapa            | 01 al 03 de marzo 2017            |
| 22 | Evaluación Estratégica Social y Ambiental (EESA) de las opciones propuestas para la Estrategia REDD+ de Guatemala”                   | Sololá            | 06 al 08 de Marzo 2017            |
| 23 | Taller sobre lenguaje común del proceso nacional REDD+ en Guatemala  | Guatemala         | 08 de mayo 2017                   |
| 24 | Definiciones operativas para el mapeo en el marco de la estrategia Nacional REDD+ para el desarrollo de bajas emisiones en Guatemala | Guatemala         | 12, 13 y 14 de junio 2017         |
| 25 | Foro universitario mesoamericano de cambio climático y su relación con REDD+   | Antigua Guatemala | 21 y 22 de Junio de 2017          |
| 26 | Propuesta para el Mecanismo de Gestión Ambiental y Social (ESMF) y de un Mecanismo de Información y Atención a Quejas para REDD+     | Peten             | 1 y 2 de agosto de 2017           |
| 27 | Propuesta para el Mecanismo de Gestión Ambiental y Social (ESMF) y de un Mecanismo de Información y Atención a Quejas para REDD+     | Alta Verapaz      | 8 y 9 de agosto                   |
| 28 | Propuesta para el Mecanismo de Gestión Ambiental y Social (ESMF) y de un Mecanismo de Información y Atención a Quejas para REDD+     | Zacapa            | 9 y 10 Septiembre 2017            |
| 29 | Propuesta para el Mecanismo de Gestión Ambiental y Social (ESMF) y de un Mecanismo de Información y Atención a Quejas para REDD+     | Chimaltenango     | 17 al 18 de agosto de 2017        |
| 30 | Propuesta para el Mecanismo de Gestión Ambiental y Social (ESMF) y de un Mecanismo de Información y Atención a Quejas para REDD+     | Quetzaltenango    | 22 al 23 de agosto de 2017        |
| 31 | Propuesta para el Mecanismo de Gestión Ambiental y Social (ESMF) y de un Mecanismo de Información y Atención a Quejas para REDD+     | Huehuetenango     | 24 al 25 de agosto de 2017        |
| 32 | Foro Nacional para Validar el Plan de Dialogo y Participación sobre la Estrategia Nacional REDD+                                     | Guatemala         | 11 y 12 de septiembre de 2017     |
| 33 | Primer encuentro territorial para dialogar sobre la Estrategia Nacional REDD+  | Peten             | 04 al 05 de octubre de 2017       |
| 34 | Primer encuentro territorial para dialogar sobre la Estrategia Nacional REDD+  | Izabal            | 12 y 13 de octubre de 2017        |
| 35 | Primer encuentro territorial para dialogar sobre la Estrategia Nacional REDD+  | Quetzaltenango    | 17 al 18 de octubre de 2017       |
| 36 | Primer encuentro territorial para dialogar sobre la Estrategia Nacional REDD+  | Chiquimula        | 24 al 25 de octubre de 2017       |
| 37 | Primer encuentro territorial para dialogar sobre la Estrategia Nacional REDD+  | Alta Verapaz      | 30 al 31 de octubre de 2017       |
| 38 | Segundo encuentro territorial para dialogar sobre la Estrategia Nacional REDD+   | Quetzaltenango    | 13 y 14 de noviembre de 2017      |
| 39 | Segundo encuentro territorial para dialogar sobre la Estrategia Nacional REDD+   | Alta Verapaz      | 16 y 17 de noviembre de 2017      |
| 40 | Segundo encuentro territorial para dialogar sobre la Estrategia Nacional REDD+   | Peten             | 22 y 23 de noviembre de 2017      |
| 41 | Segundo encuentro territorial para dialogar sobre la Estrategia Nacional REDD+   | Izabal            | 28 al 29 de noviembre de 2017     |
| 42 | Segundo encuentro territorial para dialogar sobre la Estrategia Nacional REDD+   | Chiquimula        | 5 y 6 de diciembre de 2017        |

## Annex 3. Adequacy of Criteria and Diagnostic Questions for Multi stakeholder Participatory Self-Assessment

### Evaluación del proceso de Preparación para REDD+ en Guatemala TALLER NACIONAL Auto-evaluación participativa

#### COMPONENTE 1: ORGANIZACIÓN Y CONSULTAS PARA LA PREPARACIÓN

##### Subcomponente 1a: Mecanismos nacionales de gestión del programa de REDD+

##### 1. *Arreglos nacionales para la rendición de cuentas y la transparencia de REDD+*

- ◆◆ ¿Existen mecanismos ya implementados por las instituciones nacionales para abordar los temas REDD+? Si estos existen y están operando, ¿Estos mecanismos trabajan de forma clara y transparente, especialmente en la rendición de cuentas?

##### 2. *Marco legal y aspectos presupuestarios*

- ◆◆ ¿Las instituciones nacionales que están vinculadas al tema REDD+ trabajan con base a un marco legal claro y con presupuestos adecuados, previsibles y sostenibles?

##### 3. *Mecanismos de coordinación y colaboración interinstitucional*

- ◆◆ ¿Actualmente existen acuerdos de coordinación y colaboración entre las instituciones de diferentes sectores para asegurar que los mecanismos de gestión de REDD+ influyan en los marcos de política nacional? (por ejemplo, agricultura, medio ambiente, gestión de recursos naturales, desarrollo de infraestructura y ordenación del uso de la tierra)?

##### 4. *Capacidad de coordinación técnica*

- ◆◆ ¿Cómo considera que ha sido la coordinación entre las instituciones nacionales para el desarrollo y cumplimiento de los mecanismos de gestión de REDD+?

##### 5. *Capacidad de gestión de fondos*

- ◆◆ ¿Cómo considera que se ha realizado la gestión y coordinación adecuada y transparente de fondos y financiamientos externos para la ejecución de actividades de preparación para REDD+?

##### 6. *Mecanismo de retroalimentación, atención a quejas, rendición de cuentas y acceso a la información*

- ◆◆ ¿En el país existe un mecanismo de atención a quejas? ¿Estos mecanismos son accesibles o conocidos e incluyentes a los usuarios o beneficiarios en las comunidades rurales?
- ◆◆ ¿Qué evidencia existen de que el mecanismo responde a los comentarios y las quejas recibidas?

##### Subcomponente 1b: Consulta, participación y difusión social

##### 7. *Proceso participativo*

- ◆◆ ¿Cómo se demuestra que ha sido un proceso participativo e incluyente de los actores claves de mecanismos en la preparación de REDD+ (involucra a grupos de mujeres, jóvenes, pueblos indígenas y comunidades locales dependientes de los bosques)?

- ◆◆ ¿Cómo se demuestra la mejora de las capacidades en los procesos participativos en la preparación y la ejecución de REDD+ por parte de los pueblos indígenas y las comunidades?

#### **8. *Procesos de dialogo y participación***

- ◆◆ ¿El proceso de consulta a nivel nacional y local son claros, inclusivos, transparentes y facilitan un acceso preciso a la información de manera adecuada?
- ◆◆ ¿Cómo se considera que el país ha utilizado un proceso legítimo para identificar a actores claves durante Los procesos de diálogo y participación?
- ◆◆ ¿Cómo se considera que las instituciones utilizan los procesos de toma de decisiones de los pueblos indígenas para mejorar las consultas o dialogo, así como la participación?
- ◆◆ ¿Cómo se considera que los procesos de consulta o dialogo toman en cuenta el enfoque de género y son incluyentes?

#### **9. *Intercambio de información y acceso a la información***

- ◆◆ ¿Cómo se demuestra que el acceso y/o intercambio de información por parte de las instituciones responsables de todas las actividades de preparación, del desarrollo de la estrategia de REDD+, los niveles de referencia y los sistemas de seguimiento es transparente, coherente, integral y preciso?
- ◆◆ ¿Qué evidencia hay de que los actores clave pueden acceder a la información en un formato y lenguaje claro y como la reciben?
- ◆◆ ¿Qué canales de comunicación se están usando para garantizar que los actores o usuarios estén bien informados, especialmente las que tienen un acceso limitado?

#### **10. *Ejecución y divulgación pública de los resultados del diálogo y participación***

- ◆◆ ¿Cómo se evidencia la integración, difusión y socialización de los resultados de la consulta o dialogo en la estrategia nacional?

## **COMPONENTE 2: PREPARACIÓN DE LA ESTRATEGIA DE REDD+**

### **Subcomponente: 2a. Evaluación sobre el uso de la tierra, los factores causantes de los cambios en el uso de la tierra, la ley forestal, la política y la gestión**

#### **11. *Evaluación y análisis***

- ◆◆ ¿Cómo considera que se han evaluado y analizado las tendencias históricas recientes en el uso de la tierra (incluidas las ancestrales), acerca de la tenencia y la titulación de la tierra, los derechos sobre los recursos, los medios de subsistencia (incluidos los ancestrales), y lo relacionado con la legislación forestal?

#### **12. *Causas directas e indirectas de la deforestación y degradación de los bosques***

- ◆◆ ¿Cómo considera que se ha realizado el análisis de los principales factores causantes directos e indirectos de la degradación y deforestación?
- ◆◆ ¿Cómo considera si el análisis tomo en cuenta las principales barreras para implementar actividades de aumento de las reservas de carbono de los bosques que consideren los programas y las políticas en la estrategia REDD+?

**13. Relaciones entre factores causantes/barreras y actividades de REDD+**

- ◆◆ ¿Cómo considera la evidencia que demuestra que se identificaron las limitantes para reducir la deforestación y degradación a través de los programas o políticas contempladas en la estrategia y actividades REDD+?

**14. Planes de acción para abordar los derechos a los recursos naturales, uso y tenencia de la tierra**

- ◆◆ ¿Cómo considera la ejecución de los planes de acción para lograr avances a corto, mediano y largo plazo para abordar los temas sobre uso de la tierra, tenencia y titulación de tierras, derechos sobre los recursos naturales, medios de subsistencia y gestión, en regiones prioritarias de programas REDD+?

**15. Análisis legal sobre los bosques**

- ◆◆ ¿Cómo considera que la evaluación identifica las implicaciones para la ley y las políticas sobre la gestión de los bosques y otros temas pertinentes a largo plazo? ¿Hay estudios específicos legales para llevar vacíos?

**Subcomponente: 2b. Opciones de la Estrategia Nacional****16. Líneas de Acción de la Estrategia de Nacional+**

- ◆◆ ¿Considera que la Estrategia Nacional se elaboró con base en la determinación de las causas directas y subyacentes de la deforestación y degradación de los bosques y a través de un proceso transparente y participativo?
- ◆◆ ¿Considera que se estimaron, en la medida de lo posible, las reducciones de las emisiones, y cómo influyeron en el diseño de la estrategia de Nacional?

**17. Análisis de las implicaciones de las líneas de acción de la Estrategia Nacional**

- ◆◆ ¿Cómo considera el análisis de las líneas de acción de la estrategia nacional para determinar su prioridad en función de su viabilidad social y ambiental, riesgos y oportunidades y el análisis de costos y beneficios?

**18. Implicaciones de las líneas de acción de la Estrategia Nacional sobre las políticas sectoriales existentes**

- ◆◆ ¿Cómo considera la identificación de incompatibilidades entre las líneas de acción de la estrategia y las políticas o los programas en otros sectores relacionados con el sector forestal (por ejemplo, transporte, agricultura)?
- ◆◆ ¿Si hay, como considera el establecimiento de un cronograma y un proceso para resolver las incompatibilidades e integrar las líneas de acción con las políticas de desarrollo pertinentes?
- ◆◆ ¿Cómo considera que la resolución de incompatibilidades promueve objetivos de desarrollo más generales y además, cuentan con un amplio respaldo comunitario?

**Subcomponente: 2c. Marco de ejecución****19. Adopción e implementación de la legislación / reglamentos**

- ◆◆ ¿Cómo considera la adopción de leyes y/o los reglamentos relacionados con los programas y las actividades de REDD+/cambio climático?
- ◆◆ ¿Cómo considera las evidencias que existen de que se están aplicando estas leyes y políticas sobre REDD+/cambio climático?

#### **20. Directrices o modelo para la implementación**

- ◆◆ ¿Cómo considera las evidencias actuales en donde se definen los derechos sobre el carbono, los mecanismos de reparto de beneficios, las modalidades de financiamiento REDD+, los procedimientos para autorizaciones oficiales (por ejemplo, de pilotos o proyectos de REDD+) y los mecanismos de reclamación?

#### **21. Mecanismo de Distribución de Beneficios**

- ◆◆ ¿Cómo considera las evidencias actuales en donde se demuestra la existencia del mecanismo y la transparencia en el reparto de beneficios?

#### **22. Registro nacional de la REDD+ y actividades del sistema de seguimiento de la REDD+**

- ◆◆ ¿Actualmente en el país existe un sistema o un registro de información georreferenciada del programa REDD+ en funcionamiento, que tenga toda la información pertinente (por ejemplo, información sobre ubicación, propiedad, contabilización del carbono y flujos financieros para los programas y proyectos subnacionales y nacionales de REDD+) y además, que asegure el acceso del público a la información sobre REDD+? ¿Cómo lo considera actualmente?

### **Subcomponente: 2d. Impactos sociales y ambientales**

#### **23. Análisis de temas relacionados con las salvaguardas sociales y ambientales**

- ◆◆ ¿Cómo considera las evidencias que existen (estudios o diagnósticos y en procesos de consulta) donde se han identificado/analizado los temas cuestiones relacionados con las salvaguardas sociales y ambientales en el contexto nacional?

#### **24. Diseño de la estrategia nacional considerando riesgos e impactos sociales y ambientales**

- ◆◆ ¿Cómo considera que se usaron los resultados de la SESA y la identificación de los impactos sociales y ambientales (tanto positivos como negativos) para establecer las líneas de acción de la estrategia nacional?

#### **25. Marco de gestión ambiental y social**

- ◆◆ ¿Cómo considera que las evidencias que existe actualmente del marco en la gestión de los riesgos ambientales y sociales y los posibles impactos relacionados con las actividades de REDD+?

### **COMPONENTE 3: NIVELES DE REFERENCIA DE LAS EMISIONES/NIVELES DE REFERENCIA**

#### **26. Demostración de la metodología**

- ◆◆ ¿Cómo considera que ha sido usada la metodología para obtener los NRE o NR preliminares? ¿Ha sido claramente documentada y basada en un enfoque escalonado?

- ◆◆ ¿Se tienen planificado la obtención de nuevos datos para los NRE? ¿Se están tomando en cuenta estos datos para construir niveles de referencia subnacionales y relacionarlos con los niveles de referencia nacional (cuando proceda)?

**27. *Uso de datos históricos y ajustados a las circunstancias nacionales***

- ◆◆ ¿Cómo considera el uso de datos históricos para el establecimiento de los NRE/NR? ¿Como considera el proceso usado para el manejo de datos que demuestres que los ajustes son creíbles?
- ◆◆ ¿Cómo considera que se han aportado los datos y documentación para poder reconstruir o comprobar de manera independiente los NER/NR (clara y transparente)?

**28. *Viabilidad técnica del enfoque metodológico, y congruencia con la orientación y las directrices de la Convención Marco de las Naciones Unidas sobre el Cambio Climático/el Grupo Intergubernamental de Expertos sobre el Cambio Climático***

- ◆◆ ¿Considera que los datos usados para la estimación de los NRE/NR es publica, se basan en información transparente, completa y precisa, compatible con lo establecido en las guías de la CMNUCC y por el Grupo Intergubernamental de Expertos sobre el Cambio Climático (IPCC) para la estimación de los NRE/NR? El documento de NRE/NR está publicado en internet?

**COMPONENTE 4: SISTEMAS DE SEGUIMIENTO FORESTAL Y DE INFORMACIÓN SOBRE LAS SALVAGUARDAS**

**Subcomponente: 4a. Sistema de seguimiento forestal nacional**

**29. *Documentación del enfoque de seguimiento***

- ◆◆ ¿Existen razones o evidencias analíticas claras que justifiquen la selección de la metodología usada o propuesta (combinación de sistemas de teleobservación e inventarios sobre el terreno del carbono de los bosques; resolución, cobertura y precisión de los sistemas, inclusión de reservorios de carbono y gases) y la mejora a lo largo del tiempo?
- ◆◆ ¿Considera que el sistema nacional ha sido validado o aprobado a nivel nacional y ha sido utilizado para generar reporten a nivel internacional? Ha sido reconocido a nivel internacional.
- ◆◆ ¿Cómo considera la identificación de incertidumbre del sistema?

**30. *Demostración de la ejecución temprana del sistema***

- ◆◆ ¿Considera que el sistema en el país tiene capacidad para hacer un seguimiento efectivo de las actividades específicas en la estrategia nacional?
- ◆◆ ¿Cómo considera que el sistema identifica y evalúa el desplazamiento de las emisiones, y como considera los primeros resultados (si los hay)?
- ◆◆ ¿Cómo considera la participación de actores clave en el desarrollo y funcionamiento del sistema y si este es flexible, es decir, que permite incorporar mejoras en insumos o metodología?
- ◆◆ ¿Cómo considera la flexibilidad y manejo de la información en el sistema, es decir, que se pueden comparar cambios en las emisiones / absorciones de carbono de los bosques en función de la línea de base utilizadas para los NRE/NR?



### **31. Mecanismos y capacidades institucionales**

- ◆◆ ¿Cómo considera la definición del responsable del país del funcionamiento y mantenimiento del sistema de monitoreo forestal e información de salvaguardas? (por ejemplo, procesamiento de datos de satélite, inventario de bosques, intercambio de información)
- ◆◆ ¿Cómo considera el mecanismo o método para compartir públicamente datos finales o intermedios sobre bosques y emisiones entre otras?
- ◆◆ ¿Cómo considera las capacidades técnicas y de recursos financieros de los responsables del sistema en el país?

### **Subcomponente: 4b. Sistema de información de salvaguardas, cobeneficios y otros impactos para múltiples beneficios**

#### **32. Identificación de aspectos sociales y ambientales no relacionados con el carbono/ cobeneficios**

- ◆◆ ¿Cómo considera que se han identificado los temas relacionados a aspectos sociales y ambientales, así como lo relacionado a las salvaguardas en el país, dentro del proceso REDD+? Como considera que se ha abordado los aspectos relacionados a los cobeneficios potenciales de REDD+

#### **33. Participación y transparencia**

- ◆◆ ¿Cómo considera que ha sido la construcción del sistema de información de salvaguardas y/ cobeneficios y otros impactos para múltiples beneficios? ¿Como evaluaría la transparencia y la participación de actores, así como la retroalimentación de la información para mejorar el sistema?
- ◆◆ ¿Cómo considera o califica que se está facilitando el acceso a la siguiente información: variables cuantitativas o cualitativas y su efecto en los medios de subsistencia de la población, la conservación de la biodiversidad, la provisión de servicios ecosistémicos, los factores de gestión a la ejecución de REDD+ y la aplicación de salvaguardas?

#### **34. Mecanismos y capacidades institucionales**

- ◆◆ ¿Cómo considera la definición del responsable del país del funcionamiento y mantenimiento del sistema de información de salvaguardas y/ cobeneficios y otros impactos para múltiples beneficios?
- ◆◆ ¿Cómo considera las capacidades técnicas y de recursos financieros de los responsables del sistema en el país?

## Annex 3. Agenda of the Participatory Self-Evaluation Workshop held on January 17, 2018



Ministerio de Agricultura,  
Ganadería y Alimentación

Ministerio de Ambiente  
y Recursos Naturales

Consejo Nacional de  
Áreas Protegidas



**Evaluación del proceso de Preparación para REDD+ en Guatemala**  
**TALLER NACIONAL**  
**Auto-evaluación participativa**

**Antecedentes**

Guatemala es uno de los 54 países que han recibido recursos del marco de acción del Fondo Colaborativo de Carbono de los Bosques (FCPF, por sus siglas en inglés), para mejorar sus capacidades para atender la deforestación y degradación de los bosques y fortalecer el proceso de Preparación para REDD+. A partir de la presentación de la Propuesta de Preparación para REDD+ (R-PP, por sus siglas en inglés) en el año 2012, Guatemala ha estado trabajando en mejorar las capacidades locales para el abordaje de la deforestación y degradación de los bosques, para lo cual ha contado con el apoyo del FCPF.

Como un proceso voluntario, Guatemala considera oportuno evaluar los avances que se han logrado a la fecha en su preparación para abordar la deforestación y degradación de los bosques, dentro del esquema de REDD+. Este proceso inicia con una autoevaluación participativa en donde las partes interesadas evalúan los avances y logros obtenidos a la fecha para la preparación de la Estrategia Nacional REDD+.

El **propósito principal de esta autoevaluación** es, entre otras cosas, documentar los avances obtenidos, recopilar las lecciones aprendidas, evaluar los puntos deficientes y aquellos que requieren de mayor atención, al mismo tiempo que se pueden identificar aquellas actividades que permitan iniciar con la transición hacia un esquema de reducción de emisiones basado en el desempeño.

**Objetivos del taller nacional**

Este taller nacional tiene como **objetivos**:

1. Identificar y evaluar los avances que se ha logrado como país, en la construcción de las bases para la implementación de REDD+ en Guatemala.
2. Identificar y priorizar, las principales lecciones aprendidas, y los puntos deficientes o que requieren mayor atención previo a proceder a promover la implementación de las acciones REDD+ en el territorio.
3. Identificar las principales fortalezas, debilidades y actividades pendientes de realizar / fortalecer en el proceso de construcción de la Estrategia REDD+.

**Resultado esperado**

Que las y los participantes puedan identificar y evaluar los avances, lecciones aprendidas y deficiencias que se han tenido en el proceso de construcción de la Estrategia REDD+ en el país, a fin de retroalimentar la segunda fase del proceso de implementación de Estrategia REDD+.

**Metodología**

Se realizará una presentación inicial sobre los principales avances a la fecha y el procedimiento que se empleará; posteriormente se promoverá la discusión en grupos y la revisión de los resultados indicados, a fin de poder valorar los avances indicados. Este proceso será moderado por un facilitador por cada grupo de trabajo y los resultados se integrarán en hojas Excel, para contar con los insumos de cada grupo e incorporarlos en el informe respectivo.



Ministerio de Agricultura,  
Ganadería y Alimentación

Ministerio de Ambiente  
y Recursos Naturales

Consejo Nacional de  
Áreas Protegidas



**Evaluación del proceso de Preparación para REDD+ en Guatemala**  
**Taller de Autoevaluación sobre el proceso de construcción de la Estrategia Nacional para abordar la**  
**Deforestación y Degradación de los Bosques en Guatemala (ENRDBG)**  
**AGENDA (propuesta)**

**Fecha:** miércoles 17 de enero de 2018



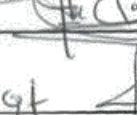




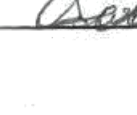


**Lugar:** Hotel Holiday Inn (1ª. Avenida 13-22 zona 10, Ciudad de Guatemala)  
 (el parqueo sugerido para el evento es en el Hotel Camino Real)

| Hora        | Actividad / Tema  | Responsable   |
|-------------|---|---|
| 8:30-9:00   | Registro de participantes   | Organización de apoyo local   |
| 9:00-9:10   | Bienvenida y apertura del evento  | Representante del MARN ante el GCI                                  |
| 9:10-9:30   | Presentación de los asistentes y sus expectativas   | Moderador / Geotecnológica  |
| 9:30-9:45   | Proceso REDD+ en Guatemala<br>fases y fechas clave en el proceso de construcción e implementación de la Estrategia REDD+                            | Representante de la UE-MARN-REDD+                                   |
| 9:45-10:15  | Presentación de la metodología para la autoevaluación participativa, instrumentos y organización de los grupos temáticos                            | Geotecnológica  |
| 10:15-10:30 | <b>Refacción</b>  |   |
| 10:30-10:45 | Instrucciones para trabajos en grupo  | Moderador / Geotecnológica  |
| 10:45-13:00 | Desarrollo de la actividad practica utilizando la metodología para la evaluación de los avances en el proceso de construcción de la ENDBG           | Grupos de trabajo por cada Componente / Sub-Componente identificado |
| 13:00-14:00 | <b>Almuerzo</b>   |   |
| 14:00-15:00 | Cont.<br>Desarrollo de la actividad practica utilizando la metodología para la evaluación de los avances en el proceso de construcción de la ENDBG  | Grupos de trabajo por cada Componente / Sub-Componente identificado |
| 15:00-16:00 | <u>Presentación de resultados:</u><br>Cada grupo presenta los resultados de la autoevaluación, en función de los criterios establecidos por el FCPF | Relatores de los grupos - Facilitado por Geotecnológica             |
| 16:00-16:15 | <b>Refacción</b>  |   |
| 16:15-16:45 | Discusión sobre principales fortalezas, debilidades y actividades pendientes de realizar/fortalecer en el proceso de construcción de la ENDBG       | Discusión grupal, moderada por Geotecnológica                       |
| 16:45-17:00 | Recapitulación general y revisión de dudas<br>Información sobre próximos pasos  | Organización de apoyo local   |

Annex 4. List of Participants to the Participatory Self-Evaluation Workshop held on January 17, 2018

Evento: "Taller de Autoevaluación sobre el proceso de construcción de la Estrategia Nacional para abordar la Deforestación y Degradación de los Bosques en Guatemala"

Lugar y Fecha: Hotel Holiday Inn; 17/01/2018

| No. | NOMBRE                       | ORGANIZACIÓN      | SECTOR (Público, Pueblos indígenas, ONG's, academia etc) | Comunidad lingüística (Idioma) | Pueblo (Mestizo, Xinca, Maya, Garifuna) | Teléfono          | Correo electrónico         | Firma   |
|-----|------------------------------|-------------------|--|--------------------------------|---|-------------------|----------------------------|---|
| 1   | Baudilio Velasquez           | REDD INIAMA       | Público  | Español                        | Mestizo                                 | 5904 8827         | b.velasquez@red.org.gt     |    |
| 2   | Eddy O. Palencia             | FUNDACCO          | ONG  | Español                        | Mestizo                                 | 5224 17           | e.palencia@fundacco.org.gt |    |
| 3   | Juan Eduardo James           | FUNDACCO          | ONG  | Español                        | Mestizo                                 | 5951 0574         | james07@hotmail.es         |    |
| 4   | Elder Danilo Pérez           | FUNDACCO          | ONG  | Español                        | Mestizo                                 | 50582248          | e.perez@fundacco.org.gt    |    |
| 5   | Dandra Portela               | FUNDACCO          | ONG  | Español                        | Xinca                                   | 31842060          | s.portela@fundacco.org.gt  |   |
| 6   | Naniyu Nandres               | CONAP             | Público  | Español                        | Mestizo                                 | 41002079          | nandres@conap.org.gt       |  |
| 7   | Ma. de los Angeles Aceteno   | MARN/REDD         | Público  | Español                        | Mestizo                                 | 2430500 Ext. 2203 | maace@fundacion.org.gt     |  |
| 8   | Luis Fernando Morales Pivral | PINPEP SAN MARCOS | RED PINPEP   | Castellano                     | Guatemalteco                            | 3008 1419         | lfmpivral@gmail.com        |  |
| 9   | Jose Cajon                   | MARN-RED          | Público  | Español                        | Maya                                    | 44125518          | jose.cajon@guat.gov.gt     |  |
| 10  | Aurora Citalan               | CAIMECAC          | ONG  | Xela                           |   | 52207707          |                            |  |

Evento: "Taller de Autoevaluación sobre el proceso de construcción de la Estrategia Nacional para abordar la Deforestación y Degradación de los Bosques en Guatemala"

Lugar y Fecha: Hotel Holiday Inn; 17/01/2018

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|-----|-----------------------|-------------------------------|--|--------------------------------|---|--------------|--------------------------------------|---------|
| 11  | Carlos Rivera         | Calmecac                      | ONG.   | Español                        | Mestizo                                 | 34725276     | @gmail.com<br>carlosrivera2017       | [Firma] |
| 12  | Mario Alberto Méndez  | Facultad de Agronomía<br>USAC | Academia   | "                              | "                                       | 24189309     | mariom@usac.edu.gt                   | [Firma] |
| 13  | Dolores Cubnel        | ASOC. AK'ENARIT               | ONG.   | Mam<br>Quiché                  | Maya                                    | 4062351      | mujeromaya@gmail.com                 | [Firma] |
| 14  | Luis Fernando Escobar | REDD/MASD                     | Público  | Español                        | Mestizo                                 | 511720789    | redd.mager@gmail.com                 | [Firma] |
| 15  | Angel Ivan yoc Gamay  | RED PINPEP                    | Público  | Mam                            | "                                       | 49450060     | comitur.tajumulco@yahoo.com          | [Firma] |
| 16  | Luis Pablo Lopez E.   | RED PINPEP                    | Público  | Español                        | "                                       | 49141663     | pablo2009eschar@gmail.com            | [Firma] |
| 17  | [Firma]               | 1779 96463<br>1416            | MARN<br>Zela   | Español                        | Mestiza                                 | 58328415     | lupitaauluan@hotmail.com             | [Firma] |
| 18  | Franco A. Cereñas     | INAP.                         | Público.   | Español                        | Mestizo.                                | 42303642     | fray2307@hotmail.com                 | [Firma] |
| 19  | Esvin Estrada         | ARAPIS                        | Pueblos indig  | Español<br>Quiché              | Ladino                                  | 51164569     | apiessv@hotmail.com                  | [Firma] |
| 20  | Helio Canales         | PINPEP                        | PINPEP.  | IZABAL                         | Mestizos                                | 5206<br>9694 | distribuidor de canales<br>@yaho.com | [Firma] |

Evento: "Taller de Autoevaluación sobre el proceso de construcción de la Estrategia Nacional para abordar la Deforestación y Degradación de los Bosques en Guatemala"

Lugar y Fecha: Hotel Holiday Inn; 17/01/2018

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|-----|--------------------|-------------------------|--|--------------------------------|---|-----------|------------------------------|-------|
| 21  | Karen Aguilar      | FUNDACIO                | ONG'S  | español<br>kek'chi             | kek'chi                                 | 5058539   | karaguilar@juridico.org.gt   | KA    |
| 22  | Saúl Pérez Arauz   | MARN                    | Publico  | español                        | mestizo                                 | 5208 2789 | sperez@mar.mn.gob.gt         |       |
| 23  | Aymé Sosa          | BID                     | BMD  | Español                        | Mestizo                                 | 23939376  | asosa@iadb.org.gt            |       |
| 24  | José Xej           | ANOFEG                  |  | Poptun                         | Maya                                    | 48961704  | kej.xox@gmail.com            |       |
| 25  | Felicia Cerritos   | PACUNAM                 | Privado  |                                |   | 50160714  | Cerritos@pacunam.org         |       |
| 26  | Alida R. Apén Caná | Samajela Taq<br>Ixog'ui | ONG  | Maya<br>Kaqchikel              |   | 591691396 | alida19071981@gmail.com      |       |
| 27  | MARCO MURINDA      | CSLMECOC                | ONG'S  | español                        | MESTIZO                                 | 7887791   | murinda@fundacioncslmecc.org |       |
| 28  | MARCO SYDLO        | CSLMECOC                | ONGS   | Castellano                     | MAYA                                    | 58197220  | cslmecc@sydlo.com            |       |
| 29  | Heri SOLDNIC       | FEDERACION<br>ANOFEG    | ONG  | kek'chi                        | MAYA                                    | 55129371  | heriorlandec@koo.com         |       |
| 30  | Adalberto López    | PACUNAM                 | Privado  | español                        | kek'chi                                 | 09099367  | alopez@pacunam.org           |       |

Evento: "Taller de Autoevaluación sobre el proceso de construcción de la Estrategia Nacional para abordar la Deforestación y Degradación de los Bosques en Guatemala"

Lugar y Fecha: Hotel Holiday Inn; 17/01/2018

| No. | NOMBRE                | ORGANIZACIÓN             | SECTOR (Público, Pueblos indígenas, ONG's, academia etc) | Comunidad lingüística (Idioma) | Pueblo (Mestizo, Xinca, Maya, Garifuna) | Teléfono | Correo electronico        | Firma   |
|-----|-----------------------|--------------------------|--|--------------------------------|---|----------|---------------------------|---------|
| 31  | Marina Leticia López  | CONAP                    | público  | Kaqchikel                      | Maya                                    | 55791539 | malelosicape@gmail.com    | [Firma] |
| 32  | Azari Velásquez O     | defensores               |  |                                |   | 40434294 |                           | [Firma] |
| 33  | Angel Alfonso Velarde | Defensores               |  |                                |   | 49086978 |                           | [Firma] |
| 34  | Salvador Xol López    | FDN                      |  |                                |   | 32063517 |                           | [Firma] |
| 35  | Jesús Carlos          | Defensores               |  |                                |   | 30794337 |                           | [Firma] |
| 36  | German Ramirez        | Defensores               |  |                                |   | 53360801 |                           | [Firma] |
| 37  | Carlos Cifuentes      | FDN                      | ONG  | Español                        | Guatemalteco                            | 30633367 | ccifuentes@defensores.org | [Firma] |
| 38  | Alan Galvan           | Mancomunidad Copanchorti | Público  | Español                        | Mestizo                                 | 50029624 | galvan_ala@defensores.org | [Firma] |
| 39  | Diego A. Agustín      | Mancomunidad Copanchorti | Público  | Español                        | Mestizo                                 | 57163504 | cfbcopanchorti@gmail.com  | [Firma] |
| 40  | Luis Lima             | Conap                    | Público  | "                              | "                                       | 57000109 | luis.lima@conap.gob.gt    | [Firma] |



Evento: "Taller de Autoevaluación sobre el proceso de construcción de la Estrategia Nacional para abordar la Deforestación y Degradación de los Bosques en Guatemala"

Lugar y Fecha: Hotel Holiday Inn; 17/01/2018

| No. | NOMBRE             | ORGANIZACIÓN            | SECTOR (Público, Pueblos indígenas, ONG's, academia etc) | Comunidad lingüística (Idioma) | Pueblo (Mestizo, Xinka, Maya, Garifuna) | Teléfono  | Correo electronico           | Firma |
|-----|--------------------|-------------------------|--|--------------------------------|---|-----------|------------------------------|-------|
| 41  | Flo Escobedo       | Gremial Forestal        | Privado  | Español                        | Guatemalteco                            | 23346872  | gerencia@gremialforestal.com |       |
| 42  | Kodw de Paz        | Araysis                 | Asociación   | Español                        | Mestizo                                 | 41759419  | depazkodw21@hotmail.com      |       |
| 43  | Alexandra Lopez    | FAO                     | Organización Internacional                               | Español                        | Mestizo                                 | 50798049  | alexandra.lopez@fao.org      |       |
| 44  | VICTOR FAY         | Cooperativa Balsa Linda | Asociación   | Español                        | Mestizo                                 | 58518017  | victorfay@hotmail.com        |       |
| 45  | Alfonso Amillaga   | Geotecnología           | Privado  | Castellano                     | Garifuna                                | 46122771  | alfonsoamillaga@geotec.com   |       |
| 46  | Gabriela Fuentes   | UVG                     | Academia   | Español                        | Mestizo                                 | 4154-2269 | gmfuentes@uvg.edu.gt         |       |
| 47  | José Manuel Mbo    | UE REDD                 | Público  | Español                        | Mestizo                                 | 54228524  | jmb@uegub.com                |       |
| 48  | Omar Orellana      | USME                    | Público  | Castellano                     | Mestizo                                 | 54742177  | omariorellana@usme.org       |       |
| 49  | Lorena Flores      | FAO                     | Cooperación  | Español                        | Mestizo                                 | 56989163  | lorena.flores@fao.org        |       |
| 50  | Marianne Hernandez | Panamá ONE              | ONG  | Español                        | Mestizo                                 | 23886902  | marianne@aventures.com       |       |

## Annex 5. Commitments to be executed in 2018 of the first readiness phase currently executed by the Ministry of Environment (US \$ 3.8 million):

### Execution report of the US\$ 3.8 million grant:

| No.          | Component                            | Initial Budget         | Execution 2014     | Execution 2015       | Execution 2016       | Execution 2017         | Accumulated Execution  | Projection 2018      |
|--------------|--------------------------------------|------------------------|--------------------|----------------------|----------------------|------------------------|------------------------|----------------------|
| 1            | <i>Organization and Consultation</i> | \$ 1,114,000.00        | \$ 4,724.00        | \$ 208,235.62        | \$ 398,830.62        | \$ 820,030.30          | \$ 1,431,820.54        | \$ 303,579.43        |
| 2            | <i>REDD+ Strategy Preparation</i>    | \$ 1,066,000.00        | \$ -               | \$ 1,357.49          | \$ 141,831.52        | \$ 323,914.62          | \$ 467,103.63          | \$ 259,085.64        |
| 3            | <i>Reference emissions scenarios</i> | \$ 977,000.00          | \$ -               | \$ 118,199.53        | \$ 279,054.32        | \$ 122,390.14          | \$ 519,643.99          | \$ 106,550.94        |
| 4            | <i>MRV systems</i>                   | \$ 643,000.00          | \$ -               | \$ -                 | \$ 49,804.80         | \$ 112,060.80          | \$ 161,865.60          | \$ 87,158.40         |
| <b>TOTAL</b> |                                      | <b>\$ 3,800,000.00</b> | <b>\$ 4,724.00</b> | <b>\$ 327,792.64</b> | <b>\$ 869,521.26</b> | <b>\$ 1,378,395.85</b> | <b>\$ 2,580,433.76</b> | <b>\$ 756,374.41</b> |

### Detail report of 2018 projection:

| No. Item  | Activities   | Projection 2018     |
|---|--|---------------------|
| <b>COMPONENT 1: Organization and Consultation</b> |  |                     |
| <b>Consulting services</b>                        |  |                     |
| 1   | Implementation of the national plan for consultation and participation process of the National REDD+ Strategy                              | \$175,093.18        |
| 2   | Support for communication and social dissemination with stakeholders of the preparation process of the country's National REDD + Strategy. | \$1,907.36          |
| 3   | Four REDD+ technicians (one for each GCI institution)  | \$14,708.99         |
| 4   | External audit (period 2015, 2016 and 2017)  | \$9,818.00          |
| 5   | Financial assistant for the REDD + Executing Unit.   | \$20,429.14         |
| 6   | Project coordinator  | \$40,858.30         |
| 7   | Procurement Specialist   | \$33,409.97         |
| 8   | Professional in monitoring and evaluation Executing Unit   | \$7,354.49          |
| <b>TOTAL CONSULTANCIES</b>                        |  | <b>\$303,579.43</b> |
| <b>Goods and services</b>                         |  |                     |
| <b>TOTAL GOODS AND SERVICES</b>                   |  | <b>\$0.00</b>       |
| <b>TOTAL COMPONENT 1</b>                          |  | <b>\$303,579.43</b> |
| <b>COMPONENT 2: REDD+ Strategy Preparation</b>    |  |                     |
| <b>Consulting services</b>                        |  |                     |
| 9   | Benefit sharing mechanism  | \$69,490.68         |
| 10  | Preparation of the National REDD+ Strategy   | \$119,150.74        |
| 11  | Assessment of land use, land-use change drivers, forest law, policy and governance   | \$21,123.71         |

|  |  |                     |
|--|--|---------------------|
| 12   | Support for linking the preparation of the National REDD + Strategy with the political agendas of priority sectors in the country.   | \$16,980.17         |
| 13   | Sustainable Forest Management for the Development of Forest Technology Packages of Five (5) Broadleaved Species  | \$2,043.60          |
| 14   | Technical support for the development of the roadmap of the preparation package of the national REDD + strategy.   | \$7,236.84          |
| 15   | Elaborate the General Regulation of the Framework Law to regulate the reduction of vulnerability, the mandatory adaptation to the effects of climate change and the mitigation of greenhouse gases, (Decree 7-2013). | \$9,473.68          |
| 16   | Prepare the Regulations of the National Fund for Climate Change, in accordance with article 24 of Decree 7-2013 (Consultancy to strengthen the technical area of the Project Unit of MARN)                           | \$7,586.22          |
| 17   | Sworn translation of the Spanish language into English of the REDD + Preparation Package within the framework of the National REDD + Strategy and other documents  | \$6,000.00          |
| <b>TOTAL CONSULTANCIES</b>   |  | <b>\$259,085.64</b> |
| <b>Goods and services</b>  |  |                     |
| <b>TOTAL GOODS AND SERVICES</b>  |  | <b>\$0.00</b>       |
| <b>TOTAL COMPONENT 2</b>   |  | <b>\$259,085.64</b> |
| <b>COMPONENT 3: Reference emissions scenarios</b>  |  |                     |
| <b>Consulting services</b>   |  |                     |
| 18   | Eight GIS technicians (two for each GCI institution)   | \$21,246.31         |
| 19   | Technical and financial feasibility of agroforestry systems as REDD+ initiatives in Occidente region   | \$28,150.14         |
| 20   | Coordinator of GIS technical   | \$7,354.49          |
| <b>TOTAL CONSULTANCIES</b>   |  | <b>\$56,750.94</b>  |
| <b>Goods and services</b>  |  |                     |
| 12   | Equipment for GIS technical  | \$24,800.00         |
| 22   | Mobile electronic device to strengthen CONAP (electronic tablets)  | \$25,000.00         |
| <b>TOTAL GOODS AND SERVICES</b>  |  | <b>\$49,800.00</b>  |
| <b>TOTAL COMPONENT 3</b>   |  | <b>\$106,550.94</b> |
| <b>COMPONENT 4: MRV systems</b>  |  |                     |
| <b>Sub component 4a and 4b: National forest monitoring system and information system for multiple benefits, other impacts, governance and safeguards</b> |  |                     |
| <b>Consulting services</b>   |  |                     |
| 17   | National MRV system for information and monitoring GHG emission, multiple benefits, other impacts, governance and safeguards   | \$87,158.40         |

|                     |                     |
|---------------------|---------------------|
| TOTAL CONSULTANCIES | \$87,158.40         |
| TOTAL COMPONENT 4   | <b>\$87,158.40</b>  |
| TOTAL               | <b>\$756,374.41</b> |