



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: Foundation for Ecodevelopment and Conservation – FUNDAECO-	Address: 25 Calle, 2-39 Zona 1, Guatemala, Guatemala Central America
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2. Stage 1 reference and Project title

(max 10 words)

Application Ref 2126: “Scaling Up Biodiversity Conservation and Ecological Connectivity across Caribbean Guatemala”

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

Proposed start date: 1 April 2013 **Duration of project:** Three years (36 months) **End date:** 30 March 2016

Darwin request	2013/14	2014/15	2015/16	2016/17	Total
	£	£	£	£	£ 269,445.40

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

- FFEM (French Fund for the Global Environment): £ (secured)
- The Althelia Fund: £ (secured)
- CONAP(Guatemalan Council of Protected Areas): £ (secured)
- Whitley Award: £ (secured)
- FUNDAECO: £ (secured)
- FONACON: £ (unconfirmed)
- TOTAL: 276,137 £**

4. Define the outcome of the project. This should be a summary statement derived from the answer given to question 14

(max 100 words)

The final outcome will be the reduced deforestation of rainforests in Caribbean Guatemala, achieved through: the completion and improved management of a Regional Network of Protected Areas; the provision of direct financial incentives for the protection and restoration of 5,000 ha of high biodiversity community owned forests, ensuring over 137,000 £ of new income per year (over five years) for 500 families (and allocated as counterpart funding to the project by the National Forestry Institute); the development and validation of a REDD “Project Document”, including a FPIC process; and the implementation of a communication campaign on the values of biodiversity.

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, CENTRAL AMERICA	Country 2:
Country 3:	Country 4:

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/No
Convention on International Trade in Endangered Species (CITES)	Yes/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 will directly contribute to the objectives of the Convention of Biological Diversity, and particularly to the targets and commitments established in the **Programme of Work on Protected Areas (PoWPA)**.

Specifically, the project seeks to directly support the achievement of Goal 1.2. and suggested activity 1.2.3. of the PoWPA (*“Integrate regional, national and sub-national systems of protected areas into broader land- and seascape, inter alia by establishing and managing ecological networks, ecological corridors and/or buffer zones, where appropriate, to maintain ecological processes and also taking into account the needs of migratory species”*).

Also, this project will be implemented in direct compliance with Targets 1, 5, 11, and 14 of the **STRATEGIC PLAN FOR BIODIVERSITY 2011-2020 AND THE AICHI BIODIVERSITY TARGETS** of the COP 10 of the CBD.

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

Yes No if yes, please give details:

ALL PROJECT ACTIVITIES WILL BE COORDINATED WITH THE GUATEMALAN COUNCIL OF PROTECTED AREAS (CONAP), FOR WHICH FUNDAECO IS A REGISTERED CO-MANAGER OF TARGETED PROTECTED AREAS (A LETTER OF SUPPORT BY CONAP IS ENCLOSED)

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 FUNDAECO	Project Partner 1 – Main INAB	Project Partner 2- Conap
Surname	Villeda	Salazar	Cabrera
Forename (s)	Byron	Mario	Ivan
Post held	Project Coordinator	Director of the Program of Forestry Incentives. National Institute of Forests (INAB)	Northeast Regional Director of the National Council of Protected Areas (CONAP)
Institution (if different to above)	FUNDAECO	INAB	CONAP
Department	Technical Department FUNDAECO	Central Department	Regional Department
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).

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?	1990
What is the legal status of your organisation?	NGO Yes Government Yes/No University Yes/No Other (explain) Yes/No
Type of organisation (e.g. University, NGO, private sector, Government Department etc)	Not for Profit NGO

Have you unsuccessfully applied to the Darwin Initiative before? If yes please provide the application reference number(s)	No, FUNDAECO hadn't previously applied to Darwin Fund Initiatives
How is your organisation currently funded?	(Max 100 words) FUNDAECO is funded through Projects (71%) ; Project Overheads and Consultancies (4%) ; Environmental Service Payments (1%) ; Individual Donations (3%) ; Forest Protection Incentives (5%) ; Entrance Fees to Protected Areas (5%) ; and income its Endowment Fund (11%) ; Main Project Donors over the past years have been : Fonds Français pour l'Environnement Mondial (FFEM); Dutch Cooperation; Interamerican Development Bank (IDB); European Union; US Fish and Wildlife Service; Global Wildlife Conservation; World Land Trust; International Conservation Fund of Canada; etc
Have you provided appropriate audited/independently examined accounts?	Yes. An External Audit is carried out annually.

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 contacts 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	French Fund for the Global Environment (FFEM): « Durabilité des Mécanismes de Co-gestion et de Conservation Communautaire de la Biodiversité dans le Système Guatémalteque d'Aires Protégées ».
Contract Value	XXX EUR;
Contract Duration	4 years (on-going);
Role of institution in project	<ul style="list-style-type: none"> • FUNDAECO is the Main Implementing Unit for the Project • The project supports the participatory management of protected areas by local communities in three regions of the Guatemalan System of Protected Areas: Huehuetenango, Izabal and Petén. • Within the scope of the project, FUNDAECO supports the strengthening of local community Associations participating in co-management activities in Protected Areas • In conjunction with CONAP, FUNDAECO designs and establishes mechanisms for the participation of local communities in the management and governance of targeted protected areas
Brief summary of the aims, objectives and outcomes of the contract.	The project's general goal is to strengthen the role of communities, local indigenous associations and municipalities in the establishment and management of protected areas in Guatemala. The project's stated objectives are: 1. to foster participatory governance schemes for protected areas; 2. to create the necessary institutional conditions for the development of diversified and sustainable productive systems in communities located within protected areas; 3. to create sustainable funding mechanisms for the participatory governance of protected areas; and 4. to document and replicate participatory management experiences sponsored by the project in the Guatemalan System of Protected Areas. Please note that this project will provide key matching funds to the

	project submitted to Darwin Initiative.
Reference contact details (Name, e-mail, address, phone number).	Julien CALAS , Biodiversity and Small-Scale Initiatives Programme Fonds Française pour l'environnement Mondial.

Contract 2 Title	Inter-American Development Bank –IADB Guatemala: “Promotion of Local Micro and Small enterprises (MSEs) of ecotourism services in Caribbean Guatemala” (Interamerican
Contract Value	XXX USD
Contract Duration	6 years
Role of institution in project	<ul style="list-style-type: none"> • FUNDAECO is the implementing Agency for this Project. • FUNDAECO is in charge of technical assistance too SME´s • FUNDAECO is responsible for the design and development of new ecotourism sites, and to ensure local communities participation in their management.
Brief summary of the aims, objectives and outcomes of the contract.	<p>The main objective of this project was to contribute in improving the socio-economic conditions of lower income communities in the Caribbean Coast of Guatemala, through the promotion, and creation of Local Small and Micro ecotourism enterprises, as well as the equipment of tourism sites in which these enterprises are giving their services. The objectives of the project were the following:</p> <ul style="list-style-type: none"> • To train local communities and leaders in the necessary skill to give ecotourism services and establish MSEs related to ecotourism. • To promote and facilitate the creation of Ecotourism MSEs. (Micro-Small Enterprises) • To establish new ecotourism sites • To develop a marketing process for the promotion of new ecotourism sites and their associated MSEs.
Reference contact details (Name, e-mail, address, phone number)	Floralma Correa Siguenza , Senior FOMIN specialist IADB Guatemala.

Contract 3 Title	Dutch Cooperation- Netherlands Embassy in Guatemala: “Environmental Justice, Community Empowerment and Social Equity for Nature Conservation in Sarstun Motagua Region in Guatemala”.
Contract Value	XX EUR
Contract Duration	5 years
Role of institution in project	<p>This project was executed in conjunction with 11 NGOs and government institutions through a contract with the local project leader Fundacion Defensores de la Naturaleza.</p> <p>FUNDAECO the following responsibilities:</p> <ul style="list-style-type: none"> • As Co-manager if protected areas, to support CONAP in all management activities of targeted protected areas • Supporting local communities for the creation of community based organizations. • Supporting local communities in generating their capacities for a participative government of protected areas.

	<ul style="list-style-type: none"> To legalize local indigenous communities in the project region, this in conjunction with government institution FONTIERRA. To promote communities sustainable development through the implementation of sustainable productive projects.
Brief summary of the aims, objectives and outcomes of the contract.	The Project supported an integral model of biodiversity protection and rural development, through political lobbying, law enforcement, and the promotion of a participative government of protected areas, including the legalization of communal lands and the establishment of a regulatory framework that recognizes rights of local communities in the use natural resources.
Reference contact details (Name, e-mail, address, phone number).	Jaime Remmerswaal , First Secretary and Person in Charge of Cooperation, Netherlands Embassy Guatemala.

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>FUNDAECO seeks to conserve nature, reduce poverty and support sustainable community development in Guatemala. In a context of high vulnerability to climate change, we aim to protect natural ecosystems and their environmental services, and to promote sustainable livelihoods for poor and vulnerable communities in regions of high biodiversity.</p>
<p>Activities (50 words)</p> <p>FUNDAECO promotes the establishment of protected areas and their participatory governance; supports secure ownership rights to land and natural resources for local communities; fosters sustainable economic activities for communities (ecotourism, non-timber forest products, handicrafts, agroforestry, etc.); and promotes the protection of biodiversity through research, monitoring, education, and policy advocacy.</p>
<p>Achievements (50 words)</p> <p>FUNDAECO has supported the establishment and management of 27 protected areas in Guatemala; partnered with over 100 communities in sustainable development projects; carried out the longest bird banding and monitoring project in Latin America (19 years); and pioneered projects on PES mechanisms, AZE sites, Conservation Easements and Forest Protection Incentives.</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.

<p>Lead institution and website:</p> <p>Foundation for Ecodevelopment and Conservation – FUNDAECO- www.fundaeco.org.gt</p>	<p>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</p> <p>As the lead institution, FUNDAECO will be in charge of the implementation and coordination of all the project activities.</p> <p>This project will be implemented through four field offices located in Caribbean Guatemala and one Central Office (in charge of planning, monitoring, and accounting services) located in Guatemala City. To ensure an adequate management of the project, FUNDAECO will use an online project monitoring system in charge the Monitoring Sub-Direction of FUNDAECO.</p> <p>All field offices are fully equipped with computers, GPS, Cameras, vehicles, and outboard motors (when applicable), that will be used by the project staff. All project activities will be fully supported by these local field offices.</p> <p>FUNDAECO will also ensure financial and administrative management of the project, including all financial reports preparation. FUNDAECO will also leverage and manage counterpart funds to the project.</p> <p>With over 22 years of experience in conservation and development projects, FUNDAECO has the institutional capacity to successfully implement this project.</p>
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<p>Partner Name and website where available:</p> <p>National Forestry Institute –INAB- www.inab.gob.gt</p>	<p>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</p> <p>INAB is the manager of the National Forestry Incentives Program. As a key element of this Project is to ensure access to the Incentives Program for local communities, and to mobilize approximately 137,000 £ of forest protection incentives to beneficiary communities, INAB is a key partner of the project.</p> <p>INAB Technicians will support with FUNDAECO technicians in the promotion of Forestry Incentives with local communities. Once Forestry Incentives files area presented to INAB they will give FUNDAECO the necessary feedback for their approval. Forests that receive incentives will receive annual verifications and certifications from INAB.</p> <p>As a key Institutional Program of INAB, the Forestry Incentive Programme has a permanent capacity to engage with the activities related to the review of the incentive files and the annual verification. INAB has local technicians in the region of the project.</p> <p>INAB will also participate in the construction of the Analysis for Forest Fragments Prioritization, as well as the Regional Conservation and Sustainable Management Plan. Professionals from the National Forestry Programme of INAB will be consulted and will participate in workshops with the team in charge of both the forest fragments analysis and the Conservation and Sustainable Management Plan.</p>
<p>Have you included a Letter of Support from this institution?</p>	<p>Yes</p>

Partner Name and website where available: National Council of Protected Areas – CONAP- www.conap.gob.gt	Details (including roles and responsibilities and capacity to engage with the project): (max 200 words) CONAP will be a central partner in three activities: the declaration of two new protected areas and their management plans; the co-management and participatory governance of protected areas; and the construction of a Financial Gap analysis and the Regional conservation and sustainable Management Plan. CONAP Regional Technicians, Legal Department and Conservation Units Department will have a permanent participation in the revision of the proposed decrees for protected areas legal declaration and the preparation of the Management Plans for the new protected areas. For this process CONAP has specialized personnel that includes biologists, ecotourism experts, agronomists, forest technicians, and lawyers. FUNDAECO will guarantee their participation by paying their travels costs when necessary. CONAP will also review the monitoring protocols for the Biology Monitoring and will issue the permits. CONAP experts will also participate in workshops for the construction Financial Gap analysis of the SIGAP, as well as the Regional Conservation and Sustainable Management Plan. CONAP will provide counterpart support to this project, in the form of salaries for the Park Rangers that will be supporting project activities in the field, across the regional network of Protected Areas.
Have you included a Letter of Support from this institution?	Yes

Partner Name and website where available: Althelia Fund www.ecospherecapital.com	Details (including roles and responsibilities and capacity to engage with the project): (max 200 words) Althelia will provide support for development of the PDD and the ERPA for a REDD project. This support include funding both process, but also giving their feed back in the design of the REDD project.
Have you included a Letter of Support from this institution?	Yes

11. Have you provided CVs for the senior team including the Project Leader	Yes
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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 Caribbean rainforests of Guatemala are one of the country's biodiversity hotspots. Almost 50% of its total biodiversity can be found in this region, including 56% of amphibians, 48% of reptiles, and 67% of birds species. This region is also an important center of endemism for plants, frogs, and beetles, and is critical for Neotropical migratory birds (120 species, of which 46 rely on rainforest as primary wintering habitat).

Although Guatemala has done an important effort for the conservation of these unique rainforests -by legally establishing six protected areas and proposing two additional reserves (yet to be established)- **between 1991 and 2010, a total amount of 146,159 ha of natural forests disappeared in the region (over 39% of the forest surface in 1991)**. Weak protected area management, the expansion of subsistence agriculture and extensive cattle ranching have been the main drivers of deforestation. This project will seek to scale up Biodiversity Conservation and ecological connectivity efforts across Caribbean Guatemala, by moving from a site based approach (each isolated protected area) to a Landscape Level approach, in order to consolidate and strengthen the whole Regional Sub-System of Protected Areas in Caribbean Guatemala, and halve deforestation rates over the next eight years.

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)

This Project will be implemented by the Foundation for Eco-Development and Conservation – FUNDAECO-. Created in 1990, FUNDAECO is one of the main conservation organizations in Guatemala, and is a certified NGO under the International “NGO Benchmarking Standards” of the Swiss firm SGS. Winner of the 2006 Edition of the “Fundación BBVA Award for Best Biodiversity Conservation Project in Latin America”, FUNDAECO strives to conserve biodiversity and promote sustainable community development through the participatory establishment and management of Protected Areas.

With the financial and technical support of key project partners INAB, CONAP, Althelia Fund and the FFEM, this project will be implemented through four field offices located in Caribbean Guatemala and one Central Office (in charge of planning, monitoring, and accounting services) located in Guatemala City. One Project Coordinator will oversee a team of biologist, GIS specialists, forestry technicians, protected area specialists, and economists, who will be in charge of project implementation. A team of indigenous community based promoters (fluent in the q'eqch' language) will support all community based activities.

As the project seeks to scale-up conservation efforts from a site-based approach to a landscape level effort, the main approach of the project will be to ensure broad consultation, participation and support of all relevant stakeholders, particularly local q'eqch' and ladino communities and their territorial associations (over 50 communities and 7 organizations), relevant Government Institutions (CONAP, INAB, CECON, Ministry of the Environment, Ministry of Finance), and the Scientific Community (particularly the Museum of Natural History of the National University). Technical Materials and scientific data produced by the project will be addressed to key decision makers in the National Congress (in order to secure their support to the legal declaration of two new protected areas) and the Ministry of Finance (in order to obtain their support for increased allocations for the effective management of the regional network of protected areas).

The expected outcome of the project will be achieved through the completion and improved management of a Regional Network of eight Protected Areas; the direct provision of financial incentives for the protection and restoration of 5,000 ha of high biodiversity community owned forests; the development and validation of a REDD "Project Design Document" (including a "FPIC" process), which will emphasise the development of alternative productive activities for local indigenous Q'eqchi' and ladino communities; and the implementation of a region-wide communication effort on the values of biodiversity and protected areas in Caribbean Guatemala. In order to ensure biodiversity conservation and ecological connectivity across the region, an innovative landscape level biodiversity monitoring methodology - based on forest fragment analysis and prioritization- will be implemented by the project.

In order to ensure adequate project management, FUNDAECO will use an online project monitoring system, which will keep automated alerts to verify the completion of proposed activities and deliverables of the project. Additionally the project team will hold quarterly meetings in order to monitor progress in the accomplishment of project indicators. Internal and external financial auditing will take place annually.

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.

(Max 250 words)

The outcome of this project will be the reduced fragmentation and deforestation of the remaining rainforests of Caribbean Guatemala, between the borders of Belize and Honduras. These remaining forests (112,400 ha) are a key component of the Mesoamerican Biological Corridor and a vital wintering and stopover region along the neotropical migratory birds Caribbean Migratory Funnel.

This will be achieved through the completion and improved management of a Regional Network of eight Protected Areas, including the establishment of participatory governance mechanisms; the implementation of a regional biological monitoring effort; the direct provision of financial incentives for the protection and restoration of 5,000 ha of high biodiversity community forests; the development and validation of a REDD Project Document; the establishment of a regional funding facility for small scale productive projects; and the implementation of a region-wide communication effort on the values of biodiversity and protected areas in Caribbean Guatemala.

It is expected that direct incentives for the protection and restoration of community forests – which will be funded by the National Forestry Institute- will provide direct income to communities in excess of 137,000 £ per year over a five year period. Poverty reduction efforts will also include support (through the above mentioned funding facility) to sustainable productive activities such as black pepper, non-timber forest products, ecotourism and others.

Additionally, the proposed REDD project will go through a "Free, Previous and Informed Consent" process, and the endorsement from local participating communities will be fully documented, ensuring a rights-based approach to this initiative.

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

This Project is a development of existing work and -as stated in the title- will seek to scale up biological conservation efforts with a region-wide perspective across Caribbean Guatemala.

This will be achieved by filling conservation gaps and supporting the consolidation of a network

of protected areas; integrating new communities and families to conservation and poverty reduction efforts; tackling sustainable funding issues for the network of protected areas; increasing education and awareness; and leveraging funding from REDD+ mechanisms to ensure conservation and sustainable community development over the long term. Funding from Darwin Initiative will provide vital and additional funding to move from a site specific approach (each protected area) to a regional, landscape level effort.

In accordance with the PoWPA of the CBD, this project will specifically seek to strengthen a sub-national system of protected areas by managing it as an “ecological network”, in order to maintain regional ecological processes and foster the protection of migratory species of birds - historically, a group of key flagship species for FUNDAECO’s work along this vital migratory funnel. The project’s specific focus on gaps, ecological networks and ecological corridors will provide an innovative and replicable experience for other regions in Guatemala and Central America.

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:

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 spreadsheet as Unconfirmed funding.

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)

This project has high Value for Money because:

- a) Funding will be strategically allocated to key investments with a regional impact, benefiting the conservation of over 112,000 ha of highly threatened rainforests in Caribbean Guatemala;
- b) Darwin Initiative funds will leverage a high amount of counterpart funding, both for project implementation and for direct poverty reduction and increased incomes for 500 families in 20 communities. Of particular importance will be the support this project will provide in order to ensure access by local communities to direct incentives from the National Forest Incentives Program: Indeed, because of high transaction costs and the high technical expertise required to access this Program, poor farmers and indigenous communities are excluded “*de facto*”, with large Forestry Sector Industries receiving the Lion’s share of the Program; Support from the project – for the preparation of technical studies and compliance of legal requirements - will allow project beneficiaries to access the program, ensuring over 137,000 £ of new income per year (over five years) for 500 families. These funds will be allocated as counterpart to the project by the National Forestry Institute (Letter of support is enclosed).
- c) By supporting the participatory governance of protected areas and the implementation of a FPIC Process, this project will ensure the full implementation of a rights-based approach, in support of sustainable livelihoods and indigenous people’s rights.

High Value for money has been secured through strong partnerships (INAB, CONAP, Althelia Fund and FFEM), high local participation and institutional accountability and track record.

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)

- A strong ethical behaviour in all institutional activities is an integral part of our approach: Since its creation FUNDAECO created a set of Core Values (“Valores Impulsores”) and Institutional Work Ethics. Additionally, FUNDAECO has established a Code of Ethics that is read and signed by new Board Members and new employees, as part of their Contracts. Also, as part of External Audits and Certification Procedures, ethical aspects and compliance with Accounting, Fiscal, and Labour Regulations is reviewed.
- As FUNDAECO is a local, Guatemala based NGO, with an extensive track record in conservation and sustainable development issues, it will ensure a strong local leadership and participation in all project activities.
- All field work activities, including biological monitoring and the study of traditional uses of biodiversity, are implemented with strong participation of local community members; a team of “Community Naturalists” has been trained over the years, and they work alongside with national and international scientists; Maya Q’eqch’í Community Promoters are in charge of outreach activities in local communities.
- The rights and perspectives of local communities, particularly indigenous peoples, are of paramount importance to FUNDAECO: Over the years, we have pioneered Consultation procedures for the establishment of new protected areas (with support of the Norwegian Cooperation), and have established innovative participatory mechanisms for the management and governance of protected areas; Under this project the first FPIC process for the design and validation of a REDD project will be carried out in Guatemala, setting an important precedent for other such projects in the country.
- Health and safety concerns for field personnel are included in Institutional Regulations (Vehicle Use and Outboard Motor Use Regulations, etc.); Night travel is forbidden; Field expeditions are closely planned and monitored; A Contingency Plan has been drafted, in order to plan for field emergencies and unexpected events.
- Research Licenses from the National Council of Protected Areas are required from all associated researchers. When research activities must take place in communal lands, preliminary meetings to inform of planned activities and obtain permissions from Community Councils are held.

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)

- **Technical Legacy:** By seeking to strengthen a sub-national network of protected areas, and specifically addressing issues of ecological gaps, connectivity, governance, financial gaps, environmental service payments, and regional management issues for the whole “ecological network”, this project will provide a FIRST EXAMPLE of such an approach in Guatemala. This innovative experience will become a replicable example for other regions in the country and Central America.
- **Biodiversity Conservation Legacy:** By supporting the establishment and preparation of management plans for two new protected areas, and by improving funding mechanisms over the long term for the whole sub-national system of protected areas, the project will

support the conservation of over 100,000 ha of rainforests, conserving critical habitat for threatened, endemic and migratory species.

- **Poverty Alleviation Legacy:** By directly supporting the provision of financial incentives for the protection and restoration of 5,000 ha of community owned forests and supporting the establishment of a regional funding facility for small scale productive projects, this Project will provide direct income to communities in excess of 137,000 £ per year over a five year period. Increases in income will extend beyond project duration, through the management of established forest plantations.
- **Long Term Benefits for biodiversity and poor people:** By supporting the design and implementation of a “Free, Prior and Informed Consent” (FPIC) process for a REDD project and by leveraging the support of The Althelia Fund for the preparation and validation of a Project Document, the Project will support the first such initiative in Guatemala, and will ensure the groundwork for long term conservation through REDD funding.
- **Potential problems:** An interruption in the Forest Subsidies Program and the Protected Area Co-Management Policy would impair the project; However, these two Policy instruments have been enduring over more than 12 years, and are expected to be maintained.

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)

Poverty Alleviation for 500 families in 20 communities will be achieved through:

i. Provision of financial incentives for the protection and restoration of 5,000 ha of community forests:

The Forest Incentives Program – funded by the National Forestry Institute (INAB)- is a financial mechanism that funds the reforestation, management and protection of forests. The current protection incentive is set at an average rate of 27.53 £ per year, per hectare. However, because of high transaction costs and the high technical expertise required to access this Program, poor farmers and indigenous communities are excluded “*de facto*”, with large Forestry Sector Industries receiving the Lion’s share of the funds. Additionally, the Program only *reimburses* protection and reforestation costs, which means that only those who can invest in plantations or in initial protection activities can access the program –*receiving the first disbursement from the Program one year later after investment.*

Thus, the project will provide indispensable support in order to ensure access by local communities to direct incentives from the Program, leveraging over 137,000 £ per year (over five years) in direct incentives for the protection of community forests. Without the Darwin Initiative project support, these communities will not be able to access the program.

ii. Establishment of a regional funding facility for small scale productive projects:

With project support, a seed Fund of 30,000 £ will be established to support 5-7 productive projects (black pepper, non-timber forest products, ecotourism, etc). This fund will be exhausted during the project implementation phase. The goal however is to ensure that this Fund lives beyond project duration through Corporate donations and REDD investments.

Through these mechanisms, we expect to increase the baseline average monthly income (per family) of 48,67 £ by 47%, with a projected increase of 23 £ per family per month (275 £ per year).

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)

The discrete, specific outputs of the project will be achieved during its duration. However, relevant activities and results of the project will extend beyond project duration and the outputs of this project will be part of a long term, progressive approach to conservation and poverty alleviation:

- Forest Protection Subsidies will be paid yearly by INAB (Forestry Institute) over a five year period after submission of the Technical and Legal files for each community. Thus, they may extend at least three years beyond project duration.
- The Althelia Fund expects to submit the REDD-PD for VCS/CCB validation by the first Quarter of 2014. Thus, the REDD project could eventually initiate by the end of this project, and eventually extend well beyond 2015.
- The proposed regional funding facility for small scale productive projects will be a legally established mechanism that will be maintained in the long term (with Corporate donations and REDD investments). The seed fund that will be established with Project support will be exhausted during the project implementation phase (three years), but the Fund itself should continue beyond this period.
- Exit Strategy of the Project itself will include a complete Financial External Audit and the legal compensation of project personnel.

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)

The Project will directly engage three key audiences:

- The National Congress: New Protected Areas can only be established through a Legal Decree emitted by Congress. Thus, materials addressed to these key political decision makers will be prepared in support of the legal declaration of Sierra Caral and Sierra Santa Cruz Protected Areas. Two Brochures will be produced and distributed.
- Ministry of Finance: Financial Gaps for effective management of the regional network of Protected Areas can only be addressed with the support of the Technical Budget Direction of this Ministry. The Financial Gap Study will be presented to this Ministry, as well as the proposed PES (Payment for Environmental Services) Mechanisms Study.
- Local Communities: A regional communications strategy will be implemented in Caribbean Guatemala, in order to raise awareness on the value and importance of biodiversity and protected areas for sustainable livelihoods. Radio Spots; Popular Education Publications in a local Newspaper; and Three Brochures will be produced

and disseminated. Radio spots will be produced in Maya- Q'eqchi and Spanish.

Additionally, all field personnel will have outreach and education responsibilities, as this is a regular part of our work in local communities. Increasing environmental awareness across the region will be indispensable in order to ensure long term ecological connectivity beyond protected areas, particularly by deterring unsustainable behaviours (wildlife pets, sling shots, etc.) and promoting sustainable agro-ecosystems that are compatible with biodiversity.

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)

Although the establishment of “*ecological networks, ecological corridors and/or buffer zones in order to maintain ecological processes at the landscape level*” has received attention in the past, the systematic construction of such processes has had limited support in Guatemala. By developing a “Conservation and Management Plan” for a network of protected areas will be a first example of this approach in Guatemala.

Also, the proposed “Free, Prior and Informed Consent” process for the preparation and validation of a REDD Project Document will be the first such process in Guatemala. Additionally, the support from Ecosphere Capital and The Althelia Fund may lead to the first example of a REDD project in Guatemala, that specifically seeks to protect community owned forests through carbon related funding.

23. Leverage

a) Secured

Confirmed:

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.

- **FFEM: Project Durabilite des Mecanismes de Cogestion et de Conservation Communautaire de la Biodiversite dans le Sytème Guatemalteque d'Aires Protegées.**

FFEM project is complementary to this project, as it is supporting two protected areas in the Caribbean Region. The site specific focus of the FFEM project will be complementary to the Regional perspective and support of this Project. The leverage provided by FFEM will be used to support Participatory Governance issues in protected areas. The FFEM will also support the design and legal establishment of the “Caribbean Protected Areas Sustainable Community Development Fund” to which this project will contribute an initial amount for 5-7 projects. Other match-funds from FFEM are: Fieldwork travel and subsistence costs, online project monitoring system and geo-server web-net for biology monitoring.

- **Whitley Fund for Nature:**

Project Protection of the Sierra Caral Amphibian Conservation Reserve and support to the establishment of a network of AZE Sites for Amphibian Conservation in Guatemala”

This project includes the analysis to prioritize the amphibians conservation sites including the Caribbean Region in Guatemala, this allow us to fundmatching in travel costs, Previous Analysis for biology monitoring specifically in amphibians, and dissemination in Caribbean regional value for amphibians.

- **Athelia Climate Fund: REDD Project in Caribbean Guatemala**

Althelia Climate Fund will provide match-funds for the preparation of the PDD for the REDD project

- **FUNDAECO match-funds**

FUNDAECO will provide funds for the preparation of the ERPA for the REDD project. As part of our financial transparency practices FUNDAECO will also provide £XX for a final external financial audit to the project

- **CONAP:**

The National Council of Protected Areas will provide in-kind support to the project, through the salaries of Park Guards that will be supporting project activities in the protected areas across the region.

- **INAB- National Forestry Institute:**

Through the Forestry Incentives Program, INAB will contribute approximately XXX during the duration of the project, as direct financial incentives to communities that will be protecting their forests under the Program. This amount, however, is not included in the project budget as these funds will be directly disbursed to local communities

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
March 2014	FONACON National Conservation Fund	– £XX	This project will be presented to FONACON, in order to fund the preparation of the management Plan for one of the proposed protected areas.

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.

The Impact of this Project will be the conservation of the remaining rainforests of Caribbean Guatemala, between the borders of Belize and Honduras -with an expected reduction of at least 50% in deforestation rates across the region over the next eight years- which will be achieved through the establishment and participatory management of a regional network of protected areas, and the provision of direct financial incentives for the protection and restoration of forests by local communities.

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.

(Max 250 words)

The outcome of this project will be the development of a regional strategy, methodologies and tools for the reduced fragmentation and deforestation of the remaining rainforests of Caribbean Guatemala, between the borders of Belize and Honduras. This will be achieved through the completion and improved management of a Regional Network of eight Protected Areas –including the establishment and strengthening of participatory governance mechanisms and the reduction of their Effective Management Financial Gap; the direct provision of financial incentives for the protection and restoration of 5,000 ha of high biodiversity community owned forests, which will ensure over 137,000 £ of new income per year (over five years) for 500 families and will be allocated as counterpart funding to the project by the National Forestry Institute; the establishment of a regional funding facility for small scale productive projects; the development and validation of a REDD “Project Document”, including a FPIC process, which will emphasise the development of alternative and sustainable income generating activities for local indigenous Q’eqchí and ladino communities; and the implementation of a region-wide communication effort on the values of biodiversity and protected areas in Caribbean Guatemala.

Incentives for the protection and restoration of community forests – which will be funded by the National Forestry Institute- will provide direct income to communities in excess of 137,000 £ per year over a five year period. Poverty reduction efforts will also include support (through the above mentioned funding facility) to sustainable productive activities such as black pepper, non-timber forest products, ecotourism and others.

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).

Please note that, for improved clarity, Indicators and outputs have been re-arranged, in order to regroup them in four Components - Regional Protected Area System; Poverty Alleviation; REDD-FPIC; Communications and Outreach-. Also, new indicators and outputs, which seek to better respond to the Committee’s observations, are highlighted.

Indicator 1	Protected area management and forest fragment protection efforts across Caribbean Guatemala are being informed and oriented by a biodiversity and environmental services monitoring methodology, based on forest fragments analysis and prioritization (based on size, singularity, endemism, AZE species, connectivity functions, etc.)
Indicator 2	Two additional proposed protected areas have been declared in Caribbean Guatemala; their Management Plans have been formulated with ample participation from local communities and stakeholders, and participatory governance mechanisms have been established.
Indicator 3	The Financial Gap for the effective management of the Regional System of Protected Areas has been reduced by at least 40% through increased budgets, the enactment of PES mechanisms and REDD project contributions.
Indicator 4	The proposed “Conservation and Sustainable Management Plan” for the Regional Network of Eight Protected Areas has been produced and is

	being used to strengthen management effectiveness across the region.
Indicator 5	5,000 hectares of selected high priority forests fragments are being protected and restored by communities and small forest owners through the provision of direct “forest protection incentives”
Indicator 6	By the end of the project, Forest Protection Incentives are providing direct income to communities in excess of 137,000 £ per year, over a five year period
Indicator 7	A regional funding facility for small scale productive projects has been established – The “Caribbean Protected Areas Sustainable Community Development Fund” has been established
Indicator 8:	Through the above mentioned funding facility, between 5 and 7 sustainable productive activities such as black pepper, non-timber forest products, and ecotourism, have been supported.
Indicator 9:	The REDD “Project Design Document” (PDD) has been validated and certified and an “Emissions Reductions Purchase Agreement” (ERPA) has been negotiated, with the endorsement from local participating communities, through an adequately documented “Free, Previous and Informed Consent” process

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	Annual Biological Monitoring Reports; GIS thematic Maps and forest cover analysis; Biogeographic data bases; Reports on the provision of environmental services by protected areas ; Data Analysis Reports on the state of forest fragments; Annual workshops Reports of meetings with Protected Area managers and adopted decisions and recommendations for management.
Indicator 2	Publication of Decrees in Official Gazette for the Declaration Laws of two protected areas; Participants lists for the Managements plans formulation workshops; Management Plan Documents; Reports on community participation in protected area management and governance ;
Indicator 3	Financial Gap Analysis Document; Official reports of budgetary allocations to protected areas emitted by CONAP; number of newly assigned park guards for the region; Administrative and legal resolutions for the approval of PES mechanisms; Income reports from approved PES mechanisms;
Indicator 4	Participants lists for workshops for the discussion of the Regional Management Plan; “Conservation and Sustainable Management Plan for the Network of Protected Areas of Caribbean Guatemala” presented to CONAP, local authorities, selected Universities and other stakeholders
Indicator 5	“Forest protection incentives” technical files (maps, soil studies, legal files) presented to INAB for each beneficiary community or small forest owner; Resolutions of approval of Incentives by INAB (National Forestry Institute)
Indicator 6	Reports of paid incentives by INAB; monitoring database (on excel files) of yearly allocation of incentives per community.
Indicator 7	Legal documents of the Establishment of the small scale productive projects Fund and Operating Manual of the Fund.
Indicator 8	Technical proposals and Reports of 5-7 small projects funded through the fund.
Indicator 9	Report on FPIC process; Signed ERPA; PDD validated and certified by international standards VCS (Voluntary Carbon standard) and CCB (Climate Community and Biodiversity standard)

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	As most coastal regions in the Wider Caribbean, Caribbean Guatemala is a drug trafficking route for cocaine smugglers. Over the past four years however, 9 out of the 12 most wanted drug barons in Guatemala have been captured, prosecuted and/or extradited, effectively reducing risks and territorial claims by cartels. We are assuming this policy will remain in effect, and that narco-related activities will lower or remain at their current level, thus allowing for strengthened protected area management strategies in the region.
Assumption 2	In order to strengthen the Regional Network of protected areas in Caribbean Guatemala, a Financial Gap Analysis (for effective protected area management) will be carried out and used to promote improved public budgets and the adoption of PES mechanisms. We are assuming that the Fiscal situation in the Country will remain stable and will allow for a constructive and positive dialogue with the Ministry of Finance and the Financial Commission of the National Congress; this is highly probable as a "Fiscal Reform" has recently passed and should provide additional fiscal income over the next years.
Assumption 3	Over the past ten years, FUNDAECO has developed a close working relationship with local communities across Caribbean Guatemala. We are therefore assuming that "Free, Prior and Informed Consent" for a REDD project in the region will be obtained during the first year of project implementation.
Assumption 4	The project is assuming the possibility of achieving the legal declaration of two additional protected areas; this however, ultimately depends on the National Congress, which is the entity under Guatemalan Law that can enact new nature reserves. A new legislature was invested in January 2012, and they have been very welcoming and supportive of conservation initiatives. We are assuming this support will continue over the next four years.

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	Through GIS technology, field monitoring and data analysis, high priority forest fragments for biodiversity conservation, ecological connectivity and environmental services provision have been identified across Caribbean Guatemala, and are informing protected area management and habitat protection decisions.
Output 2	The Regional Network of Protected Areas of Caribbean Guatemala has been completed and strengthened- through the establishment and Management Planning of two additional Nature Reserves; the analysis of Financial Gaps and the proposal of "Payment of Environmental Services" mechanisms for the entire Regional System; the Production of a Conservation and Sustainable Management Plan for the Regional Network of Eight Protected Areas; and the strengthening of participatory

	Governance Mechanisms
Output 3	Selected high priority forests fragments are being protected and restored by communities and small forest owners through the provision of direct incentives in at least 5,000 additional hectares across the biological corridor of Caribbean Guatemala; these incentives will provide significant income to local communities at least over a five year period.
Output 4	A sustainable funding facility for small scale productive projects - The "Caribbean Protected Areas Sustainable Community Development Fund"- has been established, replenished through corporate donations and other sources, and is funding 5-7 projects over the duration of the project.
Output 5	In collaboration with the Althelia Fund, a REDD "Project Design Document" (PDD) has been produced for the Caribbean Region of Guatemala and an "Emissions Reductions Purchase Agreement" (ERPA) has been drafted and negotiated, with the endorsement from local participating communities, through an adequately documented "Free, Previous and Informed Consent" process;
Output 6	In conjunction with the CONAP, Natural History Museum of the National University, and local newspapers and radio stations, the high value of Biodiversity and protected in Caribbean Guatemala will have been communicated and disseminated at the regional and national level.

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	
Through GIS technology, field monitoring and data analysis, high priority forest fragments for biodiversity conservation, ecological connectivity and environmental services provision have been identified across Caribbean Guatemala, and are informing protected area management and habitat protection decisions	
Indicator 1	Two annual reports of GIS forest cover analysis;
Indicator 2	Three annual reports of biological monitoring of indicator taxa (birds; Beetles; Palms; Amphibians), including data collection and analysis
Indicator 3	One report of environmental services provision in protected areas
Indicator 4	One Report on Forest fragments identified and prioritized for biodiversity conservation and environmental services provision, with regional management recommendations

Output 2	
The Regional Network of Protected Areas of Caribbean Guatemala has been completed and strengthened- through the establishment and Management Planning of two additional Nature Reserves; the analysis of Financial Gaps and the proposal of "Payment of Environmental Services" mechanisms for the entire Regional System; the Production of a Conservation and Sustainable Management Plan; and the strengthening of participatory Governance Mechanisms	
Indicator 1	One Technical study for Sierra Santa Cruz prepared, discussed and

	presented to CONAP; One Legal Declaration Decree prepared and presented to Congress (FFEM counterpart support); Two Legal decrees under consideration by Congress in the Legislative Agenda;
Indicator 2	One final Report of a Consultative process with 40 communities in Sierra Santa Cruz, consulted for the creation of a new protected area
Indicator 3	Working paper on inputs from CONAP, Finance Ministry and other stakeholder for the Financial gap analysis for Caribbean network protected; One Report on Financial Gaps and mechanisms to reduce it (PES, REDD, and others);
Indicator 4	Working papers on inputs recorded in consultation workshops for the preparation of the Regional Conservation and Sustainable Management Plan; Final Document of a Regional Conservation and Sustainable Management Plan for the Network of Protected Areas;
Indicator 5	One Report of participatory Governance Mechanisms designed and in place in the regional network of Protected Areas (FFEM counterpart support)

Output 3	
Selected high priority forests fragments are being protected and restored by communities and small forest owners through the provision of direct incentives in at least 5,000 additional hectares across the biological corridor of Caribbean Guatemala; these incentives – allocated by the National Forestry Institute- will provide significant income to local communities at least over a five year period.	
Indicator 1	20 Field Reports of participatory processes in which 20 communities are consulted to prioritize forests to be presented to the forestry incentives program
Indicator 2	Between 30 and 50 Technical and Legal Files for the registration of Forest Protection Incentives, including: Forest inventories; GIS thematic maps; Boundary geo-referencing; Legal documents; and Applications Forms; Between 30 and 50 Reception and certification resolutions by National Forestry Institute; Payment certifications;
Indicator 3	500 families are receiving forestry incentives for the protection and restoration of 5,000 ha of community forests

Output 4	
A sustainable funding facility for small scale productive projects - The “Caribbean Protected Areas Sustainable Community Development Fund”- has been established, replenished through corporate donations and other sources, and is funding 5-7 projects over the duration of the project.	
Indicator 1	The “Caribbean Protected Areas Sustainable Community Development Fund” is designed and has been established in a local Bank. One operations manual has been approved.
Indicator 2	The replenishment of the fund is presented to at least two sources (corporate donors and REDD investors)
Indicator 3	5-7 projects are funded through the “Caribbean Protected Areas Sustainable Community Development Fund”

Output 5	
In collaboration with the Althelia Fund, a REDD “Project Design Document” (PDD) has been produced for the Caribbean Region of Guatemala and an “Emissions Reductions Purchase Agreement” (ERPA) has been drafted and negotiated, with the endorsement from local participating communities, through an adequately documented “Free, Previous and Informed Consent” process (funded by the project);	
Indicator 1	50 communities, 3 municipalities, and other stakeholders are consulted in a “Free, Previous and Informed Consent” process for a REDD project;
Indicator 2	PDD considering results from the FPIC process is prepared and presented to the VCS and CCB standards for their approval
Indicator 3	One ERPA is reviewed and discussed with The Althelia Fund

Output 6	
In conjunction with the CONAP, Natural History Museum of the National University, and local newspapers and radio stations, the value of biodiversity and protected areas in Caribbean Guatemala will have been communicated and disseminated at the regional and national level.	
Indicator 1	10 Radio Spots in Maya-Q’eqchi and Spanish have been produced and aired in the main local radio station in Caribbean Guatemala;
Indicator 2	Popular Education Publications for a local Newspaper and Three Brochures are designed, validated, produced and disseminated.
Indicator 3	The communications campaign is adequately monitored and measured: Message retention and understanding are evaluated by project staff through informal interviews, Degree of agreement and compliance with suggested attitudinal changes is measured through “focus groups” methodology in selected communities.

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	Maps on prioritized remnants and fragments, monitoring plan; Previous biology and environmental services analysis report; Second year monitoring analysis report; Third year monitoring analysis report; Annual Biological Monitoring Reports; GIS thematic Maps and forest cover analysis; Biogeographic data bases; Reports on the provision of environmental services by protected areas; Data Analysis Reports on the state of forest fragments; Annual workshops Reports of meetings with Protected Area managers and adopted decisions and recommendations for management.
Indicator 2	Technical Study for Sierra Santa Cruz approved by CONAP; Community signed acts for the creation of Santa Cruz protected areas, and Decree proposal presented to the National Congress; Financial gap analysis document presented to different stakeholders, including CONAP, Finance Ministry, and National Congress; Two workshops for the presentation of the Regional Conservation and Sustainable Management Plan; Official reports of budgetary allocations to protected areas emitted by CONAP; number of newly assigned park guards for the region; Administrative and legal resolutions for the approval of PES mechanisms; Income reports from approved PES mechanisms

Indicator 3	Community agreements indicating the prioritized forest to be presented to the forestry incentive program; Forestry incentive files with approval resolution; Forestry incentives payment certificates; monitoring database (on excel files) of yearly allocation of incentives per community.
Indicator 4	Legal establishment document of the “Caribbean Protected Areas Sustainable Community Development Fund”; Proposal presented to at least two sources; Project reports and funding certificates for 5 to 7 projects;
Indicator 5	“Free, Previous and Informed Consent” final document; PDD with reception stamp from VCS and CCB standards; Signed ERPA;
Indicator 6:	Radio Station Contracts; Audio tapes of Radio Spots; Contracts and publications with local newspaper; contracts and copies of brochures; Monitoring reports of communication campaign;

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	We are assuming that the Fiscal situation in the Country will remain stable and that the Ministry of Finance will allocate the necessary funds for the Forestry Institute to successfully implement its “Forestry Incentives Program”. This public funds allocation, however, is a legal mandate from the National Congress and has been respected for the past ten years.
Assumption 2	The project is assuming the possibility of achieving the legal declaration of two additional protected areas; this however, ultimately depends on the National Congress, which is the entity under Guatemalan Law that can enact new nature reserves. A new legislature was invested in January 2012, and they have been very welcoming and supportive of conservation initiatives. We are assuming this support will continue over the next four years.
Assumption 3	We are assuming that the Fiscal situation in the Country will remain stable and will allow for a constructive and positive dialogue with the Ministry of Finance and the Financial Commission of the National Congress, in order to increase funding to the network of protected areas and reduce the financial gap for their effective management.
Assumption 4	Over the past ten years, FUNDAECO has developed a close working relationship with local communities across Caribbean Guatemala. We are therefore assuming that “Free, Prior and Informed Consent” for a REDD project in the region will be obtained during the first year of project implementation.

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	
Activity 1.1	Combined GIS initial analysis for forest fragments and remnants prioritization

	(size, elevation, and connectivity)
Activity 1.2	Field verification of prioritized forest fragments and remnants
Activity 1.3	Monitoring design and preparation of monitoring plan
Activity 1.4	Initial data collecting in the field, year one
Activity 1.5	Data processing (includes the use of multivariate methods and techniques, MARK and COMDYN software)
Activity 1.6	preparation of previous analysis for biology and environmental services monitoring report
Activity 1.7	Presentation and discussion on the previous analysis for biology and environmental services monitoring report
Activity 1.8	Preparation of Monitoring plan for year two
Activity 1.9	Initial data collecting in the field, year two
Activity 1.10	Data processing year two
Activity 1.11	Preparation of Monitoring report year two
Activity 1.12	Preparation of Monitoring plan for year three
Activity 1.13	Initial data collecting in the field, year three
Activity 1.14	Data processing year three
Activity 1.15	Preparation of Monitoring report year three

Output 2	
Activity 2.1	5 technical workshops and field trips for the preparation of the Technical study for sierra Santa Cruz
Activity 2.2	3 workshops with CONAP for the preparation of Technical study for sierra Santa Cruz
Activity 2.3	3 workshops with local communities for the discussion on the creation of Sierra santa Cruz protected area.
Activity 2.4	Preparation and presentation of decree proposal to the National Congress
Activity 2.5	Follow up with of the decree proposal with the National Congress
Activity 2.6	Preparation Santa Cruz Management Plan
Activity 2.7	Preparation Sierra Caral Management Plan
Activity 2.8	meetings for the discussion of the Financial gap analysis for Caribbean network of protected areas
Activity 2.9	Preparation and presentation of the Financial gap analysis for Caribbean network of protected areas
Activity 2.10	Workshops and meetings for the preparation of the Regional Conservation and Sustainable Management Plan
Activity 2.11	Preparation of the Regional Conservation and Sustainable Management Plan
Activity 2.12	Presentation workshop of the Regional Conservation and Sustainable Management Plan

Output 3	
Activity 3.1	Meeting and workshops with local communities to discuss and identify forest to be included in forestry incentives program
Activity 3.2	Collecting of legal information: land property documents, identity documents, etc
Activity 3.3	Delimitation of forest boundaries and Forestry inventories
Activity 3.4	Statistical analysis on the forestry inventories and land use capacity maps (for restoration only)
Activity 3.5	Preparation of Forestry Protection and restoration plans
Activity 3.6	Preparation and presentation of forestry incentive files to INAB
Activity 3.7	Follow-up to incentives approval
Activity 3.8	First year forest verification for the incentives payment
Activity 3.9	Second year forest verification for the incentives payment

Output 4	
Activity 4.1	Design of "Caribbean Protected Areas Sustainable Community Development Fund"
Activity 4.2	Preparation and presentation of two proposal for the fund replenishment
Activity 4.3	Funding of 5-7 projects
Activity 4.4	Field verification and report preparation for the financed projects

Output 5	
Activity 5.1	First meetings for the FPIC process: presentation of the project to the local communities and stakeholders
Activity 5.2	Realisation of the FPIC process (workshops, meetings, etc with more than 50 communities, 3 municipalities and other stakeholders)
Activity 5.3	Preparation of the FPIC document
Activity 5.4	Carbon and forestry inventories
Activity 5.5	Statistical analysis and project deforestation
Activity 5.6	REDD activities plan and budget preparation
Activity 5.7	PDD document preparation (includes the incorporation of FPIC results)
Activity 5.8	PDD presentation to the VCS and CCB standards
Activity 5.9	Follow-up to the PDD approval
Activity 5.10	Discussion and preparation of the ERPA

Output 6	
Activity 3.1	10 Radio Spots in Maya-Q'eqchi and Spanish are drafted, recorded, produced

	and aired in the main local radio station in Caribbean Guatemala;
Activity 3.2	Popular Education Publications for a local Newspaper and Three Brochures are designed, validated, produced and disseminated.
Activity 3.3	The communications campaign is monitored and measured: Message retention and understanding are evaluated by project staff through informal interviews; Degree of agreement and compliance with suggested attitudinal changes is measured through "focus groups" methodology in selected communities.

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													
1.1 Combined GIS initial analysis for forest fragments and remnants prioritization (size, elevation, and connectivity)	1	X											
1.2 Field verification of prioritized forest fragments and remnants	2	X											
1.3 Monitoring design and preparation of monitoring plan	2	X	X										
1.4 Initial data collecting in the field, year one	6		X	X									
1.5 Data processing	3			X									
1.6 preparation of previous analysis for biology and environmental services monitoring report	2				X								
1.7 Presentation and discussion on the previous analysis for biology and environmental services monitoring report	1				X								
1.8 Preparation of Monitoring plan for year two	1					X							
1.9 data collecting in the field, year two	6					X	X						
1.10 Data processing year two	3							X					
1.11 Preparation of Monitoring report year two	2								X				
1.12 Preparation of Monitoring plan for year three	1									X			
1.13 data collecting in the field, year three	6									X	X		
1.14 Data processing year three	3											X	
1.15 Preparation of Monitoring report year three	2												X
Output 2													
2.1 5 technical workshops and field trips for the preparation of the Technical study for sierra Santa Cruz	4	X	X										
2.2 3 workshops with CONAP for the preparation of Technical study for sierra Santa Cruz	3			x	x								

Activity	No of Months	Year 1				Year 2				Year 3			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
2.3	3 workshops with local communities for the discussion on the creation of Sierra Santa Cruz protected area.	4			x	x							
2.4	Preparation and presentation of decree proposal to the National Congress	3				x	X						
2.5	Follow up with of the decree proposal with the National Congress	12					x	x	x	x			
2.6	Preparation Santa Cruz Management Plan	8										x	x
2.7	Preparation Sierra Caral Management Plan	8					x	x	x				
2.8	meetings for the discussion of the Financial gap analysis for Caribbean network of protected areas	3		x									
2.9	Preparation and presentation of the Financial gap analysis for Caribbean network of protected areas	2		x	x								
2.10	Workshops and meetings for the preparation of the Regional Conservation and Sustainable Management Plan	3					x						
2.11	Preparation of the Regional Conservation and Sustainable Management Plan	3					x						
2.12	Presentation workshop of the Regional Conservation and Sustainable Management Plan	1						x					
Output 3													
3.1	Meeting and workshops with local communities to discuss and identify forest to be included in forestry incentives program	2	x										
3.2	Collecting of legal information: land property documents, identity documents, etc	8	X	x		x							
3.3	Delimitation of forest boundaries and Forestry inventories	16	x	x		x	x						
3.4	Statistical analysis on the forestry inventories and land use capacity maps (for restoration only)	16		x	x		x	x					
3.5	Preparation of Forestry Protection and restoration plans	16			x	x		x	x				

Activity	No of Months	Year 1				Year 2				Year 3			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
3.6 Preparation and presentation of forestry incentive files to INAB	8				x				x				
3.7 Follow-up to incentives approval	12				x	x	x	x	x	x			
3.8 First year forest verification for the incentives payment	4								x				
3.9 Second year forest verification for the incentives payment	4											x	
Output 4													
4.1 Design of "Caribbean Protected Areas Sustainable Community Development Fund"	4	x											
4.2 Preparation and presentation of two proposal for the fund replenishment	4		x			x							
4.3 Funding of 5-7 projects	21					x	x	x	x	x	x	x	
4.4 Field verification and report preparation for the financed projects								x			x		x
Output 5													
5.1 First meetings for the FPIC process: presentation of the project to the local communities and stakeholders	2	x											
5.2 Realisation of the FPIC process	9		x	x									
5.3 Preparation of the FPIC document					x								
5.4 Carbon and forestry inventories				x	x								
5.5 Statistical analysis and project deforestation						x							
5.6 REDD activities plan and budget preparation						x							
5.7 PDD document preparation (includes the incorporation of FPIC results)							x						
5.8 PDD presentation to the VCS and CCB standards							x						
5.9 Follow-up to the PDD approval								x					
5.10 Discussion and preparation of the ERPA							x	x					

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Activity	No of Months	Year 1				Year 2				Year 3			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Output 6													
6.1. Radio Spots in Maya-Q'eqchi and Spanish	6	X		X		X		X		X			
6.2. Popular Education Publications for a local Newspaper and Three Brochures	8		X		X		X		X				
6.3. The communications campaign is monitored and measured	2											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)

FUNDAECO has an approved "Project Monitoring Manual", which establishes the institutional mechanisms for monitoring and evaluation procedures, which will be applied to this project. Additionally, FUNDAECO expects to establish a web-based project monitoring system by the first semester of 2013, which will facilitate project monitoring and evaluation for all our projects.

The monitoring and evaluation system for the Project will includes the following procedures:

- Upon approval and initiation, the project will be registered in FUNDAECO's accounting software and technical monitoring system, and will receive an accounting and technical Reference Number. The final Project Document, Contract and Logical Framework will be distributed to all relevant units within the Institution.
- The Initial Launching and Operational Planning workshop for the Project will be carried out, with the participation of project staff and relevant administrative personnel. An operational plan and budget will be produced.
- Monthly monitoring of project implementation will be carried out by the Project's Coordinator, in regular meetings with project staff.
- Quarterly Monitoring of project implementation, including and evaluation of contingencies and difficulties will be carried out by FUNDAECO's Technical Director, who will submit a Report to the "Technical and Administrative Council", for the discussion of actions in order to ensure proper project implementation
- Semestral (Bi-Annual) Evaluation of Project Implementation, Outputs and Impacts will be carried out in a "Monitoring and Evaluation Workshop". Appropriate measures will be adopted to ensure successful project implementation.
- Annual Financial and Technical Reports will be prepared and submitted, and will be distributed to relevant staff.
- Annual External Financial Audits of the Project will be carried out, in compliance with FUNDAECO's External Audit Requirements.
- A Final External Evaluation of the project will be carried out by and External Consultant.

Project Monitoring and Evaluation procedures will be carried out at three levels:

- Administrative and Operational Evaluation: This level measures the level of compliance with regulations and manuals, the level of compliance with annual budget and operational plans, and other administrative criteria.
- Technical Evaluation of Logical Framework Compliance: At this level, technical compliance with logical framework and planned activities, as well as technical product quality is evaluated.
- Output and Impact Evaluation: At this level, the strategic output and impacts of the project are evaluated, in order to measure its contribution to conservation and sustainable community development objectives.

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)

A core team of Project Staff (37% of budget) will be in charge of project implementation, coordination and management. In support of this core team, a series of specialized consultancies will be contracted. These consultancies will include the following studies:

- Baseline Biological Survey
- Technical and legal "Forest incentives" Files preparation, including forest inventories and land use capability maps.
- Financial Gap Analysis Study
- Regional Conservation and Sustainable Management Plan
- FPIC process design, documentation and validation will carried out by an external, independent consultancy.

All Consultancies will be closely supervised and coordinated by the project coordinator and will have the participation of the project team, as well as regional technical staff from CONAP and INAB.

The project travel and subsistence costs are 5 % of requested funds, and operating costs are only 13 % of overall budget, including £XX for consultation and participation workshops.

The project will support partner institution CONAP, with £XX for their transportation to project activities, the project will also provide them with a computer for their regional offices.

The project will invest £XX (forestry coordinator and forestry incentive files), for the implementation of community forestry incentive projects, which will generate approximate £XX of new incomes for the families during the life of the project, which means an increase of 47% in the month income (baseline average of £XX). This means that for each pound invested by the project, families will receive £XX from forestry incentives during the project period.

The project budget includes minimal overhead cost (2.93%) and office rental (3,14%), in order to support the institutional infrastructure for project implementation.

Counterpart funding sources, of which 92% have been confirmed, provide an important leverage of funds for a maximum impact of the project across Caribbean Guatemala.

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**

CERTIFICATION 2013/14

On behalf of the trustees of FUNDAECO

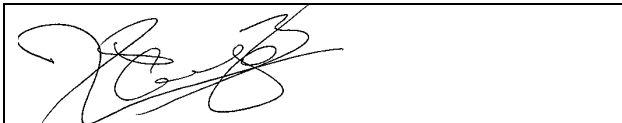
I apply for a grant of £ **269,446** in respect of **all expenditure** to be incurred during the lifetime of this project based on the activities and dates specified in the above application.

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.

Name (block capitals)	MARCO VINICIO CEREZO BLANDON
Position in the organisation	Executive Director and Legal Representative

Signed



Date:

30/11/12

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
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.