



Submit by Monday 3 December 2012

DARWIN INITIATIVE APPLICATION FOR GRANT FOR ROUND 19: STAGE 2

Please read the Guidance Notes before completing this form. Where no word limits are given, the size of the box is a guide to the amount of information required.

Information to be extracted to the database is highlighted blue.

ELIGIBILITY

1. Name and address of organisation (NB: Notification of results will be by post and email to the Project Leader)

Name: Roan Balas McNab Guatemala Country Program Director	Address: Roan Balas McNab, e-mail: Wildlife Conservation Society Avenida 15 de Marzo, casa No. 3. Flores, Petén, Guatemala 17001 Applicant organisation headquarters: Wildlife Conservation Society 2300 Southern Blvd. Bronx, NY 10460
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2. Stage 1 reference and Project title

(max 10 words)

Application reference: 1970

Project: "Evaluating community-based conservation agreements in Guatemala's Maya Biosphere Reserve"

3. Project dates, duration and total Darwin Initiative Grant requested, matched funding

Proposed start date:	Duration of project:				End date:
Darwin request	2013/14	2014/15	2015/16	2016/17	Total
	£	£	£	£	£

Proposed (confirmed and unconfirmed) matched funding as percentage of total Project cost: 40%

4. Define the outcome of the project. This should be a repetition of Question 24, Outcome Statement.

(max 100 words)

Community conservation agreements are successfully implemented in four community-managed forests of Guatemala's Maya Biosphere Reserve and impacts are rigorously tested, providing an innovative scalable model for reducing poverty and conserving biodiversity while providing value for money.

5. Country(ies)

Which eligible host country(ies) will your project be working in. You may copy and paste this table if you need to provide details of more than four countries.

Country 1: GUATEMALA	Country 2:
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6. Biodiversity Conventions

Which of the three conventions supported by the Darwin Initiative will your project be supporting? Note: projects supporting more than one convention will not achieve a higher scoring

Convention On Biological Diversity (CBD)	Yes
Convention on Migratory Species (CMS)	Yes
Convention on International Trade in Endangered Species (CITES)	No

6b. Biodiversity Conventions

Please detail how your project will contribute to the objectives of the convention(s) your project is targeting. You may wish to refer to Articles or Programmes of Work here.

Note: No additional significance will be ascribed for projects that report contributions to more than one convention

(Max 200 words)

This project addresses Aichi targets 2,5,7,14,15, and 19 and all five goals of the Convention on Biological Diversity. Conservation incentives agreements strengthen community capacity to protect the resources they depend upon for income and subsistence, and improve land tenure. By strengthening internal management, community forest concessions become more efficient and profitable, translating into increased dividends and self-financed social development.

Conservation incentives agreements contribute to the following strategic areas of the Guatemalan National Biodiversity Policy and the National Biodiversity Strategy and Action Plan:

- *Conservation and restoration of biodiversity*, through in situ conservation, risk management and restoration.
- *Sustainable use of biodiversity and ecosystem services*, through comprehensive land use planning, sustainable production landscapes, economic development, and competitiveness.
- *Biodiversity for mitigation and adaptation to climate change*, through reduction of emissions and vulnerability.

This project will also contribute to the Convention on Migratory Species through increased protection of MBR forests that provide critical habitat for Appendix 2-listed species like the Bat Falcon (*Falco ruficularis*), Osprey (*Pandion haliaetus*), Orange-breasted Falcon (*Falco deiroleucus*), Peregrine Falcon (*Falco peregrinus*), and King Vulture (*Sarcoramphus papa*).

Is any liaison proposed with the CBD/CITES/CMS focal point in the host country?

Yes No if yes, please give details:

WCS works intimately with CONAP, the Guatemalan National Protected Areas Council, which serves as the CBD focal point in Guatemala. For more than a decade, WCS has collaborated with CONAP in the Maya Biosphere Reserve within the framework of a cooperative agreement. **We attach a letter of support from CONAP for collaboration on this project.**

7. Principals in project. Please identify and provide a one page CV for each of these named individuals. You may copy and paste this table if you need to provide details of more personnel or more than one project partner.

Details	Project Leader	Project Partner 1 - Main	Personnel	Personnel
Surname	Balas McNab	Ramos	Radachowsky	Castillo
Forename (s)	Roan	Victor Hugo	Jeremy	Miriam
Post held	Country Director, WCS Guatemala	Director, Protected Areas Council Centre for Monitoring (CEMEC)	Senior Program Officer, Latin America	Coordinator of Community Conservation programs
Institution (if different to above)	WCS-Guatemala	CONAP	Wildlife Conservation Society- NY (headquarters)	WCS-Guatemala
Department	Casa No 3, Avenida 15 de Marzo, Flores, Peten, Guatemala	San Benito, Peten, Guatemala	Latin America Program WCS- NY	Community Conservation program
Telephone				
Email				

8. Has your organisation received funding under the Darwin Initiative before? If so, please provide details of the most recent (up to 6 examples). **NO**

Reference No	Project Leader	Title

9a. IF YOU ANSWERED 'NO' TO QUESTION 8 please complete Question 9,

What year was your organisation established/ incorporated/ registered?	WCS was established in 1895, as the New York Zoological Society The WCS Guatemala Program was established in 1992
What is the legal status of your organisation?	NGO <u>Yes/No</u> Government <u>Yes/No</u> University <u>Yes/No</u> Other (explain) <u>Yes/No</u>
Type of organisation (e.g. University, NGO, private sector, Government Department etc)	NGO
Have you unsuccessfully applied to the Darwin Initiative before? If yes please provide the application reference number(s)	No

How is your organisation currently funded?	(Max 100 words) WCS receives support from a diverse group of government and private sources (individuals, foundations, corporations). Among our top government partners are the U.S. Agency for International Development, Norway's Ministry of Foreign Affairs, and the U.S. Fish and Wildlife Service. Foundation supporters include the Liz Claiborne and Art Ortenberg Foundation, Doris Duke Charitable Foundation, John D. and Catherine T. MacArthur Foundation, and Gordon and Betty Moore Foundation. Corporate partners include Bank of America, Con Edison, Goldman, Sachs and Co., and the Tiffany and Co. Foundation.
Have you provided appropriate audited/independently examined accounts?	<u>Yes/No</u> WCS audit for 2010: http://www.wcs.org/files/pdfs/Audited-Financial-Statements-2010-WCS.pdf WCS audit for 2011: http://www.wcs.org/files/pdfs/Audited-Financial-Statements-2011-WCS.pdf

9b. Provide detail of 3 contracts previously held by your institution that demonstrate your credibility as a research organisation and provide track record relevant to the project proposed. These contracts should have been held in the last 5 years and be of a similar size to the grant requested in your Darwin application.

Contract 1 Title	Scaling Up Conservation Success with SCAPES
Contract Value	\$XXXX USD (Note that while this project is at a much larger scale than the Darwin project that we are requesting, this contract is included to demonstrate WCS's broad capacity as an applied research and conservation organisation)
Contract Duration	2009-2014
Role of institution in project	Lead Institution
Brief summary of the aims, objectives and outcomes of the contract.	Through this project, WCS is scaling up research findings and applying lessons learned over the past 20 years to conserve three transboundary conservation areas at the landscape level. Our overarching goal for this project is to conserve biodiversity and secure the livelihoods of the rural poor through targeted site-based and policy initiatives at globally important sites for biodiversity conservation. The three landscapes include Greater Madidi-Tambopata (Bolivia and Peru); the Daurian Steppe (Mongolia, Russia and China); and the Kavango-Zambezi Transfrontier Conservation Area, or KAZA TFCA (Angola, Botswana, Namibia, Zambia and Zimbabwe). Building on sound field science, WCS's targeted actions have produced the following outcomes, among others: In Madidi-Tambopata, WCS has worked with 9 productive enterprises to improve indigenous communities' ability to manage natural resources for increased financial and ecological sustainability. In the Daurian Steppe, demand for sustainable resource use policies that

	secure ecosystem services for local livestock herders (30% of Mongolia's population) has grown, and a network of community-based conservation sites now covers 150,000 hectares of the Eastern Steppe region. The KAZA TFCA has been formally established as the world's largest conservation landscape, spanning 444,000 square kilometres.
Reference contact details (Name, e-mail, address, phone number).	Andrew Tobiason, USAID/EGAT/NRM, Ronald Reagan Building 3.08, 1300 Pennsylvania Ave. NW, Washington DC 20523-3800.

Contract 2 Title	Strengthening Emerging Local Governance Capacity to Conserve Natural and Cultural Resources and Secure Livelihoods in the Petén, Guatemala
Contract Value	£XXXX (DFID) WCS=33%; partners 67% = (ACOFOP, Asociación Balam, CALAS, CECON, CEMEC, CONAP)
Contract Duration	15/08/2008 to 14/08/2013
Role of institution in project	Project lead
Brief summary of the aims, objectives and outcomes of the contract.	<p>WCS, together with five governmental and non-governmental partners, developed a coalition to simultaneously protect the forest in Guatemala's Maya Biosphere Reserve and improve the livelihoods of people who depend on forest resources for their survival. The purpose of this project was to build local capacity to create and run capable, responsive, and accountable government and civil society institutions responsible for upholding the rule of law and management of the natural and cultural resources of the Maya Biosphere Reserve, with the ultimate goal of generating economic, social, and environmental benefits for local communities, civil society organisations, the National Government, and the global community. Results include:</p> <ul style="list-style-type: none"> • Recovery of 123,000 ha of illegally colonized land • Removal of more than 10,000 head of cattle from illegal ranches in the reserve • Establishment of six new permanent Protection and Control Centres restricting access to the core of the reserve • Increased multi-institutional patrols with army, police, and park guards • Increased efficacy of the environmental justice system • Improvement of secondary education, health service delivery, and water delivery in seven target communities • Community Development Councils strengthened and actively managing projects for education, health, and access to potable water • Improved administrative and forest protection capacity in community forest concessions, resulting in improved financial management and environmental sustainability of community enterprises
Reference contact details (Name, e-mail, address, phone number).	Mike MacDonald Grant Manager, DFID Governance and Transparency Fund Sussex Innovation Centre, Science Park Square Falmer, Brighton, BN1 9SB, United Kingdom

Contract 3 Title	Capacity Building and Collaboration to Strengthen Governance in the Maya Biosphere Reserve, Guatemala and the Selva Maya of Guatemala, Belize and Mexico
Contract Value	\$ XXXX. WCS (37%) and BALAM (63%) (U.S. Department of Interior International Technical Assistance Program)
Contract Duration	18 months July 2012-December 2013
Role of institution in project	Project Co-lead with Asociación Balam
Brief summary of the aims, objectives and outcomes of the contract.	<p>The goal of the project is to provide technical assistance and training to improve the governance and management of the tri-national Selva Maya of Guatemala, Belize and Mexico, with a continued focus on the Maya Biosphere Reserve (MBR) of Guatemala as the most vulnerable section of the intact tri-national forest.</p> <p>In order to implement the activities, Wildlife Conservation Society works together with national partner NGO Asociación Balam to accomplish the following objectives: 1) Strengthened governance in the Maya Biosphere Reserve. 2) Improved public participation in Protected Area Management. 3) Reduction of Illicit trafficking of the natural and cultural heritage of the Selva Maya of Guatemala, Belize and Mexico.</p>
Reference contact details (Name, e-mail, address, phone number)	Cynthia Perera. US Department of Interior; International Technical Assistance Program, (USDO/I/TAP)

9c. Describe briefly the aims, activities and achievements of your organisation. (Large institutions please note that this should describe your unit or department)

<p>Aims (50 words)</p> <p>WCS saves wildlife and wild places by understanding critical issues, crafting science-based solutions, and taking conservation actions that benefit nature and humanity. WCS believes that addressing human needs and aspirations in the places where we work is essential if we are to conserve wild nature over the long term.</p>
<p>Activities (50 words)</p> <p>WCS has an unmatched record of performance and experience in the conservation of wildlife and wild places through scientific research, training, and education. We work closely and collaboratively with local communities, government agencies, regional institutions, and non-governmental agencies to ensure our research results inform policy and lead to conservation impact.</p>
<p>Achievements (50 words)</p> <p>WCS has played a leadership role in implementing range-wide solutions to conserving threatened species across the globe. In the Maya Biosphere Reserve we have developed innovative approaches to conservation through strategies that ensure the equitable participation of rural communities while improving conservation and sustainable development outcomes.</p>

10. Please list all the partners involved (including the Lead Institution) and explain their roles and responsibilities in the project. Describe the extent of their involvement at all stages, including project development. This section should illustrate the capacity of partners to be involved in the project. Please provide written evidence of partnerships. Please copy/delete boxes for more or fewer partnerships.

Lead institution and website:	Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)
<p data-bbox="172 264 478 331">Wildlife Conservation Society (WCS)</p> <p data-bbox="172 340 363 371">www.wcs.org</p>	<ul style="list-style-type: none"> <li data-bbox="598 271 1262 302">• WCS will serve as project leader and manager. <li data-bbox="598 318 1385 584">• In the Maya Biosphere Reserve, WCS has proven capacity for project management and experience fostering community partnerships for natural resource management, and a long history of using research to inform conservation efforts. WCS has established baselines to evaluate socioeconomic progress of local communities, and led annual evaluations of the “State of the MBR” since 2002. <li data-bbox="598 600 1385 801">• WCS has established conservation incentives agreements with three communities within the MBR. We will provide technical support for implementation of these agreements and methodological/technical support to Asociación Balam for the implementation of the fourth agreement in Carmelita. <li data-bbox="598 817 1385 1048">• WCS will conduct annual socioeconomic monitoring to measure the social impact of conservation incentives agreements, and combine data with results of deforestation and forest fire monitoring undertaken by partner CEMEC. Furthermore, WCS will commission a comprehensive and independent final external evaluation of the agreements and their impacts. <li data-bbox="598 1064 1385 1160">• WCS will produce and disseminate synthetic outreach materials describing lessons learned for different target audiences. <li data-bbox="598 1176 1385 1272">• WCS will prepare policy recommendations and analyze the feasibility of replicating agreements throughout the Guatemalan protected areas system. <li data-bbox="598 1288 1385 1348">• WCS will report to the Darwin Initiative, CONAP, and community organizations.

<p>Partner Name and website where available:</p> <p>Guatemalan National Protected Area Council (CONAP) www.conap.gob.gt</p>	<p>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</p> <ul style="list-style-type: none"> • CONAP is the governing body of Guatemala's protected areas, and plays a key role in approving and monitoring all activities undertaken within protected areas, including conservation incentives agreements. CONAP is currently developing a draft policy on conservation incentives, has dedicated personnel charged with their design and monitoring, and provides an annual endorsement letter with opinions on the implementation of each agreement. CONAP also accompanies local community groups in the compliance of specific commitments, including financial/administrative compliance, determination/ improvement of internal zoning, and interventions to respond to significant threats identified by community protection patrols. WCS will report quarterly to CONAP on the progress and challenges encountered in each community. • CONAP, through its Biodiversity Technical Office, is also the focal point for implementing the CBD in Guatemala, so their endorsement and participation will ensure that conservation incentives agreements are meeting the objectives of CBD. • CEMEC, a semi-independent "Centre for Monitoring and Evaluation of CONAP", will be responsible for monitoring deforestation and forest fires in areas with conservation incentives agreements. CEMEC is regionally renowned for its geographic information management capacity and holds the most complete protected area databases in Latin America, including environmental, social, development, and governance indicators.
<p>Have you included a Letter of Support from this institution?</p>	<p>Yes</p>

<p>Partner Name and website where available:</p> <p>Asociación Balam: www.asociaciónbalam.org</p>	<p>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</p> <ul style="list-style-type: none"> • Asociación Balam is a Guatemalan NGO with expertise in protected area management, community participation, and building social networks. • Balam currently provides technical support to the community of Carmelita, where one conservation incentives agreement is being implemented. Balam also supports initiatives in Paso Caballos that complement the WCS-led conservation incentives agreement, including capacity building for tourism and supporting WCS in community forest fire prevention. • As member of the DFID Governance and Transparency project consortium, Asociación Balam has also gained significant experience in conducting basic necessities surveys in the rural communities of the MBR. As part of this project, Balam led the development of the Environmental Justice Forum of Peten to promote greater coordination between MBR stakeholders and public prosecutors responsible for addressing environmental crimes and the rights of communities responsible for managing the reserve's Multiple Use Zone. As of 2004, Balam also functions as the Secretariat of the Mesa Multisectorial, a diverse forum of stakeholders from MBR designed to promote consensus and collaboration, with a particular focus on ensuring that local community leaders can represent their points of view and aspirations to NGO's, government, and donors.
<p>Have you included a Letter of Support from this institution?</p>	<p>Yes</p>

<p>Partner Name and website where available:</p> <p>PACUNAM www.pacunam.org</p>	<p>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</p> <p>PACUNAM is a foundation comprised of visionary corporations committed to the preservation of Guatemala's natural and cultural heritage through sustainable development for the benefit of future generations.</p> <p>Three of the main objectives of PACUNAM are the following:</p> <ul style="list-style-type: none"> • Provide financial support for the study of strategic archaeological sites within the Maya Biosphere Reserve in order to protect it as an ecological and cultural system. • Develop the Carmelita-Mirador route as a sustainable tourist circuit to provide revenue for local communities. • Support Conservation Incentives Agreements in local communities, in order to make conservation a viable choice for users of local resources. <p>In this project, PACUNAM will provide partial funding for the implementation of conservation agreements in Uaxactun and Carmelita through December 2013.</p>
<p>Have you included a Letter of Support from this institution?</p>	<p>Yes</p>

<p>Partner Name and website where available:</p> <p>Community Development Councils (COCODES) and community-based forest concession organisations of Uaxactún, Carmelita, and Paso Caballos, and Council of Elders of Paso Caballos</p>	<p>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</p> <ul style="list-style-type: none"> • Community Development Councils (COCODES) are responsible for promoting and organising village-level social development projects including education, health, infrastructure development, and community events. Of the three agreements in force in the MBR, COCODES have been key partners throughout. • Community-based forest concession organisations are responsible for managing community forests in the Multiple-Use Zone (MUZ) of the MBR. Communities with historical ties to the forest within the MBR were granted the 'usufruct' rights to timber and non-timber forest resources through concession agreements in the late 1990s and early 2000s, in response to the 1996 Peace Accords which mandated increased democratization, decentralization of power and resources, and participatory development. The two principal community organisations in this project are OMYC in Uaxactún and the Carmelita Cooperative in Carmelita. • COCODES and community-based forest concession organisations are central actors and integral partners in the development, negotiation, implementation, and monitoring of community conservation incentives agreements. • The Council of Elders in the indigenous community of Paso Caballos will participate throughout the process, playing an especially important role during the annual ratification of agreements in the community assembly. • In all cases, participation in agreements is voluntary, and depends wholly on the interest of each community.
<p>Have you included a Letter of Support from this institution?</p>	<p>Yes – for each community, we include letters from the Community Development Councils and community-based forest concession organisations, as well as a letter from the Council of Elders of Paso Caballos.</p>

TECHNICAL EXCELLENCE

12. Problem the project is trying to address

Please describe the problem your project is trying to address. For example, what biodiversity and development challenges will the project address? Why are they relevant, for whom? How did you identify these problems?

(Max 200 words)

The Maya Biosphere Reserve (MBR), Guatemala's largest protected area, embodies the challenge of balancing conservation and development priorities. The two million hectare MBR lies at the heart of the largest contiguous block of forest in Mesoamerica and is home to a unique assemblage of animals and plants and thousands of archaeological sites. It hosts jaguars, critically endangered Central American river turtles and Guatemala's last wild population of scarlet macaws. However, the MBR is also home to approximately 118,000 people, 60% of whom suffer from poverty or extreme poverty.

Poverty, landlessness, weak governance systems, and rapid population growth have put increasing pressure on the MBR's natural resources, spurring deforestation and forest fires that threaten the MBR's biodiversity, and which also undermine the proven potential for sustainable streams of natural resources commodities and services of vital importance to rural economies. WCS has 17 years of on-the-ground experience working with MBR communities on integrated conservation and development. With Darwin Initiative funding, WCS will implement and measure the effectiveness of community conservation incentives agreements to improve human access to basic necessities, and reduce the threat of habitat loss. This will provide a scalable model for simultaneously reducing poverty and conserving biodiversity.

13. Methodology

Describe the methods and approach you will use to achieve your intended outcomes and impact. Provide information on how you will undertake the work (materials and methods) and how you will manage the work (roles and responsibilities, project management tools etc).

(Max 500 words – repeat from Stage 1 with changes highlighted)

In 2009, WCS and partners began implementing an innovative community-based conservation incentives payment system in Guatemala's Maya Biosphere Reserve. "Conservation incentives agreements" provide clear contracts between local communities, government, NGO partners, and donors to protect biodiversity through economic incentives that are designed and managed with local communities. Community conservation commitments are negotiated with full participation of community leaders (including Community Development Councils), and subsequently ratified in open assemblies. Commitments are adapted to the context of each community; they typically include pledges to address the major threats identified through participatory evaluations. Preliminary evidence suggests that the model holds great promise to both protect biodiversity and reduce poverty; however, because conservation incentives agreements are a relatively new tool, rigorous analyses of implementation and impacts are needed. In fact, there is a general dearth of empirical evidence surrounding the impacts of payments for environmental services on poverty reduction and deforestation¹.

The purpose of this project is to rigorously test the effectiveness of community conservation incentives agreements as a model for simultaneously reducing poverty and conserving biodiversity in Guatemala's Maya Biosphere Reserve. With Darwin Initiative funding, WCS will: (1) Implement conservation incentives agreements across four communities representing a range of ecological and socioeconomic contexts; (2) Conduct research to synthesize experiences and evaluate the direct impact of agreements on biodiversity conservation and poverty reduction; and (3) Disseminate lessons learned to facilitate the replication of conservation incentives agreements across the Guatemalan Protected Areas System and beyond.

Implementation of agreements: Between 2009 and 2012 three conservation incentives agreements were signed with MBR communities of Uaxactun, Paso Caballos, and Carmelita. With Darwin Initiative funding, WCS and partner organisations will implement these three incipient agreements for three years, and will initiate a new agreement with the community of Cruce a la Colorada. WCS and partner organisations will work closely with communities to increase local capacity, assist implementation, oversee activities voluntarily agreed upon, and monitor impacts of agreements.

Impacts research: Poverty reduction will be evaluated using methodologies developed previously with work funded by DFID's Governance and Transparency Fund. This

¹ Pattanayak, S.K., Wunder, S. and Ferraro, P. J. 2010. Show Me the Money: Do Payments Supply Environmental Services in Developing Countries? Symposium: Environmental Quality and Economic Development. Review of Environmental Economics and Policy, 4(2) summer 2010: 254-274.

socioeconomic monitoring methodology allows us to track impacts of community incentives agreements over time. To achieve rigorous evaluations, we will utilise qualitative and quantitative information, incorporating logframe indicators, qualitative supporting evidence, and individual narratives. Basic necessities surveys will be used to monitor poverty as defined locally. Environmental indicators such as deforestation and forest fire occurrences will be measured through remote sensing by partner organisation CEMEC. A final external evaluation will synthesize experiences in distinct community contexts, evaluate impacts, and use results chain analyses to evaluate causality and value for money.

Dissemination of lessons learned: In the final year of the project, WCS will produce outreach materials targeted toward different audiences to share lessons and raise awareness. Results will be published in a technical white paper; bulletins shared widely using web-based and social media; and CONAP's initial policy guidelines for incentives will be strengthened, generating benefit to the entire protected areas system throughout Guatemala.

14. Outcome

Detail what the expected outcomes of this work will be. The outcome should identify what will change and who will benefit. The outcome should refer to how the project will contribute to reducing poverty while contributing to sustainable development and management of biodiversity and its products. A summary statement of this outcome should be provided in question 4 and 24.

(Max 250 words)

Beneficiaries: Proposed conservation incentives agreements will benefit 4,000 people including children, youth, and marginalized Maya-Q'eqchi' indigenous peoples. Global environmental benefits will accrue by averting habitat destruction, biodiversity loss, and carbon releases.

Improved land tenure: Local communities will strengthen their rights to access and manage land in the MBR by improving compliance with CONAP's environmental norms.

Improved access to basic necessities: Through community conservation incentives agreements, rural communities identify and prioritize their most pressing social investments. To date, social development "incentives" have included support for education, economic development activities, health services, and physical capital, paralleling Guatemala's 2006 national poverty reduction strategy. We expect that at least 25% of the target population will demonstrate improved access to education, health services, and/or locally prioritised development initiatives.

Improved community capacity: Community-based management structures and processes strengthened. Agreements are established by elected community leaders in partnership with CONAP, discussed and voted upon in open community assemblies, and implemented by established community organisations including Community Development Councils (COCODES), contributing to the communities' capability of managing their own development, particularly in regard to financial management and administrative transparency.

Improved capacity of Guatemala to meet CBD obligations: This project addresses Aichi targets 2,5,7,14,15, and 19 and all five goals of the Convention on Biological Diversity. Conservation incentives agreements strengthen community capacity to protect the resources they depend upon for income and subsistence, and strengthen land tenure. By improving internal management, community forest concessions become more efficient and profitable, providing increased dividends and self-financed social development.

15a. Is this a new initiative or a development of existing work (funded through any source)? Please give details (Max 200 words):

Although conservation agreements have been implemented in Guatemala since 2009, there have been no systematic evaluations of their efficacy. This initiative builds upon and complements agreements funded through counterpart sources, but focuses primarily upon testing the conservation agreement model and providing lessons learned for replication and scaling up. A rigorous analysis of methods, impacts, and value for money will allow us to test whether conservation agreements trigger a reduction in deforestation and forest fires, and improve the quality of life for the people in and around protected areas. These lessons are of utility for potential replication of this model at a global scale.

15b. Are you aware of any other individuals/organisations/ projects carrying out or applying for funding for similar work? Yes No

If yes, please give details explaining similarities and differences, and explaining how your work will be additional to this work and what attempts have been/will be made to co-operate with and learn lessons from such work for mutual benefits:

We are aware of two small scale conservation incentives agreements implemented in the pine and oak highlands of Guatemala by the national NGO FUNDAECO. However, we are not aware of any systematic attempt to evaluate the impact of these agreements.

15c. Are you applying for funding relating to the proposed project from other sources? Yes No

If yes, please give brief details including when you expect to hear the result. Please ensure you include the figures requested in the excel spreadsheet as Unconfirmed funding.

We have applied for counterpart funding for the long-term implementation of agreements in Paso Caballos, Uaxactun and Carmelita. This includes two sources of funding considered highly probable that will respond to us by mid-December, 2012 (**See Section 24 for details**): an expansion of current funding from PACUNAM for costs associated with technical accompaniment of the Uaxactún and Carmelita agreements, and a small grant from Conservation International's Conservation Stewards Program for partial costs associated with the Paso Caballos agreement during the latter part of 2013.

16. Value for money

Please describe why you consider your application to be good value for money including justification of why the measures you will adopt will secure value for money?

(Max 250 words)

WCS makes long-term, on-the-ground commitments. We leverage those commitments to provide value for money by building upon established partnerships in-country and applying the contextual knowledge and lessons learned to plan culturally-appropriate and feasible projects. In all the places where we work, WCS is an established partner of the host government and an integral leader in the conservation community—this positions us to deliver results and make significant impact.

For this project, WCS will take several measures to maximize economy, efficiency and effectiveness of the Darwin Initiative's funds. Below, we outline some of the structural strengths and guiding principles of the WCS Guatemala program. Specific budgetary, administrative, and procedural methods are specified in section 27 of this proposal.

Strengths of our Guatemala program for ensuring value for money include:

- Long-term commitment to the landscape and its people, allowing us to build on past

lessons and established relationships

- Working with local partners as integral members of the team builds long term capacity in country and promotes sustainability of interventions
- Ensuring that interventions respond to the needs of specific vulnerable communities helps build a sense of ownership among beneficiaries and maximizes impact
- Low indirect costs provide greater investment in local communities and field operations
- Consistent accompaniment and participatory evaluation ensure that local partners and communities are meeting obligations, and that interventions provide expected impacts
- Monitoring of resources, activities and implementation ensure effective project operations, value for money, increased national partner capacities, and adaptive management

17. Ethics

Outline your approach to meeting the Darwin Initiative's key principles for research ethics as outlined in the guidance notes.

(Max 300 words)

WCS management systems ensure adherence to labor, finance, banking and legal registration regulations specific to each of the nearly 60 countries where we work, alongside US government regulations and donor compliance requirements. WCS Europe is a legally registered charity in England and Wales and WCS is legally registered in Guatemala, where we operate under a MoU with CONAP.

WCS participates in the Conservation Initiative on Human Rights (<https://community.iucn.org/cihr/Pages/default.aspx>), which is developing a strategy to fulfil FPIC responsibilities for a UK foundation-funded REDD+ project in Uganda and setting standards for FPIC compliance more broadly. WCS has also initiated a review of human rights issues in the places where we work. Our Internal Review Board ensures that research carried out by our programs protects the rights of human subjects.

Our partnerships with local people strive to understand, value, and apply traditional knowledge to addressing biodiversity, resource management, and poverty alleviation challenges. This contributes to local efforts to improve human wellbeing by affirming cultural identity in the face of rapid change, while making explicit our shared interest in finding alternatives to dominant approaches to economic development. As described above, these principles apply to our full engagement with government and community entities in Guatemala.

WCS has a Duty of Care policy that details obligations of employees and the institution to create an environment of safety and concern in the fulfilment our mission, including access to medical care; insurance policies; and crisis management procedures.

WCS is committed to building credible and independent science-based understanding of biological diversity and ecosystem integrity and their centrality to the quality of human life. WCS is a leading sponsor of scientific research, and our personnel are among the world's most prolific in generating peer-reviewed publications.

PATHWAY TO IMPACT

18. Legacy

Please describe what you expect will change as a result of this project with regards to biodiversity conservation/sustainable use and poverty alleviation. For example, what will be the long term benefits (particularly for biodiversity and poor people) of the project in the host country or region and have you identified any potential problems to achieving these benefits?

(Max 300 words)

Community incentive agreements are a promising model for conservation and community development that can be adapted to very different circumstances. This has been suggested by

initially successful pilot projects with indigenous Maya inhabitants of vastly different landscapes of Guatemala, such as the pine and cloud forests of Guatemala's Western Highlands, and the broad-leafed lowland forest expanse of Guatemala's Department of Peten, inhabited by the majority Ladino population and the Q'eqchi' Maya community of Paso Caballos.

The direct, immediate impacts of this project include increased access to basic necessities such as education and health services by more than 4000 residents in four target communities, the protection of at least 900 hectares of forest that without intervention will likely be deforested, and a 10% reduction in area impacted by forest fires. The remote, rural target communities comprise historically marginalized groups, including Q'eqchi' Maya indigenous people, and the forest to be conserved is of global importance for biodiversity conservation.

The legacy of the project will consist of a scientific evaluation of the effectiveness of the method of community conservation agreements based on data, qualitative evaluations and local testimonies, and lessons learned. This important contribution will help WCS, our partners in the MBR, and the conservation community world-wide to either work to scale up and improve the methodology, or to promote more systematic adjustments that may even include the total revision of the method as currently implemented. This process will result in an improved CONAP policy on conservation incentives within the national system of protected areas, helping to propel more efficient sustainable development interventions across rural Guatemala and beyond. Thus, in the long-term, we expect results of our research to positively affect vast areas in Guatemala that are of high biological importance and the welfare of numerous local communities that depend on these lands.

19. Pathway to poverty alleviation

Please describe how your project will benefit poor people living in low-income countries. Projects are required to show how positive impact on poverty alleviation will be generated from your project in low-income countries. All projects funded under the Darwin Initiative in Round 19 must be compliant with the Overseas Development Assistance criteria as set out by the OECD. The outcomes of your research must at the very least provide insight into issues of importance in achieving poverty alleviation.

(Max 300 words)

In Guatemala's MBR, there is an intimate interdependence between livelihoods and the forest, yet the forest is threatened by severe, large-scale deforestation. Sixty percent (60%) of families living in the MBR suffer from poverty or extreme poverty, and only 35% of the inhabitants of Petén have a secondary education. All of the target populations have historically been marginalized due to their isolation from governmental services and traditional development programs.

Direct benefits:

Through the continuance of three current community conservation incentives agreements and the establishment of a fourth agreement, this project will benefit four extremely rural forest communities encompassing at least 4,000 people including children, youth, women, and Maya-Q'eqchi' indigenous peoples. Through agreements, rural communities identify and prioritize their most pressing social investments, so benefits will depend on what is agreed upon by communities. To date, social development "incentives" have included payments of additional teachers and/or community health practitioners, establishment of local pharmacies, and investments in collectively-run micro-enterprises, including non-timber forest product production. In general, projects provide support for education, enterprise, health services, and physical capital, paralleling Guatemala's 2006 national poverty reduction strategy.

Agreements are established by community leaders, discussed and voted upon in community assemblies, and implemented by community organisations. Thus, in addition to addressing exigent development needs of these communities, incentives agreements also empower community structures, significantly increasing the management capacity of Community Development Councils (COCODES), community-based forest concession organisations, and

their constituents.

Indirect benefits:

By investigating the efficacy of incentives agreements to achieve a “win-win” situation for biodiversity conservation and poverty alleviation, this project has major implications for effectively managing the intersection of conservation and development. Over the long-term, applying these results and lessons learned to effectively create and manage community conservation incentives agreements in Guatemala and other low-income countries will provide direct benefits to impoverished people.

20. Exit strategy

State whether or not the project will reach a stable and sustainable end point. If the project is not discrete, but is part of a progressive approach, give details of the exit strategy and show how relevant activities will be continued to secure the benefits from the project. Where individuals receive advanced training, for example, what will happen should that individual leave?

(Max 200 words)

WCS is dedicated to building the capacity of the MBR’s national partner and community organisations and ensuring financial mechanisms for the long-term support of initiatives in the communities where we work. Project activities focus heavily on strengthening Community Development Councils (COCODES) and community-based forest concession organizations.

WCS began developing a strategy in 2010 to promote the financial sustainability of conservation agreements in the MBR by working with partners and local government on two broad-based, long-term financial mechanisms. Both include conservation agreements as a preferred method for guiding conservation and development resources toward local communities.

The first is a significant endowment called "Fund for the Conservation of the Maya Biosphere Reserve." The endowment will be funded by diverse mechanisms, including an already advancing debt-for-nature swap between the Government of Guatemala and the United States Department of Treasury, and donations from foundations and individuals.

The second mechanism is an advancing REDD+ (Reducing Emissions from Deforestation and Forest Degradation) project in the MBR Multiple Use Zone entitled “GuateCarbon,” which is founded on the collaboration between CONAP, community forest concession managers, and technical support from Rainforest Alliance and WCS. The initiative is projected to generate income in the range of US\$1.2-\$1.5 million annually.

HIGHLY DESIRABLE

21. Raising awareness of the potential worth of biodiversity

If your project contains an element of communications, knowledge sharing and/or dissemination please provide a description of your intended audience, how you intend to engage them, what the expected products/materials there will be and what you expect to achieve as a result. For example, are you expecting to directly influence policy in your host country or is your project a community advocacy project to support better management of biodiversity?

(Max 300 words)

Community incentive agreements make an explicit and direct link between biodiversity and its financial and nonmonetary values. The voluntary negotiation process itself brings together local, national, and international stakeholders and promotes analysis and reflection about the worth of biodiversity according to different actors. The recognition of the importance of biodiversity to local livelihoods and cultures is re-avowed through their commitment to conserve, and supported financially by actors who are willing to pay for the protection of biodiversity, cultural heritage, and ecosystem services.

The primary data generated will be disseminated through synthetic outreach materials targeted toward different audiences. At the local level, WCS will organize annual assemblies in each community implementing a conservation agreement to present and discuss results achieved, challenges, and lessons learned. The results of the agreements, including success stories and results of ecological and socioeconomic monitoring, will be disseminated in Spanish and English on web sites, at meetings, and through various media outlets, and shared with conservation institutions working in the region, including Asociación Balam, Rainforest Alliance, Association of Forest Communities of Petén (ACOFOP), Defensores de la Naturaleza, FUNDAECO, and others. WCS will also submit at least one article on conservation agreements for publication in a peer-reviewed journal, focused toward academic and development practitioner audiences.

Recommendations will be developed to guide an official policy for conservation incentives in the Maya Biosphere Reserve to be developed by CONAP. WCS will organize a workshop with key players in the MBR (GOs, NGOs and civil society) in order to analyse the potential for and limitations to the replication of conservation agreements. WCS will hold at least two events to share the results of conservation agreements at the national level with NGO partners, government entities, and bilateral institutions, and will advocate for national policies favouring community agreements.

22. Importance of subject focus for this project

If your project is working on an area of biodiversity or biodiversity-development linkages that has had limited attention (both in the Darwin Initiative portfolio and in conservation in general) please give details.

(Max 250 words)

This project's community-based conservation incentives agreement model provides an innovative, adaptable, and modular mechanism for biodiversity protection and poverty alleviation. In comparison with the more traditional integrated conservation and development projects (ICDPs) this approach has been relatively understudied and neglected by the conservation community, and has received little attention from donor organisations. To our knowledge, the Darwin Initiative portfolio has not included projects that use, or study the effectiveness of, this approach.

ICDPs argue that by providing alternative sources of income, stakeholders will cease to utilize environmentally destructive practices for income and will protect the natural resources upon which their new livelihoods depended. However, despite substantial investment from donor organizations and many attempts to implement ICDPs worldwide, many researchers have reported that few projects have achieved their goals, and even fewer have done so with rigorous evidentiary documentation. In contrast with ICDPs, the links between biodiversity and development in the agreement model are explicit and direct. In fact, the agreements can serve as a delivery mechanism for basic social services, as well as an interface for payments for ecosystem services including REDD+.

Not only will this project directly benefit thousands of marginalised rural poor people and protect forests and biodiversity, but it will analyse and evaluate this innovative approach and provide a springboard for its replication or modification based on results. This blend of conservation and development impact with rigorous scientific evidence and dissemination of results is a powerful combination with potential to change the practice of conservation and development.

23. Leverage

a) Secured

Provide details of all funding successfully levered (and identified in the Budget) towards the costs of the project, including any income from other public bodies, private sponsorship, donations, trusts, fees or trading activity.

We have successfully leveraged **£101,146** in confirmed funding. Details are as follows:

WCS will provide a total of **£19,212** for management and implementation of conservation incentive agreements:

PACUNAM will provide a total of **£27,742** to implement the Uaxactún conservation incentive agreement:

USAID will provide a total of **£54,192** to support biological monitoring in the Maya Biosphere Reserve

b) Unsecured

Provide details of any matched funding where an application has been submitted, or that you intend applying for during the course of the project. This could include matched funding from the private sector, charitable organisations or other public sector schemes.

Date applied for	Donor organisation	Amount	Comments
August 2012	Conservation International (CI)	TOTAL= £ 25,433	We expect to have an answer on both of these by February 2013
November 2012	PACUNAM	TOTAL= £ 28,651	

PROJECT MONITORING AND EVALUATION

MEASURING IMPACT

24. LOGICAL FRAMEWORK

Darwin projects will be required to report against their progress towards their expected outputs and outcomes if funded. This section sets out the expected outputs and outcomes of your project, how you expect to measure progress against these and how we can verify this. Further detail is provided in Annex x of the guidance notes which you are encouraged to refer to. The information provided here will be transposed into a logframe should your project be successful in gaining funding from the Darwin Initiative. The use of the logframe is sometimes described in terms of the Logical Framework Approach, which is about applying clear, logical thought when seeking to tackle the complex and ever-changing challenges of poverty and need. In other words, it is about sensible planning.

Impact

The Impact is not intended to be achieved solely by the project. This is a higher-level situation that the project will contribute towards achieving. All Darwin projects are expected to contribute to poverty alleviation and sustainable use of biodiversity and its products.

(Max 100 words)

Community conservation incentives agreements are successfully implemented in community-managed forests across the entire Guatemalan Protected Areas System, leading to a significant reduction in deforestation and forest fires, and improved basic necessities and quality of life for the people in and around protected areas in Guatemala.

Outcome

There can only be one Outcome for the project. The Outcome should identify what will change, and who will benefit. The Outcome should refer to how the project will contribute to reducing poverty and contribute to the sustainable use/conservation of biodiversity and its products. This should be a summary statement derived from the answer given to question 14.

(Max 100 words)

Community conservation incentives agreements are successfully implemented with four communities of Guatemala's Maya Biosphere Reserve and impacts are rigorously tested, providing an innovative scalable model for reducing poverty and conserving biodiversity while providing value for money.

Measuring outcomes - indicators

Provide detail of what you will measure to assess your progress towards achieving this outcome. You should also be able to state what the change you expect to achieve as a result of this project i.e. the difference between the existing state and the expected end state. You may require multiple indicators to measure the outcome – if you have more than 3 indicators please just insert a row(s).

Indicator 1	4000+ residents of four target communities demonstrate increased access to basic necessities, with at least 25% of the target population reporting improved access to education and/or health services and/or locally prioritised development initiatives during the three-year project timeframe.
Indicator 2	In the four target community sections, at least 50% (900 hectares) of forest cover will be protected that - without intervention – would likely have been deforested, based on the historical average deforestation rate of the 3 years before community agreements. Note: The 900-hectare estimate is based upon 3 years of avoided deforestation at annual average deforestation rates recorded in target communities between 2007-2009: Uaxactun (26 ha/yr), Carmelita (103 ha/yr), and Cruce a la Colorada (514 ha/yr).
Indicator 3	The annual amount of forest degraded by fire in each of the four target community forest management units is reduced by 10% or more as compared to the historical average of 10 years before community agreements.

Verifying outcomes

Identify the source material the Darwin Initiative (and you) can use to verify the indicators provided. These are generally recorded details such as publications, surveys, project notes, reports, tapes, videos etc.

Indicator 1	Pre- and post- project basic necessities surveys in Carmelita, Uaxactún, Paso Caballos and Cruce a la Colorada, calculating poverty index using the adapted Basic Necessities Survey (BNS) methods developed by Rick Davies in 1997 ²
Indicator 2	(1) Remote sensing analysis using LANDSAT, ASTER, ALOS AVNIR-2, and/or ALOS PALSAR images; (2) historical land cover database; (3) annual CEMEC/CONAP land cover change reports.

² Beyond Wealth Ranking: The Democratic Definition and Measurement of Poverty. A Briefing Note prepared by Rick Davies (CDS Swansea for the ODI Workshop "Indicators of Poverty: Operational Significance", held on Wednesday, 8 October 1997 in London.
R19 St2 Form

Indicator 3	(1) Remote sensing analysis using LANDSAT, ASTER, ALOS AVNIR-2, and/or ALOS PALSAR images; (2) annual CEMEC/CONAP forest fire reports
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Outcome risks and important assumptions

You will need to define the important assumptions, which are critical to the realisation of the *outcome and impact* of the project. It is important at this stage to ensure that these assumptions can be monitored since if these assumptions change, it may prevent you from achieving your expected outcome. If there are more than 3 assumptions please insert a row(s).

Assumption 1	Sufficient market demand for environmentally friendly products and services will permit increased growth of sustainable forest product markets and eco-tourism
Assumption 2	External phenomena such as El Niño events will not overwhelm capacity to manage fires and deforestation
Assumption 3	Local communities will continue to desire improved governance and a greater role in guiding the course of their own development
Assumption 4	CONAP will be willing to accompany a new agreement in Cruce a la Colorada; if not, we will explore opportunities to create a new agreement with a community in Laguna del Tigre National Park or another area with a distinct social dynamic in the MBR
Assumption 5	There will be no severe environmental conditions such as drought or flood that destroys crops, forcing local communities into desperate survival situations that could place increased pressure on natural resources of the MBR
Assumption 6	The government of Guatemala will remain committed to the MBR as Guatemala's most emblematic protected area

Outputs

Outputs are the specific, direct deliverables of the project. These will provide the conditions necessary to achieve the Outcome. The logic of the chain from Output to Outcome therefore needs to be clear. If you have more than 3 outputs insert a row(s). It is advised to have less than 6 outputs since this level of detail can be provided at the activity level.

Output 1	Four community agreements in four sections of Guatemala's Maya Biosphere Reserve (Uxactun, Carmelita, Paso Caballos, Cruce a la Colorada)
Output 2	Report on the impacts of community conservation agreements synthesizing experiences in the distinct community contexts, evaluating biodiversity and poverty reduction impacts, and demonstrating value for money.
Output 3	Synthetic outreach materials to disseminate lessons learned, each uniquely targeted toward a different audience.
Output 4	Policy recommendations including analysis of opportunities for, and limitations to the replication of conservation agreements across the MBR and the Guatemala protected areas system.

Measuring outputs

Provide detail of what you will measure to assess your progress towards achieving these outputs. You should also be able to state what the change you expect to achieve as a result of this project i.e. the difference between the existing state and the expected end state. You may

require multiple indicators to measure each output – if you have more than 3 indicators please just insert a row(s).

Output 1: Four community agreements	
Indicator 1.1	Three existing conservation agreements signed and maintained valid through 2015 (in communities of Carmelita, Uaxactun, and Paso Caballos)
Indicator 1.2	One new conservation agreement developed, signed, and implemented by 2014 with Cruce a la Colorada (or another community based on feedback from CONAP), and maintained through 2015.

Output 2: Report on the impacts of community conservation agreements	
Indicator 2.1	Annual measurements taken of socioeconomic indices, deforestation, and forest fires in community-managed forests where agreements are implemented.
Indicator 2.2	Independent, comprehensive final assessment of conservation agreement impacts with respect to socioeconomic development, deforestation, and biodiversity conservation conducted in Year 3 (2015)

Output 3: Synthetic outreach materials	
Indicator 3.1	A total of 12 meetings (in four communities annually for 3 years) held to present and discuss results achieved, and challenges of conservation agreements (including initial consultations in Community No. 4) by 2015.
Indicator 3.2	White paper on conservation agreements, impacts and lessons learned shared with all governmental institutions and NGOs working in and impacting the MBR, and more widely through social networks, websites, and through partner institution networks in 2015.
Indicator 3.3	One paper on conservation agreements submitted for publication in a peer-reviewed journal in 2015.

Output 4: Policy recommendations	
Indicator 4.1	By 2015, a participatory policy statement developed with CONAP on the feasibility of replicating conservation agreements across the MBR and throughout the Guatemalan System of Protected Areas.
Indicator 4.2	Three proposals submitted by 2015 to support the financial sustainability of the implementation of four conservation agreements, post-Darwin Initiative funding, and as a temporary measure to ensure the sustainability of initiatives while permanent financial mechanisms are developed.
Indicator 4.3	Policy recommendations incorporated by 2015 within the CONAP policy on conservation incentives in the MBR as a pilot policy for the Guatemalan System of Protected Areas.

Verifying outputs

Identify the source material the Darwin Initiative (and you) can use to verify the indicators provided. These are generally recorded details such as publications, surveys, project notes, reports, tapes, videos etc.

Indicator 1.1	Signed conservation agreements, photos, annual reports, final external report, meeting minutes
Indicator 1.2	Signed conservation agreement, photos, annual reports, final external

	report, meeting minutes
Indicator 2.1	Annual reports including results of Basic Necessities Surveys, and remote sensing results
Indicator 2.2	Final external report
Indicator 3.1	Meeting minutes, photos, annual reports
Indicator 3.2	Informational materials produced, list of institutions reached
Indicator 3.3	Article draft, message from peer-reviewed journal acknowledging article submission
Indicator 4.1	Report on the feasibility of replicating conservation agreements, meeting minutes, list of meeting participants, photos
Indicator 4.2	Three proposals submitted, notices of funding support from donors
Indicator 4.3	Report on policy recommendations

Output risks and important assumptions

You will need to define the important assumptions, which are critical to the realisation of the achievement of your outputs. It is important at this stage to ensure that these assumptions can be monitored since if these assumptions change, it may prevent you from achieving your expected outcome. If there are more than 3 assumptions please insert a row(s).

Assumption 1	Institutional support and legal framework remain favourable to the implementation of community conservation agreements, including the persistence of CONAP as the lead governmental entity in regard to the MBR
Assumption 2	Communities are able to reach consensus and maintain an adequate amount of cohesion regarding their participation in community agreements
Assumption 3	External factors do not significantly change the socioeconomic or ecological context in a manner that confounds the attribution of impacts to conservation agreements (e.g. El Niño impacts on forest fires)

Activities

Define the tasks to be undertaken by the research team to produce the outputs. Activities should be designed in a way that their completion should be sufficient and indicators should not be necessary. Any risks and assumptions should also be taken into account during project design.

Output 1: Four community agreements in four sections of Guatemala's Maya Biosphere Reserve	
Activity 1.1	Implement the 3 existing conservation agreements in the MBR
Activity 1.2	Prepare a feasibility analysis for a new agreement, in a community with a different context.
Activity 1.3	Develop a new conservation agreement in a participatory manner with the selected community, accompanying NGOs and government representatives

Output 2: Report on the impacts of community conservation agreements	
Activity 2.1	Develop baseline and annual socioeconomic monitoring to measure the social impact of existing conservation agreements.

Activity 2.2	Conduct annual monitoring of deforestation and biodiversity in areas where agreements are implemented.
Activity 2.3	Commission an independent, comprehensive final assessment of conservation agreement impacts with respect to socioeconomic development, deforestation, and biodiversity conservation.

Output 3: Synthetic outreach materials to disseminate lessons learned, each uniquely targeted toward a different audience

Activity 3.1	Hold annual meetings in each community implementing a conservation agreement to present and discuss results achieved, challenges, and lessons learned.
Activity 3.2	Develop informational material highlighting results and lessons learned from conservation agreements to share with institutions working in and impacting the MBR.
Activity 3.3	Share information about conservation agreements more widely in electronic form on social networks, websites, and through partner institution networks.
Activity 3.4	Submit article for publication in peer-reviewed journal, focused toward academic and development practitioner audiences.

Output 4: Policy recommendations including analysis of opportunities for, and limitations to the replication of conservation agreements across the MBR and the Guatemalan system of protected areas.

Activity 4.1	Organize a workshop with key players in the MBR (GOs, NGOs and civil society) involved in the implementation of conservation agreements, in order to analyze the potential for and limitations to their replication.
Activity 4.2	Develop at least three proposals to ensure the financial sustainability of the four conservation agreements implemented.
Activity 4.3	Prepare policy recommendations for implementation of agreements across the MBR and throughout the Guatemalan System of Protected Areas.

25. Provide a project implementation timetable that shows the key milestones in project activities. Complete the following table as appropriate to describe the intended workplan for your project.

Activity	No of Months	Year 1				Year 2				Year 3			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Output 1 Four community agreements in the Maya Biosphere Reserve													
1.1 Implement the 3 existing conservation agreements in the MBR	36	X	X	X	X	X	X	X	X	X	X	X	X
1.2 Prepare a feasibility analysis for a new agreement, in a community with a different context.	6			X	X								
1.3 Develop a new conservation agreement in a participatory manner with the selected community, accompanying NGOs and government representatives	24					X	X	X	X	X	X	X	X
Output 2 Report on the impacts of community conservation agreements													
2.1 Develop baseline and annual socioeconomic monitoring to measure the social impact of existing conservation agreements.	18			X	X			X	X			X	X
2.2 Conduct annual monitoring of deforestation and biodiversity in areas where agreements are implemented.	18		X	X			X	X			X	X	
2.3 Commission an independent, comprehensive final assessment of conservation agreement impacts with respect to socioeconomic development, deforestation, and biodiversity conservation.	6											X	X
Output 3 Synthetic outreach materials													
3.1 Hold annual meetings in each community implementing a conservation agreement to present and discuss results achieved, challenges, and lessons learned.	18			X	X		X	X			X	X	
3.2 Develop informational material highlighting results and lessons learned from conservation agreements to share with institutions working in and impacting the MBR.	9				X			X					X
3.3 Share information about conservation agreements more widely in electronic form on social networks, websites, and through partner institution networks.	18			X	X			X	X			X	X
3.4 Submit article for publication in peer-reviewed journal, focused toward academic and development practitioner audiences.	3											X	
Output 4 Policy recommendations													
4.1 Organize a workshop with key players in the MBR (GOs, NGOs)	6				X			X					

Activity	No of Months	Year 1				Year 2				Year 3			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
and civil society) involved in the implementation of conservation agreements, in order to analyze the potential for and limitations to their replication.													
4.2 Develop at least three proposals to ensure the financial sustainability of the four conservation agreements implemented.	9			X			X					X	
4.3 Prepare policy recommendations for implementation of agreements across the MBR and throughout the Guatemalan System of Protected Areas.	6											X	X

26. Project based monitoring and evaluation

Describe, referring to the Indicators above, how the progress of the project will be monitored and evaluated, making reference to who is responsible for the projects monitoring and evaluation. Darwin Initiative projects are expected to be adaptive and you should detail how the monitoring and evaluation will feed into the delivery of the project including its management. Monitoring and evaluation is expected to be built into the project and not an 'add' on. It is as important to measure for negative impacts as it is for positive impact.

(Max 500 words)

WCS's success as one of the most effective international conservation NGOs relies on credibly measuring and reporting our conservation impacts over time.

WCS relies on "Five Measures" that reflect our institutional mission: (1) **Wildlife conservation** is measured by aggregating survey data from various sources across a landscape or seascape to determine changes in patch occupancy of target species; (2) **Conservation of wild places** is measured by using remote sensing to track habitat integrity; (3) **Management effectiveness** is measured using SMART (Spatial Monitoring and Reporting Tool), the next-generation ranger-patrol management software and training; (4) **Natural resource governance effectiveness** is measured by a panel of experts that evaluate the power, legitimacy, and capacity of groups with the responsibility for managing natural resources within a landscape; (5) **Human well-being** is measured using a modified Basic Necessities Survey of a random-sample of households

Monitoring and evaluation has been integrally designed into this project to achieve multiple objectives:

1. Provide a rigorous, objective, and independent framework for evaluation of conservation incentives agreements and extraction of lessons applicable to similar situations around the world
2. Ensure that interventions respond to the needs of specific vulnerable communities
3. Build a sense of ownership among beneficiaries, to promote the sustainability of interventions
4. Monitor resources, activities and implementation to ensure effective project operations, value for money, increased national partner capacities, and adaptive management
5. Increase awareness of biodiversity and poverty by monitoring and publicizing trends in key social and biophysical indicators

In order to achieve rigorous but holistic evaluations, we will utilise a combination of qualitative and quantitative information, incorporating logframe indicators, anecdotal supporting evidence, and individual narratives. Poverty reduction will be evaluated using Basic Necessities Surveys developed previously with work funded by DFID's Governance and Transparency Fund. Environmental indicators such as deforestation and forest fire occurrences will be evaluated independently through remote sensing by partner organisation CEMEC. Community based control and vigilance personnel will play a key role as first line responders to fire and deforestation within their management units, reporting incidents to accompanying institutions and CONAP. A final external evaluation will synthesize experiences in the distinct community contexts, evaluate impacts, and use results chain analyses to evaluate causality and value for money.

The WCS project manager will work closely with partners and field extensionists from CONAP, CEMEC, and BALAM to track and report on project implementation and changes in local livelihoods and environmental status. At least once each year, monitoring data will be reviewed with communities, project partners, local governments, NGOs and other stakeholders and compared against expected results. This transparent and collaborative analysis process will ensure the adaptation of each subsequent year's project work plan. A third-party, independent evaluation will be commissioned at the end of the project.

WCS and partners will make all monitoring data publicly available, and will share good practices and lessons learned to ensure sustainability of project activities and their replication to other areas. A variety of communications vehicles tailored to the diverse project audiences are described fully in Output 3.

FUNDING AND BUDGET

Please complete the separate Excel spreadsheet which provides the Budget for this application. Some of the questions earlier and below refer to the information in this spreadsheet.

NB: Please state all costs by financial year (1 April to 31 March) and in GBP. **Budgets submitted in other currencies will not be accepted.** Use current prices – and include anticipated inflation, as appropriate, up to 3% per annum. The Darwin Initiative cannot agree any increase in grants once awarded.

27. Value for Money

Please explain how you worked out your budget and how you will provide value for money through managing a cost effective and efficient project. You should also discuss any significant assumptions you have made when working out your budget.

(max 300 words)

WCS consistently prioritises efficiency and value for money in our conservation and sustainable development field programmes to maximize our impact. At every decision point in developing the field budget, we have considered cost savings and alternatives. WCS has a low indirect cost, and we provide much of the basic infrastructure (i.e. office space, office equipment, vehicles) thereby maximizing the impact of the Darwin funding. We will also use Darwin funding to leverage additional funding, with 40% of the project's total direct cost to be covered by other partners.

To evaluate the efficacy of community conservation agreements in the MBR, 46.6% of Darwin funding will be provided directly through cash or in-kind grants to participating communities. This investment will not only ensure direct impact benefitting select MBR communities, but establish Darwin and Guatemala UK Embassy as partners of local communities and the Government of Guatemala. Another 29.2% of the Darwin funding will be used to provide technical assistance to these communities. This will sustain impacts obtained by the WCS-led Governance and Transparency in the Maya Biosphere Reserve Programme funded by the DFID/GTF from 2008-2013. As such, we fully expect to employ VfM principles to increase the impact of Darwin funding through commitments from governmental institutions for additional investments in participating communities.

Due to uncertainty in the administrative mechanism for the fourth community-based agreement, we have used the "Other" expense category to cover the expected expenses of this incentive agreement (i.e. Cruce a la Colorada). These costs include the direct expense of the incentive to the community over Years 2 & 3 and associated technical accompaniment.

Finally, in order to independently verify the responsible, efficient, and transparent use of project funds by WCS and its partners, a financial auditor will be hired to revise all expenses annually.

FCO NOTIFICATIONS

Please check the box if you think that there are sensitivities that the Foreign and Commonwealth Office will need to be aware of should they want to publicise the project's success in the Darwin competition in the host country.

Please indicate whether you have contacted the local UK embassy or High Commission directly to discuss security issues (see Guidance Notes) and attach details of any advice you have received from them.

Yes (no written advice) **Yes, advice attached** **No** *

***Note:** During a meeting between the UK Embassy and our partner PACUNAM, PACUNAM mentioned the project this proposal seeks to fund. As the project concept was received with positive interest, PACUNAM has subsequently developed plans to convene a meeting with the UK Embassy staff in Guatemala so that we might explain the project in more detail, and obtain feedback on security and other concerns, including ways to engage the UK more extensively.

CERTIFICATION 2013/14

On behalf of the NGO

The Wildlife Conservation Society

I apply for a grant of **£ 269,681** in respect of **all expenditure** to be incurred during the lifetime of this project based on the activities and dates specified in the above application.

I certify that, to the best of our knowledge and belief, the statements made by us in this application are true and the information provided is correct. I am aware that this application form will form the basis of the project schedule should this application be successful. (*This form should be signed by an individual authorised by the lead institution to submit applications and sign contracts on their behalf.*)

I enclose CVs for project principals and letters of support. Our most recent audited/independently verified accounts and annual report are also enclosed/can be found at (*delete as appropriate*):

WCS Audit (2011): <http://www.wcs.org/files/pdfs/Audited-Financial-Statements-2011-WCS.pdf>

WCS Audit (2010): <http://www.wcs.org/files/pdfs/Audited-Financial-Statements-2010-WCS.pdf>

Annual report (2011): <http://www.wcs.org/files/pdfs/wcs-2011-annual-report.pdf>

Annual report (2010) - <http://www.wcs.org/files/pdfs/wcs-2010-annual-report.pdf>

Name (block capitals)	JOSHUA GINSBERG, PHD
Position in the organisation	Senior Vice President, Global Conservation Program

Signed



Date:

November 30, 2012

Stage 2 Application - Checklist for submission

	Check
Have you provided actual start and end dates for your project?	X
Have you provided your budget based on UK government financial years i.e. 1 April – 31 March and in GBP?	X
Have you checked that your budget is complete , correctly adds up and that you have included the correct final total on the top page of the application?	X
Has your application been signed by a suitably authorised individual? (clear electronic or scanned signatures are acceptable in the email)	X
Have you included a 1 page CV for all the Principals identified at Question 7?	X
Have you included a letter of support from the <u>main</u> partner(s) organisations identified at Question 10?	X
Have you checked with the FCO in the project country/ies and have you included any evidence of this?	X
Have you included a copy of the last 2 years annual report and accounts for the lead organisation? An electronic link to a website is acceptable.	X (links included)
Have you read the Guidance Notes?	X
Have you checked the Darwin website immediately prior to submission to ensure there are no late updates?	X

Once you have answered the questions above, please submit the application, not later than midnight GMT on Monday 3 December 2012 to Darwin-Applications@ltsi.co.uk using the application number (from your Stage 1 feedback letter) and the first few words of the project title **as the subject of your email**. If you are e-mailing supporting documentation separately please include in the subject line an indication of the number of e-mails you are sending (eg whether the e-mail is 1 of 2, 2 of 3 etc). You are not required to send a hard copy.

DATA PROTECTION ACT 1998: Applicants for grant funding must agree to any disclosure or exchange of information supplied on the application form (including the content of a declaration or undertaking) which the Department considers necessary for the administration, evaluation, monitoring and publicising of the Darwin Initiative. Application form data will also be held by contractors dealing with Darwin Initiative monitoring and evaluation. It is the responsibility of applicants to ensure that personal data can be supplied to the Department for the uses described in this paragraph. A completed application form will be taken as an agreement by the applicant and the grant/award recipient also to the following:- putting certain details (ie name, contact details and location of project work) on the Darwin Initiative and Defra websites (details relating to financial awards will not be put on the websites if requested in writing by the grant/award recipient); using personal data for the Darwin Initiative postal circulation list; and sending data to Foreign and Commonwealth Office posts outside the United Kingdom, including posts outside the European Economic Area. Confidential information relating to the project or its results and any personal data may be released on request, including under the Environmental Information Regulations, the code of Practice on Access to Government Information and the Freedom of Information Act 2000.