



Promoting ecotourism to strengthen the financial sustainability of the Guatemalan Protected Areas System (SIGAP)



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Biodiversity Focal Area
Strategic Program 1: Sustainable financing of protected areas systems at the national level
Strategic Program 3: Strengthening terrestrial protected area networks
CONAP/ UNDP
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ACRONYMS AND ABBREVIATIONS

AGEXPORT	Guatemalan Exporters' Association
ANADIE	National Agency of Partnerships for Economic Infrastructure Development
APR	Annual Progress Report
ASAECO	Laguna de Chicabal Association of Organic Farmers
ASL	Above sea level
ASOCUCH	Association of Organizations of los Cuchumatanes
AWP	Annual Work Plan
BANGUAT	Bank of Guatemala
CAMBio	Central American Markets for Biodiversity
CAMTUR	Guatemalan Chamber of Tourism
CAP	Project Advisory Committee
CBD	Convention on Biological Diversity
CDR	Combined Delivery Report
CECON	Center for Conservation Studies
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
COCODES	Community Development Councils
COGUANOR	Guatemalan Commission of Norms
COMUDES	Municipal Development Councils
CONAP	National Protected Areas Council
COTURAP	Technical Committee on Tourism in Protected Areas
CPAP	Country Programme Action Plan
CPR	Political Constitution of the Republic
DRALC	Regional Bureau for Latin America and the Caribbean
ECST	European Charter for Sustainable Tourism in Protected Areas
ERC	Evaluation Resource Center
EIA	Environmental Impact Assessment
ENCOVI	National Survey of Living Conditions
FCG	Foundation for the Conservation of Natural Resources and Environment
FONACON	National Fund for the Conservation of Nature
FUNDAECO	Foundation for Eco Development and Conservation
GDP	Gross Domestic Product
GEF	Global Environment Facility
GSTC	Global Sustainable Tourism Council
Ha	Hectare
HACT	Harmonized Approach to Cash Transfers
IADB	Inter-American Development Bank
IDAEH	Institute of Anthropology and History
INAB	National Forests Institute
INAP	National Institute of Public Administration
INE	National Institute of Statistics
INGUAT	Guatemalan Tourism Institute
INTECAP	Technical Institute of Capacity-Building and Productivity
IUCN	International Union for Conservation of Nature
IW	Inception Workshop
km ²	Square kilometer
MAGA	Ministry of Agriculture, Cattle Ranching, and Food Production

MARN	Ministry of the Environment and Natural Resources
masl	Meters above sea level
MBC	Mesoamerican Biological Corridor
MBR	Mayan Biosphere Reserve
METT	Management Effectiveness Tracking Tool
MICUDE	Ministry of Culture and Sports
MINECO	Ministry of Economy of Guatemala
mm	Millimeters
MRP	Municipal Regional Park
MTR	Mid-term Review
M&E	Monitoring and Evaluation
NCM	Natural and Cultural Monument
NGO	Non-governmental organization
NIM	National Implementation Modality
OCRET	Office of Control of State Reserves
PA	Protected area
PAC	Project Appraisal Committee
PB	Project Board
PBA	Permanent Ban Area
PIF	Project Identification Form
PINCON	Conservation Incentives Program
PIR	Project Inception Report
PMU	Project Management Unit
PNAT	National Tourist Assistance Program
PNR	Private Natural Reserve
POLITUR	Tourism Police
PPG	Project Preparation Grant
PRODOC	Project Document
PROSOL	Sololá Development Project
QPR	Quarterly Progress Report
RA	Rainforest Alliance
RBMP	Results-based management platform
RCU	Regional Coordination Unit
RUMCLA	Atitlán Lake Watershed Multiple Use Reserve
SBAA	Standard Basic Assistance Agreement
SEGEPLAN	Secretary of Planning for the Presidency
SIGAP	Guatemalan Protected Areas System
SPCE/DUC	Section of Cultural Heritage and Ecotourism/Department of Conservation Units
TC	Technical Committee
ToRs	Terms of Reference
TNC	The Nature Conservancy
TPC	Tripartite Committee
TT	Tracking tool
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Program
UNDP CO	United Nations Development Program Country Office
USD	United States dollars
URV	Unified Registry of Visitors
WWF	World Wide Fund for Nature

1 Executive Summary

1.1 Project Information Table

Project Title		Promoting ecotourism to strengthen the financial sustainability of the Guatemalan Protected Areas System (SIGAP)	
UNDP Project ID (PIMS#):	81367	PIF Approval Date:	03/17/2010
GEF Project ID (PMIS#):	3374	CEO Endorsement Approval Date:	05/25/2012
ATLAS Business Unit, Award # Proj. ID	64681	PRODOC Signature (date project began):	01/22/2013
Country(s):	Guatemala	Date of recruitment of project manager:	The Technical Director of the National Protected Areas Council (CONAP) functions as the Project Director; he was hired on the date the Project Document (PRODOC) was signed into effect. The project coordinator was hired on February 19, 2013.
Region:	Central America	Initiation Workshop Date:	19/03/2013
GEF Focal Area:	National-level initiatives and specific activities in the Western Highlands	Mid-term Evaluation Closing Date:	15/03/2016
GEF Focal Area strategic objective:	Strategic Objective 1 for Biodiversity, which seeks to <i>Catalyze sustainability of protected area systems</i> . More specifically, the project will contribute to Strategic Program 1, <i>Sustainable financing of PA systems at the national level</i> , and Strategic Program 3, <i>Strengthening terrestrial PA networks</i> .	Anticipated Project Closing Date:	31/01/2017
Trust Fund [indicate GEF TF, LDCF, SCCF, NPIF]:	GEF	In case of revision, proposed new completion date	
Executing Entity/Implementing Partner:	National Protected Areas Council (CONAP)		
Other Partners involved:	Guatemala's Institute of Protected Areas, the Ministry of Culture and Sports, the Ministry of the Environment and Natural Resources, The Nature Conservancy, Asociación Vivamos Mejor, Helvetas Guatemala, Rainforest Alliance, Tropical Forest Conservation Fund, Foundation for Eco Development and Conservation (FUNDAECO), Asociación Alternativa (an NGO)		
Project financing	<i>at CEO Endorsement (Million US\$)</i>		<i>at Mid-term Review (Million US\$)*</i>
[1] GEF financing:	1,295,455.00		760,245.13
[2] UNDP Contribution:	0.00		0.00

[3] Government ¹ :	1,050,000.00	1,128,886.33
[4] Other partners:	971,851.79	640,877.87
[5] Total co-financing [2 + 3+ 4]:	2,021,851.79	1,769,764.2
TOTAL PROJECT COST [1 + 5]	3,317,306.79	2,530,009.33

1.2 Project Description

Guatemala has over 10,317 species of classified plants, approximately 651 fish species, 192 mammal species, and more than 720 bird species. It is estimated that 15% of Guatemala's plant species are endemic to the country. The rich biodiversity, climate, and topography of these biomes provide fascinating contrasts as they occur within an area of only 108,889 square kilometers (km²). The Western Highlands of Guatemala cover approximately 18% of the national territory and comprise the departments of Huehuetenango, San Marcos, Quiché, Quetzaltenango, Totonicapán, Chimaltenango, and Sololá. The location of the Western Highlands within the convergence of various tectonic plates produces a species-rich volcanic chain and a non-volcanic chain, the Sierra de los Cuchumatanes, with significant variation in altitude and a diversity of microclimates that hosts a great number of species. The Western Highlands region has 79 protected areas (PAs) covering close to 2,254 km² (2.29% of the total area of the country), which are part of the Guatemalan Protected Areas System (SIGAP) consisting of 334 PAs (comprising 32% of the national territory). SIGAP has been central to the protection of the nation's biodiversity; however, the biodiversity and PAs in Guatemala and more specifically the Western Highlands are threatened by change and/or destruction of habitat, illegal logging, contamination, illegal extraction and trade of plant and wildlife, and climate change. In addition, SIGAP is not financially sustainable, which limits its ability to face the multiple threats to biodiversity.

Ecotourism is a unique opportunity to enhance the financial sustainability of SIGAP, in particular for the PAs in the Western Highlands, and as a vehicle to increase levels of biodiversity protection in these areas. This project has been developed with the objective of strengthening the financial sustainability of SIGAP by developing new financing mechanism within the developing ecotourism sector, while ensuring the alignment of ecotourism activities with biodiversity conservation objectives. This will be achieved through a strengthened legal framework at the national level to promote ecotourism in PAs using a strategy that will strengthen institutional capacity at the national, municipal, and local levels for the effective management of PAs. A pilot program in the Western Highlands will serve as a basis for this proposed reform. By project's end, the conservation of 152,146 hectares (ha) of mountain forests and conifers will have improved and ecotourism initiatives will have been developed in seven PAs, which include the establishment of partnerships for conservation between the Government of Guatemala, the private sector, municipalities, and communities living around the PAs. In addition, the connectivity between existing forest blocks will be enhanced by protecting smaller PAs within ecological landscapes that include larger national parks, as well as regional conservation efforts such as the Mesoamerican Biological Corridor. As a whole, these achievements will contribute to protecting biodiversity of global importance.

¹ The government has participated through CONAP in in-kind and cash funding and through INGUAT.

1.3 Project Progress Summary

The project has been well received by Guatemala's National Protected Areas Council (CONAP; the project's executing agency) as the anticipated outcomes respond to the institution's needs and are framed within previously established the national priorities. Despite a delay in initiating the project and low budget execution during the first year (7% execution), all of the processes for the project are underway but they have not yet reached their final outcomes; however, the project has surpassed its goals established for the Mid-term Review (MTR) with the completion of several of the outputs that were defined during its design (Note: This MTR is late as there are only 7 months remaining until the end of the project.). The project coordinator has carried out the project in an efficient manner and has received approval by the key stakeholders.

The project has enabled CONAP to be better positioned at the interinstitutional and territorial levels. It has created lines of communication among different institutions about ecotourism in PAs, thereby institutionalizing the activity. One of the principal goals of the Project is to reduce the financial gap of the SIGAP by 15%; this may not be achieved without the help of the other programs and projects that are currently being developed by CONAP. During its life time, this project by itself may not be able to reduce the gap by the amount initially established. SIGAP continues to depend on investments through external partners and non-governmental organizations (NGOs). Other progresses towards results include:

- The co-administration policy and regulatory reform have been achieved and an entry fee policy and practical guidelines have been created, but they have not been implemented in the project's pilot PAs because of a change in the government and the lack of the minimum level of infrastructure to support visitors in the PAs. However, at least some of this is expected to be implemented by the end of the project.
- After developing a proposed certification standard by CONAP, it was determined that it would not be feasible for CONAP to carry out this process independently because of the associated high costs; as a result, the project approached the Guatemalan Tourism Institute (INGUAT) regarding its Quality Seal ("Q Seal") Certification Program, so that it might include sustainability criteria specific to PAs in the certification; this approach seems more feasible given INGUAT's greater financial capability to drive this certification process.
- The development of the best practices guide for implementing ecotourism in PAs is still in process.
- The "Impulsa" Program was designed by the project to create incentives for investment in the PAs; the program will be part of proposals developed for tourism businesses in the pilot PAs.
- The training program has been implemented and has benefited 124 people; it has successfully fulfilled its objective to increase technical capabilities in all of the areas proposed by the PAs' administrators. The program also trained 40 CONAP technical staff during 2 years (35 men and 10 women). Two sessions of the "Ecotourism Training Course" have been successfully carried out and a certificate (diploma) in the "Identification, development, evaluation, and presentation of tourism projects" was created.
- The design of the monitoring methodology was completed and the training program for the biological monitoring data collection survey was defined and implemented. Eighty-one (81) people were trained, including park rangers from CONAP and the municipalities that administer the pilot PAs and members from community associations.

- Co-financing partners The Nature Conservancy (TNC) and Helvetas Guatemala participated in biological monitoring; however, there has been no detailed follow-up of their co-financing.
- Master plans were developed, updated, and approved in accordance with the standards established for six PAs.
- The visitor management plans have been completed and are pending review and comments. The following tools were developed: (1) Evaluation of Potential Ecotourism in PAs, (2) updating of the guidelines to develop visitor management plans, and (3) renewal of the SIGAP tourism webpage domain. According to the stakeholders who were interviewed, there were problems with consultations for developing the planning documents. To facilitate this process, an internal evaluation process diagram was developed for all of the plans, which ensures the efficacy of the approval and review/comment process for each plan.
- Business plans are being implemented for seven PAs. In addition, three associated tourism routes are being developed.
- The criteria for establishing fees were reviewed and updated, and a fee proposal for entry and tourism services was developed.

The project execution is satisfactory, as it is on track to achieving most of the expected outcomes and has complied with the monitoring and implementation requirements. The risk to its sustainability is moderate, and it is expected that many of the outcomes that have been attained will be sustained; however, there is a high political risk and the needed level of engagement of key stakeholders may not be adequate due to the change in government, which results in a change in leadership of the key institutions. Thus, it is likely that not all of the pilot PAs will meet all expectations such is the case with the Rey Tepepul Municipal Regional Park (MRP), which has not yet been declared a PA, and concern regarding the sustainability of technical training as there are municipal staff who are at risk of being replaced due to changes in the government.

1.4 MTR Ratings & Achievement Summary Table

Parameter	MTR Ratings		Achievement Description
Project strategy	N/A		
Progress Towards Results	Outcome Achievement Rating (rate 6 pt. scale) ²		
	Outcome 1. Strengthened legal and policy framework for implementing ecotourism as part of a strategy to engender the financial sustainability of the SIGAP.	MS (4)	The legal and political framework has been strengthened as the proposed policies and regulations for implementing ecotourism as part of the financial sustainability strategy have been updated. This outcome has surpassed the expectations for the mid-term of the project, only implementation of some of the activities is pending. These are expected to be achieved by the end of the project.
	Output 1.1: Reformed policy for the co-administration of PAs and its management tools.	HS (6)	Reformed policy and tools have been developed. This created better positioning for CONAP and the opportunity for the PAs to be co-administrated by entities with more technical and financial

² Ratings for Progress Towards Results are based on a 6-point scale: Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU).

			capabilities.
	Output 1.2: Reformed policy on tourist activities in PAs governing inter-institutional cooperation, planning, investment, and management.	HS (6)	The reformed policy has created a communication line between institutions about ecotourism in PAs, thus institutionalizing this activity.
	Output 1.3: CONAP regulation for the collection and reinvestment of gate and concession fees in PAs.	HS (6)	The regulation and a practical guide were developed that are being completed with precise data about the reinvestment of entry and concession fees.
	Output 1.4: Environmental standards and certification system for ecotourism development to govern private sector investments in PAs and enable biodiversity conservation.	MS (4)	After conducting studies and developing a proposal for a certification standard by CONAP, it was concluded that it is not feasible for CONAP to carry out this process in a sustainable and independent manner. As such, the project is working jointly with INGUAT in their “Q Seal” project that is currently being developed. In addition, the best practices guide is in development. The “Impulsa” program was successfully designed to encourage investment in the PAs using incentives. This consists of receiving proposals for tourism businesses in the pilot PAs, providing support for them and training them in the development of business plans that have a positive impact on biodiversity conservation. All processes are underway; the anticipated outcomes have not been achieved by the time of this MTR.
	Outcome 2: Improved institutional framework for ecotourism management in PAs includes a pilot program for ecotourism implementation in the Western Highlands of Guatemala.	MS (4)	The institutional framework has been improved for ecotourism management in PAs with the implementation of tools and capacity-building. The outcome has achieved its goals for this MTR; however, there are outputs that are still in process and their implementation has not been completed.
	Output 2.1: Training program increases technical capacity of PA managers (i.e., CONAP, INGUAT, co-administrators, municipalities, and local community organizations) to a) implement environmental and social safeguards for ecotourism; b) visitor services; and c) evaluate, monitor, and mitigate the impacts of ecotourism (acceptable limits of change in ecologically sensitive areas of pilot landscapes).	HS (6)	Training program was satisfactorily implemented, benefited 124 people and successfully achieved its objective of increasing the technical capacities in all of the areas proposed for the administrators of the areas.
	Output 2.2: Thirty (30) officials from CONAP trained to manage visitors and monitor the impacts of ecotourism.	HS (6)	Forty (40) technical officials from CONAP (35 men and 10 women) were successfully trained over 2 years. Two courses of the “Ecotourism Training Course” were successfully delivered, a certificate (diploma) in “Identification, development, evaluation, and presentation of tourism projects” was created, which was

		organized by multiple institutions (SEGEPLAN, CONAP, National Agency of Partnerships for Economic Infrastructure Development [ANADIE], National Institute of Public Administration [INAP], and INGUAT), and a forum for the exchange of experiences regarding ecotourism was held.
Output 2.3: Monitoring strategy developed to evaluate acceptable limits of change in ecologically sensitive areas of pilot landscapes.	HS (6)	The design of the monitoring methodology, as well as the definition and implementation of a training program for a biological monitoring data collection survey, was completed satisfactorily. Eighty-one (81) people were trained; within this number there are park rangers from CONAP and the municipalities managing the pilot PAs, as well as members of community associations. The co-financing partners, TNC and Helvetas, also participated in the biological monitoring.
Output 2.4: Management plans for PAs with ecotourism embedded as part of their financing strategies.	S (5)	The master plans of 5 PAs were satisfactorily developed, updated, and approved in accordance with the established guidelines. Visitor management plans have been finalized for 3 PAs and are pending review/comment. The following tools were developed: (1) Potential Ecotourism Assessment in PAs, (2) updating the guide to develop visitor management plans, and (3) renewal of the SIGAP tourism webpage domain. The visitor management plans for Corazón del Bosque, Todos Santos MRP, and Chicabal Permanent Ban Area (PBA) have not been developed. There were problems with consultations for developing the planning documents. To facilitate this process an internal evaluation process diagram was developed for all of the plans. The Rey Tepepul MRP has not yet been declared a PA, but it is anticipated that discussions will be held in March and its inscription will be achieved by the end of the project.
Output 2.5: PA business plans in place for each pilot landscape promoting the development of new tourism routes in areas receiving few visitors, with ecotourism potential.	S (5)	The business plans for 7 PAs are being developed. Three tourism routes are also being developed. The visitor management plans were not finished previously in order to use information efficiently and harmonize the results of the plans. This has caused problems with the consulting work for the development of the business plans, as some of the information needed is lacking. The business plans and tourism routes are expected to be completed by the end of the project.

	Output 2.6: Gate and concession fees system including collection, allocation, and fee leveling piloted.	MS (4)	The review and updating of the criteria for establishing fees was adequately performed, and a proposal for entry and concession fees for tourism services was developed. A procedures manual is being created for establishing entry fees and tourism services. The PA administrators have not wanted to implement the fees because they perceive that the areas do not offer the minimum tourism facilities and infrastructure to justify the visitor's payment; The Prodoc stipulates the construction of infrastructure " <i>in order to effectively implement the system of gate and fee collection</i> " in Rey Tepepul and Todos Santos Cuchumatan. However, in order to achieve the implementation of entry fees and to improve the income generated in the areas already implementing it, it is recommended to support the areas also in the improvement of their tourism facilities and not only the infrastructure of the gate system. Help from partners such as INGUAT has been requested to contribute to this construction. Although the lack of infrastructure to receive visitors in the pilot areas weighs heavily on the decision to implement the fees, it is expected that fee collection systems will be implemented by at the end of the project.
Project Implementation and Adaptive Management	Objective Achievement Rating (rate 6 pt. scale) ³	S (5)	Five (5) of the 7 components are driving the effective and efficient execution of the project: mechanisms for management, work planning, project-level monitoring and evaluation systems, stakeholder participation, and information management. However, with regard to co-financing, there have been shortcomings in the initially established requirements.
Sustainability	Rate 4 point scale ⁴	ML (3)	The risk is moderate and it is anticipated that many of the outcomes that were achieved will be sustained; however, because of the political risks and limited engagement of key stakeholders, it is likely that not all of the pilot areas will meet all expectations; this is the case of the Rey Tepepul MRP that is still not inscribed as a PA. Regarding the sustainability of trained staff, many of the officials from the municipalities who underwent the training were replaced.

³ Ratings for Project Implementation & Adaptive Management based on a 6 point scale: Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU).

⁴ Ratings for Sustainability: Likely (L), Moderately Likely (ML), Moderately Unlikely (MU), Unlikely (U).

1.5 Summary of conclusions

The project has positioned CONAP well in the area of ecotourism at the interinstitutional, regional, and local levels. The staff has been motivated by being given tools, the necessary basic information about ecotourism development, and technical training to empower them to promote its implementation in PAs, and to seek investments to ensure the financial sustainability of the areas. Technical skills are in place through the program for training and biological monitoring. Biological monitoring served a great purpose in organizing a collaborative effort with the co-financing partners, particularly TNC and Helvetas. The project filled an institutional gap, which the NGOs had been filling previously. This is because of the newly emplaced capacities and positioning of the CONAP. Nevertheless, at the local level CONAP still has many expectations to be fulfilled and has limited resources for monitoring, continued presence in the field, and for the construction of infrastructure to receive visitors, etc. This represents a potential risk to the sustainability of actions and the loss of credibility locally.

The policies and instruments were institutionalized and currently are being used by all of the PAs of SIGAP. This success has implications at the global level for biodiversity conservation. A large part of this is due to the fact that the project has been coordinated very efficiently, has made significant progress, especially thanks to good communication and personalized follow-up of processes in the field. The key stakeholders at every level express satisfaction and recognize the good work of the project coordinator. The involvement and empowerment of the key stakeholders has been achieved, including institutional stakeholders as well as the administrators of the PAs.

The budget has been efficiently managed, reaching 59% of its execution. With regard to co-financing, this has not been utilized to its entire potential, and there has not been careful monitoring of the co-financing partners' activities. Some of the project's partners have reduced their tourism activities, such as the USAID–International Counterpart and the Rainforest Alliance. It was not possible to obtain comparable data to assess changes in the financial gap between the baseline (2010) and the project mid-term (2015) due to the fact that the baseline data showed inconsistencies in their calculations. The 15% reduction in SIGAP's financial gap is not considered to be very realistic, as the project does not have the capacity or the time necessary for such an achievement. It is important to mention that the project is framed within a strategy led by the UNDP Energy and Environmental Program, which includes a portfolio of projects whose actions and anticipated results support the objective to reduce SIGAP's financial gap. The sum of the outcomes of these projects and the satisfactory implementation of the government's efforts to obtain funds earmarked for conservation objectives could result in the achievement of the objective stated for the project. However, these circumstances remain outside of the framework for action and scope of this project, which is why a risk is assumed in achieving this objective. SIGAP continues to depend on investments through funding from external partners and NGOs.

The project has laid the groundwork for ecotourism activities that could contribute to reducing the financial gap; however, this has still not begun to bear financial fruit, as although the fees have been established for each pilot PA and the standards for fees and concessions has been developed, the PA administrators do not feel prepared to apply these fees. The main reason why they have not applied the fee collection system is because they perceived that they have not done any tangible improvement in the tourism product, which is currently offered with no cost. In this sense local authorities perceived the need of carrying out investment in tourism facilities in order to demonstrate to the locals a credible justification for implementing a new entry fee. For this

reason, if the minimum improvements in tourism facilities are not made, it is difficult that local authorities agree to increase or establish fees for entering the PA.

The “Impulsa” program was created as a response to the creation of financial incentives for investing in the PAs. This program is an alternative management scenario, as fiscal incentives are very difficult to implement in Guatemala according to the financial experts at CONAP. This “Impulsa” program has had great success and has created many expectations with the key stakeholders of the project.

The implementation of an independent certification system by CONAP is currently not possible because of the limited capabilities and financial resources the institution has, which is why they joined forces with INGUAT, which is currently developing a tool to issue a “Q Seal” for tourism businesses. This is an opportunity to contribute to the financial sustainability of SIGAP and is necessary to formalize institutional alliances with INGUAT and the Ministry of Culture and Sports (MICUDE).

There is a high political risk and the needed level of engagement of key stakeholders may not be adequate due to the change in government, which results in a change in leadership of the key institutions and many times changes to the strategic technical positions. This has been the case with the environmental technical officials in the municipalities.

1.6 Recommendation Summary Table

Area of Analysis	No.	Recommendations	Responsible Party
Project Strategy	1	Fact sheets should be developed for the results framework indicators during project design. In this case, four of the results framework indicators (2, 6, 7, and 14) are proposed to be changed as a way to achieve the desired outcomes.	CONAP, UNDP
Progress towards results	2	Support should be provided to build and/or improve the minimum tourism facilities to be offered to visitors as tourism product. This will contribute as a step towards the implementation of the “ <i>Regulation for the management of visitors activities and the regulation of concession services for visitors in SIGAP</i> ”. In addition mentioned improvements will mean a tangible justification in order to implement new entry fees in the PAs. This should be followed by a campaign to promote and inform local communities about the improvements and the general process for ecotourism development.	CONAP, INGUAT, PA managers
	3	A strategic alliance between INGUAT, CONAP, and MICUDE should be formalized to provide support to the “Q Seal” recognition program. This formalization should be achieved through a legal instrument that supports the commitments to the development of the program.	CONAP, INGUAT, MICUDE
	4	The establishment and implementation of the guide “Sustainable Tourism Best Practices” should be prioritized for tourist destinations and businesses, including the technical support program.	CONAP
	5	A seed fund should be included as an incentive for entrepreneurs in the improved second edition of the “Impulsa” program and an agreement between CONAP and the ALTERNA NGO should be formalized.	CONAP, ALTERNA
	6	Business plans should be strengthened for support and involvement of the local tourism stakeholders, developing and proposing diversification of products for the PAs. In addition, the concept of the tourist destination should be introduced and institutionalized within the business plans as a way to position, promote, and commercialize ecotourism in the PAs. Finally, a guide to developing business plans	CONAP, CAT, PA managers

		should be created.	
	7	An understanding should be arrived at among the key regional stakeholders and an interinstitutional agreement made for the management of the Unified Registry of Visitors (URV) and its dissemination among the key territorial stakeholders.	CONAP, INGUAT, MICUDE, CECON, INAB
Project Implementation and Adaptive Management	8	Project follow-up should be performed by the co-financing partners and organized into thematic work groups.	CONAP, Co-financing partners
	9	The project timeline should be extended by at least 6 months to successfully finalize its implementation and achieve all of the expected outcomes.	CONAP, UNDP, GEF
Sustainability	10	Local tourism business operators should be involved to strengthen the development of ecotourism in the PAs and to position the PAs as tourist destinations, thereby contributing to their financial sustainability and reducing the financial gap of the SIGAP. As an incentive, businesses should be integrated in a tourism route, which the project can promote.	CONAP, PA managers, CAT, INGUAT

2 Introduction

2.1 Purpose of the MTR and objectives

The objective of the MTR is to review and analyze the progress and indicators of success or failure at the mid-term point of project implementation. This review is made to provide guidance for potential changes that would aid in reaching the desired results, following the criteria established in the Project Document (PRODOC). The documents developed by the project were reviewed to perform this MTR, as well as the observations made during the field visits and interviews that were conducted.

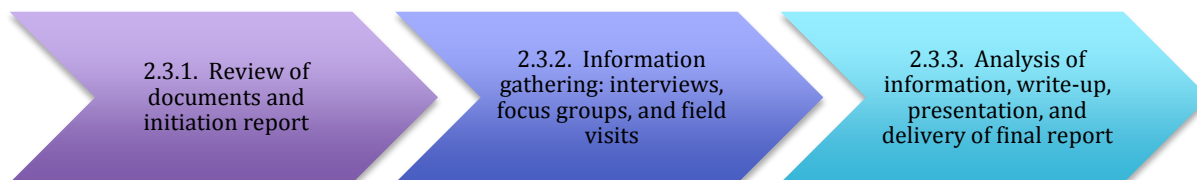
Using the Terms of Reference (ToR) as well as the GEF guide for MTRs, it was determined that this review will assess progress made towards the achievement of the project's objective, outcomes, and outputs as specified in the PRODOC, and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on track to achieve its intended outcomes. The MTR will also review the project's strategy and the risks to its sustainability.

2.2 Scope & Methodology: principles of design and execution of the MTR, MTR approach and data collection methods, limitations to the MTR

The review was mainly focused on assessing the four areas of analysis: project strategy, progress towards results, project implementation and adaptive management, and sustainability. These were reflected in the questions asked during the field visits and interviews.

Following the UNDP/GEF guidelines for MTR, the proposed methodology for reviewing the four areas of analysis consists of three phases (Figure 1). These phases are collection, analysis, and review of expected progress for the project through the mid-term.

Figure 1. MTR Review Methodology and Expected Deliverables




2.2.1 Review of documents and initiation report

This first phase consisted of collecting information from all sources, preparatory documents and the project inception report. Following the guidelines from the UNDP manual *Handbook on planning, monitoring, and evaluating for results* (2009), the secondary information consisted of “data that was collected, compiled and published by someone else.” The analysis also included information shared by the MTR team and other information that was helpful to perform the MTR (e.g., INGUAT’s ecotourism policy and benchmarking from other ecotourism examples in PAs in

Central America and Europe). The review of the priority documents required by the GEF was very important: tracking tools (TT), which are divided into two categories: the Management Effectiveness Tracking Tool (METT) and the Financial Sustainability Scorecard.

In addition to the documents received from the project coordinator, a search was conducted for documentation and benchmarking about ecotourism in pilot areas of the PAs on the American continent, mainly Central America, as well as experience in Europe, known as the European Charter for Sustainable Tourism in Protected Areas⁵. All of these examples and information sources served to enhance the final recommendations.

Recent relevant studies at the local level were also considered: primarily INGUAT's policy for ecotourism and community tourism, the Master Plan for Sustainable Tourism (2015-2025), and others.

 During this phase the first deliverable anticipated in the ToRs for the MTR was completed: The Inception Report (methods of the MTR).

2.2.2 Information gathering

Data collection was performed with the main goal of verifying the information documented with evidence from the field and interviews with stakeholders. Stakeholder interviews were conducted using the evaluation criteria previously established in the GEF evaluation guide. After collecting information from the reference documents, field interviews were held through in-person visits and focus groups. The information was cross-checked through bibliographic information, physical evidence, and testimony from key stakeholders, as well as the perceived sensibilities, weaknesses, and strength of the processes onsite.

The tools that were used in this process were the following:

2.2.2.1 Interviews and protocols

Interviews were conducted with the different stakeholders identified within the institutions associated with the project. Annex 7.7. contains a list of the institutions involved in the project and the stakeholders who were interviewed. The interviews were conducted on an individual basis and following a guide with the previously determined questions (see Annex 7.2); however, there was always opportunity for open discussion to allow for more details to be related with regard to the achievement of the outcomes.

The interviews were carried out mainly during the first weeks of December 2015 in the 7 pilot areas, with the majority conducted in Guatemala City; however, some of the interviews were carried out during the first two weeks of January 2016. Annex 7.6 shows the timeline of the field visits and interviews with the various stakeholders.

⁵ European Charter for Sustainable Tourism in Protected Areas, EUROPARC Federation, EUROPARC Consulting; Atelier Václav Hraba, 2001. Una Guía Simple para la Certificación del Turismo Sostenible y el Ecoturismo, CESD, Amos Bien, United Nations Environment Programme – World Tourist Organization (UNEP-WTO) (2005) “Making Tourism More Sustainable: A Guide for Policy Makers”, ISBN 92-807-2507-6 (UNEP), www.uneptie.org/pc/tourism/library/A%20Guide%20for%20Policy%20Makers. Htm, <http://www.turismo-sostenible.co.cr/>, <http://www.turismoruralennicaragua.com/>, <http://viajerosustentable.com/2012/01/31/comarca-kuna-yala/>

2.2.2.2 Focus Group

The “Focus Group” method was used with a group of key stakeholders within CONAP. The objective of this interview was to obtain information that is likely to be related most effectively through a collective response. In this particular case the group interview focused on understanding the process of developing the project strategy, its implementation, and the appropriation of the project by CONAP. The guidelines for the focus groups are presented in Annex 7.9.

Field visits

An 8-day field visit to conduct interviews was carried out to the 7 pilot PAs in the Western Highlands:

- 1 Private Natural Reserve Corazón del Bosque Ecological Park, Santa Lucía Utatlán, Sololá
- 2 Permanent Ban Area Volcán Chicabal, San Martín Sacatepéquez, Quetzaltenango
- 3 Municipal Regional Park Sibinal (Canjulá, Tacaná, Los Maijones y Tacaná), Sibinal, San Marcos
- 4 Municipal Regional Park Sibinal Todos Santos Cuchumatán, Huehuetenango
- 5 El Mirador de Rey Tepepul MRP, Santiago Atitlán, Sololá
- 6 Municipal Regional Park Sibinal Astillero I and II de San Pedro Sacatepéquez, San Marcos
- 7 Municipal Regional Park Sibinal Astillero de San Marcos, San Marcos

The field visit comprised in one single trip visits to the 7 pilot areas to interview regional CONAP officials, local government representatives, and associations charged with the PAs’ administration (Laguna de Chicabal Association of Organic Farmers [ASAECO], La Guadalupeana Agriculture and Traditional Crafts Development Association, and HELVETAS Swiss Intercooperation). The timeline of activities and visits are presented in Annexes 7.4, 7.5, and 7.6.

2.2.3 Analysis of information, drafting, and final report

The information was analyzed as it was collected in order to proceed with developing the report draft. The guidelines for the content of the MTR report were followed as proposed in the ToRs. All of the findings and information from data collection, interviews, and field visits were verified and analyzed. After the field visit and interviews were completed the first draft of the report was written, followed by a review by the MTR team.

2.2.4 Conclusions and recommendations

At the end of the review, the conclusions and recommendations for the project were developed. This was done using the graphic developed for recommendations, in which the recommendations are precisely detailed for each issue considered and considering who is responsible for completing the task.



During this phase the second and third deliverables listed in the ToRs for the MTR were completed: development of the first draft of the final report and presentation of initial findings.

The MTR team reviewed this draft before the final report was written.

➡ During this phase the fourth deliverable listed in the ToRs for the MTR was completed: the writing of the final report.

The validation and development of the final report followed the guidelines presented in the methods for conducting the MTR. This report includes the conclusions and recommendations, as well as the ratings performed for the MTR.

2.3 Structure of the MTR report

The report follows the structure proposed in the ToRs for the MTR that presents the main components for performing the analysis of the four areas: project strategy, progress towards results, project implementation and adaptive management, and sustainability. This review followed the key criteria of the cross-analysis. During the analysis of the formulation of the project, the relevance and logic of the design was considered, as well as if it maintained its coherence in light of the contextual changes that have taken place since its inception. Then, in analyzing the implementation and the progress towards results, the information was considered in terms of relevance, effectiveness, and efficiency. Last, an analysis to measure the sustainability of the results after project completion (i.e., when funding ends) was performed.

Importance was placed upon the structure of the report to the findings in those four areas, as well as special emphasis placed on documenting lessons learned, recommendations, and conclusions. The conclusions and recommendations are based on facts and documentation and provide lines to follow that support the implementation of the project to achieve the desired outcomes.

This review may serve to provide tools for making policy decisions or for other key stakeholders to decide whether to continue implementing ecotourism in PAs, which might be considered for design for the future initiatives.

Questions from the individual interviews and from the focal groups were designed according to the evaluation frameworks of the GEF and UNDP and following the different phases of analysis and the directives provided by those responsible for this study, in addition to the guidelines established in the ToRs in which the evaluation criteria detailing the levels of analyses in the review were presented.

3 Project Description and Background Context

3.1 Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope

The project *Promoting ecotourism to strengthen the financial sustainability of the Guatemalan Protected Areas System – SIGAP*, which is executed through CONAP with the UNDP Energy and Environment Division as the implementing agency, and with financial support from the GEF, is relevant given the national priorities for seeking alternatives for the conservation of biodiversity through developing an alternative economic activity within the PAs, such as ecotourism. The project seeks to strengthen the financial sustainability of SIGAP by developing new financing mechanisms within the developing ecotourism sector, while ensuring the alignment of ecotourism activities with biodiversity conservation objectives. Nevertheless, removing the current barriers

that impede the promotion of ecotourism in PAs will not by itself lead to their financial sustainability; however, it will increase investment in PA infrastructure and management, as well as support from local communities, and will yield useful tools to strengthen SIGAP and national and global conservation objectives.

SIGAP comprises 335 PAs (close to 32% of the national territory) and has been central to the protection of the nation's biodiversity. The system is governed by CONAP, which protects close to 55% of the country's forests. In the Western Highlands of the country, the PAs cover close to 2,254.63 km² (2.1% of the country's total area) and contains 79 PAs.

Tourism is identified as a component of the social and environmental policy of the Government of Guatemala; promoting ecotourism in PAs was part of the environmental goods and services program. Four of the five most important tourist destinations in Guatemala that receive the most visitors are PAs: Tikal National Park, Río Dulce National Park, the Pacaya Volcano National Park, and Atitlán Lake Watershed Multiple Use Reserve (RUMCLA), which forms part of the Central and Western Highlands. Nevertheless, SIGAP is not financially sustainable, which limits its capacity to effectively manage the PAs to address threats to biodiversity. **Ecotourism** was identified as a unique opportunity to improve SIGAP's financial sustainability and as a result increase the levels of protection of biodiversity, with particular focus on the PAs in the Western Highlands. Currently, the development of ecotourism in the Western Highlands is limited because of the lack of information about potential visitors to the PAs, the lack of incentives for interinstitutional cooperation or investment, inefficient mechanisms for collecting entrance fees, awarding contracts for services, and reinvestment in the PAs, and the lack of skills among the PA administrators in managing and providing services to the visitors.

The project is effectively framed within the strategic components of the country's environmental policies put forth by the government to seek connectivity between existing forest patches through the protection of small PAs within large ecological landscapes that include larger PAs and that contribute to the consolidation of efforts for regional conservation.

In order to promote the development of ecotourism at the national level, the Protected Areas Law has set forth that CONAP is the institution charged with the country's PAs and defines its role as the regulating agency and to a certain extent, in charge of the promotion of sustainable tourism within the PAs (Articles 62 and 69). In addition, this law establishes that any tourist activity to be developed within the SIGAP shall be subject to an environmental impact analysis by CONAP (Article 20) provided that the proposed tourism activities are compatible with the conservation goals of the PAs. There are also inter-institutional legal norms that were created exclusively by CONAP that constitute its Policy for Tourism in Protected Areas (2000) and the accompanying technical guidelines or Tools for Ecotourism Management in the Guatemalan System of Protected Areas, including the Regulation of Businesses and their Services for Visitors, the Regulation for Visitor Activities Management, the Guide for Developing Visitor Management Plans, and the Guide for Developing Ecotourism Programs in SIGAP, among others.

At the local level, administrators of the municipal PAs have satisfactorily reorganized their internal structures and currently the majority of the municipal councils have commissions that are responsible for monitoring environmental issues. Complementary to existing municipal initiatives, this project contributes to strengthening actions related to the conservation and management of

the environment and natural resources, as well as actions related to promoting tourism by the municipal administrators of PAs.

3.2 Problems that the project sought to address: threats and barriers targeted

Biodiversity and ecosystems in Guatemala are threatened in different ways, including their degradation within the PAs and their surrounding areas. As a result, many species are vulnerable and some are in danger of extinction. Approximately 1,693 species of plants and animals are threatened in Guatemala, which constitutes 13% of all known plants species and 43% of all animal species⁶.

Conditions of poverty and extreme poverty that prevail in the rural areas of the Western Highlands of Guatemala constitute the principal cause for the loss of biodiversity in the region. A consequence of poverty is subsistence based on the exploitation of natural resources. This poverty is manifested in the transformation of natural ecosystems into agricultural fields, regardless of their real value and potential use, which leads to overexploitation, erosion, and degradation of the natural resources, loss of biodiversity, and ecological imbalances, which perpetuates the vicious cycle of poverty and ecosystem degradation.

In the Western Highlands there is a constant expansion of the agricultural frontier into the communal and municipal forested areas, including the region's PAs. The prevalence of agricultural production as a central economic activity in the country has had negative impacts on the natural ecosystems due to the changes in land use and resultant loss of biodiversity, ecological imbalances, erosion, and contamination. The expansion of cattle-ranching and commercial agriculture contributes 10.5% of the loss of forest cover in Guatemala; in the Western Highlands the expansion of cattle ranching and commercial agriculture is responsible for the deforestation of 8,610 ha per year. Production activities carried out within the PAs, such as agriculture and cattle ranching, in addition to directly impacting the ecosystems, also generate greenhouse gases.

Another cause behind the threats to biodiversity and natural forests in the Western Highlands is inadequate territorial planning resulting in land uses that promote the degradation of natural resources; the majority of the region's rural poor are settled in mountainous areas with limited agricultural potential. On the other hand, the increase in population density in the rural areas of the Western Highlands (177 inhabitants per km²) results in the rapid reduction of available land for agriculture, thereby putting intense pressure on the PAs and areas with natural forest cover.

The threats to biodiversity are aggravated by deficiencies in environmental planning, which are manifested in the weakness of the state, public institutions, and civil society organizations. In addition, there is a financial deficit to operate the SIGAP. Although the SIGAP generates significant use values in the form of tourism, and the annual revenue from tourists' visits to PAs is estimated to be equivalent to 13% of the country's national budget, PAs are allocated only 0.001% of these resources, which contributes little to their financial sustainability or effective management. Moreover, most of the revenues are currently earned from only a few sites, while the majority of PAs in the country see little tourism activity. Additionally, the tourism industry makes little contribution to the financial sustainability of PAs in the form of infrastructure or contributions to

⁶ TNC & CONAP. 2007. Diagnóstico de capacidades del Sistema Guatemalteco de Áreas Protegidas – SIGAP.

their operation; and local communities receive few benefits from ecotourism, which contributes to the lack of public support for the PAs.

In addition, a weak government with limited capacity for environmental management has diminished CONAP's ability to effectively manage the SIGAP and to reduce the pressures that unsound tourism practices may impose on biodiversity, and which would result from an increased number of visitors and activities, the development of infrastructure, natural resource use (e.g., water and firewood), and an increased volume of wastes. CONAP has limited tools in place that would allow to effectively and systematically assess, monitor, and mitigate the impacts that are specifically related to the increase in the number of visitors to PAs.

The Project is an opportunity for enhancing the financial sustainability of the SIGAP through tourism practices that integrate biodiversity conservation objectives in PAs. This will be achieved through a revised national tourism legislative/policy framework and training strategy that will allow the strengthening of institutional capacity, provide mechanisms for financial investment in PAs from the tourism sector, reinvest gate and concession fees in the PAs, and manage pressures on biodiversity that are imposed by the growth of tourism. Policy reforms will be made operational through a tourism pilot program in the PAs of the Western Highlands that integrates biodiversity conservation objectives and complies with environmental and social safeguards. However, the following barriers limit the effective implementation of ecotourism within the SIGAP:

- Lack of a comprehensive policy and legal framework that will facilitate institutional cooperation and communication (i.e., among CONAP, INGUAT, and municipalities) for the promotion and implementation of ecotourism.
- Absence of clear institutional directives and regulations regarding financial management has made it difficult to collect and reinvest tourism revenues directly in the PAs.
- Lack of consistent guidelines and policies governing fee collection, fee retention, and concessions.
- Lack of incentives to promote investments in PAs by the tourism sector that would contribute to their financial sustainability.
- Lack of skills among PA administrators to implement ecotourism with minimum environmental and social impacts. Operationally, there are at least three different capacity gaps that must be resolved for the implementation of ecotourism in PAs: a) limited capacity by CONAP to develop and provide guidance to PA administrators (e.g., co-administrators and municipalities) for incorporating ecotourism as part of the PA planning processes; b) limited capacity by PA staff and managers (including co-administrators) to effectively manage and provide quality service to visitors; and c) inability of PA authorities to properly assess, monitor, and manage negative impacts on biodiversity that may result from tourism in PAs.
- Absence of marketing strategies to expand tourism beyond traditional PA tourist routes.
- Absence of ecotourism-based business plans for PAs, as well as fragmented co-administration and concessions systems.
- Lack of efficient user fees collection and reinvestment mechanisms, have further limited the financial sustainability of the SIGAP.

3.3 Project Description and Strategy: objective, outcomes and expected results, description of field sites (pilot areas)

The objective of this project is consistent and aligned with the GEF Strategic Program 1: *Sustainable financing of PA systems at the national level* and Strategic Program 3: *Strengthening of Terrestrial Protected Area Networks*. However, the objective is moderately satisfactory and very ambitious as it attempts to strengthen the financial stability of SIGAP by reducing the financial gap by 15% in the short time period of 4 years, and supporting itself solely with a pilot project of 7 PAs.

The design of the project and establishment of the objective is **moderately satisfactory** because it does not take into consideration the types of management categories that the SIGAP has; it only considered two types of management categories from a sample of 22 PAs and a pilot group of 7 PAs. This sample is not representative for reducing the financial gap for the entire SIGAP during the lifetime of the project. Nevertheless, the project will help to strengthen the financial sustainability of the SIGAP through the institutionalization of the policies and tools.

The objective of the project, which is *“To strengthen the financial sustainability of Guatemala’s Protected Areas System (SIGAP) by developing new financing vehicles within the developing ecotourism sector, while ensuring the alignment of ecotourism activities with biodiversity conservation objectives”* is **clear but very ambitious to achieve for the entire SIGAP in the time stipulated**. All of the stakeholders who were interviewed consider that this objective is clear. Nevertheless, many doubt the feasibility of achieving the expected results in four years (i.e., life of the project). This is primarily because although financial strengthening can be begun through incentives for the ecotourism sector, to reduce the financial gap by 15% for the entire SIGAP in the time stipulated with the resources provided by this project is too ambitious (See the analysis in Section 4.1.2).

Thus, the objective will not be achieved solely by overcoming the current barriers that impede promotion of ecotourism in the PAs or in the period of 4 years, but it is **satisfactorily** increasing the investment in infrastructure and the management of the PAs, as well as the support from the local communities and providing useful tools to strengthen the SIGAP. As such, the project is **satisfactorily** contributing to achieve global national level conservation goals. More specifically it is contributing to the GEF Strategic Objective 1: Catalyze sustainability of protected area systems (Strategic Program 1: Sustainable financing of PA systems at the national level; and Strategic Program 3: Strengthening terrestrial PA networks) and to the financial sustainability of SIGAP through the institutionalization of tools and the strengthening of CONAP.

The design of the expected outcomes is moderately satisfactory, as not all of the results are timely and cannot be achieved within the time stipulated. Outputs 1.4 and 2.6 require more time and financial investment to achieve the proposed outcomes. The indicators are also not entirely achievable; indicators 2, 6, 7, and 14 require verification and modification to be achieved (see Section 4.1.2 and Recommendations).

The design of the majority of the outputs has been clear and achievable except for two, which are less feasible and practical to complete within the period of 4 years: the certification system that is proposed exactly as indicated in the PRODOC (Output 1.4) is **not feasible** to be achieved by an

agency such as CONAP that is so weak and has such few resources; it is expensive and difficult to provide follow-up on each process. The implementation of tax exemptions was considered as an economic incentive for the private sector and PA managers to encourage investment in the PAs; however, this **is also not feasible** or practical, as it is difficult to create a tax exemption as expressed by the financial experts at CONAP. With regard to Output 2.6 that entails implementing a fee system, the design **is not satisfactory** as it does not consider the necessity of supporting it with the minimum visitor infrastructure as an action prior to implementation of the fees.

The project's outcomes and outputs are described as follows:

Outcome 1. Strengthened legal and policy framework for implementing ecotourism as part of a strategy to engender the financial sustainability of the SIGAP.

Output 1.1: Reformed Policy for the Co-administration of PAs and its management tools.

Output 1.2: Reformed Policy on Tourist Activities in PAs governing inter-institutional cooperation, planning, investment, and management.

Output 1.3: CONAP regulation for the collection and reinvestment of gate and concession fees in PAs.

Output 1.4: Environmental standards and certification system for ecotourism development to govern private sector investments in PAs and enable biodiversity conservation.

*The design of this output is **not satisfactory**, as it did not consider the complexity of creating a certification system. In addition, CONAP cannot implement a certification system due to the lack of resources for development, management, and follow-up for this type of mechanism.*

Outcome 2. Improved institutional framework for ecotourism management in PAs includes a pilot program for ecotourism implementation in the Western Highlands of Guatemala.

Output 2.1: Training program increases technical capacity of PA managers (i.e., CONAP, INGUAT, co-administrators, municipalities, and local community organizations) to a) implement environmental and social safeguards for ecotourism; b) visitor services; and c) evaluate, monitor, and mitigate the impacts of ecotourism (acceptable limits of change in ecologically sensitive areas of pilot landscapes).

Output 2.2: Thirty (30) officials from CONAP trained to manage visitors and monitor the impacts of ecotourism.

Output 2.3: Monitoring strategy developed to evaluate acceptable limits of change in ecologically sensitive areas of pilot landscapes.

Output 2.4: Management plans for PAs with ecotourism embedded as part of their financing strategies.

Output 2.5: PA business plans in place for each pilot landscape promoting the development of new tourism routes in areas receiving few visitors, with ecotourism potential.

Output 2.6: Gate and concession fees system including collection, allocation, and fee leveling piloted.

*The design of this output is **moderately satisfactory**, as it did not consider the necessity of contributing to the construction of the minimum visitor infrastructure to be able to apply an entrance fee system.*

As part of Outcome 2, a pilot program to implement ecotourism in the Western Highlands was considered. Seven pilot PAs were identified based on their potential for ecotourism and the presence of infrastructure and tourism services. They were also identified based on their importance for biodiversity, the presence of endemic and/or threatened species, their cultural value, and environmental goods and services. They were also selected for the connectivity of the forests within large ecological landscapes that include larger-sized PAs and satisfy an important function as areas of connectivity within globally important biological corridors (see Annex 7.15 for the location of the pilot PAs in the Western Highlands).

Together these 7 areas cover 14,397.55 ha; five are classified in the MRP category, one is a PBA⁷, and another is proposed as a Private Natural Reserve (PNR). The pilot PAs selected for this project are the following:

- 1 Private Natural Reserve Corazón del Bosque Ecological Park, Santa Lucía Utatlán, Sololá
- 2 Permanent Ban Area Volcán Chicabal, San Martín Sacatepéquez, Quetzaltenango
- 3 Municipal Regional Park Sibinal (Canjulá, Tacaná, Los Maijones y Tacaná), Sibinal, San Marcos
- 4 Municipal Regional Park Sibinal Todos Santos Cuchumatán, Huehuetenango
- 5 El Mirador de Rey Tepepul MRP, Santiago Atitlán, Sololá
- 6 Municipal Regional Park Sibinal Astillero I and II de San Pedro Sacatepéquez, San Marcos
- 7 Municipal Regional Park Sibinal Astillero de San Marcos, San Marcos }}

The Astillero San Marcos MRP and the San Pedro Sacatepéquez MRP in San Marcos; the Canjulá, Tacaná MRPs, San Marcos; and the Volcán Chicabal PBA in Quetzaltenango form part of the biological corridor of the Highland Volcanic Chain. The corridor covers Guatemala's Western Volcanic Chain from the Tacaná volcano (4,093 meters above sea level [asl]) in Sabinal, San Marcos, to the Tolimán and Atitlán volcanoes in Sololá. The area of this corridor is 122,000 ha. Among the most important protected species present in this corridor are the horned guan (*Oreophasis derbianus*), the Guatemalan fir (*Abies guatemalensis*), the resplendent quetzal (*Pharomachrus mocinno*), and the Guatemalan juniper (*Juniperus standleyi*).

The Todos Santos Cuchumatán MRP in Huehuetenango is the first legally established PA in the department. It is the only PA that includes the Life Zone "Very Humid Subtropical Montane Forest" of the Cuchumatanes and is part of a conservation landscape with an area of approximately 10,000 ha. The Western Volcanic Chain Corridor and the Todos Santos Cuchumatán MRP are important for the conservation of important agro-biodiversity species for Guatemala and are currently experiencing a high level of genetic erosion. The Tepepul MRP and the Corazón del Bosque PNR are part of the RUMCLA landscape (122,900 ha), which is also an important corridor for the conservation of biodiversity in the Western Highlands.

⁷ Permanent Ban Areas (Category I: National Park, Biological Reserve) are relatively extensive areas essentially untouched by human activity that contain ecosystems, patches, or species of plants and animals of scientific value and/or scenic wonders of national and international importance, in which the evolutionary or ecological processes have been allowed to occur in a spontaneous manner, with minimal interference.

3.4 Project Implementation Arrangements: short description of the Project Board, key implementing partner arrangements, etc.

The implementation arrangements of the project are satisfactory, as the majority of them outlined in the PRODOC have been established, with some specific adaptations made in the Project Board's principles. However, in some of the meetings with the co-financers, the initially established principals were not followed.

The project's executing agency, CONAP, established a Project Management Unit (PMU) that is responsible for directing, overseeing, and coordinating the project execution. The PMU is integrated into CONAP and is supported by its technical and management staff as well as a network of experts in planning, conservation, and ecotourism. A project coordinator was hired to work on the project, as well as an administrative assistant, who actively works and collaborates with the project coordinator.

Beginning with the organization of the inception workshop, the implementation mechanisms of the project were planned and described, taking into consideration the provisions presented in the PRODOC. The Project Board and the Advisory Committee were temporarily established to monitor the project. This has **partially adhered** to the initial provisions.

The Project Board should be made up of the highest-level representatives of each sector taking part in the project. During the inception workshop, it was determined that these were the UNDP Country Director, the Executive Officer of CONAP, their counterparts from the financial organizations, their counterparts from the communities, and a mayor representing all of the municipalities participating; coordinated by the project director. The authoritative powers of the Project Board were also established. For the first year HELVETAS was proposed as the representative of the co-financing partners and Corazón del Bosque was proposed as the representative of the communities participating in the project. For the municipalities, it was initially suggested to create a memorandum of understanding to inform the mayors of the meetings. However, in reality in two meetings (in 2013 and 2015) that were held during the 3 years the project has been in effect, the only participants have been technical and management representatives from CONAP and UNDP. **As such the guidelines that were established initially have not been followed, but they have adapted to the current circumstances and the development of the project has not been affected.**

With regard to the Advisory Committee, their current function is viewed as satisfactory, despite the significant changes made to adapt to new circumstances. During the inception workshop, it was decided that the committee would consist of representatives from each NGO, co-financing organization, each community associated with a PA, municipalities, and INGUAT. The primary functions of the committee were also defined during this meeting, such as meeting every 3 months and advising the Project Board. In reality this committee underwent a strategic change because given the distance and the necessity to keep the managers of these areas informed and motivated, it was decided from the beginning to conduct periodic trips, at least one per year, to personally follow up with the members of this committee. These trips are specifically for each area and involve all of the key local stakeholders with the goal of informing them of progress and involving them in the process. **This adaptive change has very positively impacted the progress towards achieving the objectives.**

Detailed records have been maintained of all the trips made by the project coordinator each year in each of the pilot areas since 2013. Nevertheless, the functions that were defined for this committee have not been performed as initially lay out as there has not been an organized group meetings, but rather follow up with each member individually.

The participation of the co-financing partners is moderately satisfactory, as in theory they are part of the Advisory Committee but have not participated in the committee; they have been periodically called together to participate in specific activities. With regard to the output related to biological monitoring, TNC and Helvetas have been invited to participate in the hiring process and the development of the related activities. This project complements actions already in process that are being carried out by these NGOs. In addition, very close communication has been maintained with Helvetas because of their participation in projects within the pilot areas, such as the binational project they are currently developing in the Tacaná Volcano area.

The co-financing partners have participated in meetings about the project, during which they have been informed and invited to participate in some specific project activities and for which they express interest in becoming involved, such as the case with biological monitoring. INGUAT has also been invited to these meetings. Although not an official co-financing partner, INGUAT has been informed about the progress of the project and has actively participated in the implementation of activities (e.g., training, certification, and URV, among others) some of which have received financial support from INGUAT. Through the project, CONAP has developed a strategic relationship with INGUAT, which is contributing to the achievement of some of the project's proposed outputs and outcomes.

3.5 Project timing and milestones during implementation

The project has satisfactorily met the execution milestones since its inception. However, there was difficulty in achieving acceptance of the project, which led to needing more time to begin its implementation. The three key phases of project implementation have been adhered to; however, the MTR was delayed for one year, but did not cause negative repercussions to the project's development.

Timeline of the project:

- The project was initially conceived of in **2006**, which was not approved and had to be modified.
- In December **2009** the project was officially accepted.
- The first inception workshop for the PPG was held in August **2010**.
- The Project Appraisal Committee (PAC) meeting was held on January 26, **2012**.
- The actual implementation of the project did not begin until August **2012**.
- The inception workshop for project implementation was held on April 1, **2013**.
- The date planned for the **MTR** was set for August **2014**.
- The **closure of the project** is planned for August **2016**.

With regard to the milestones that were to be met during Project implementation, there are three key phases that were determined in the PRODOC, that **have been satisfactorily developed**:

1. The planning phase, during which annual meetings with key government stakeholders have been held through the Project Board, in addition to meetings of the Technical Committee on Tourism in Protected Areas (COTURAP), field trips and annual meetings held in the pilot areas with the mayors and administration associations of the areas, and meetings with the co-financing partners.
2. The implementation phase, which is planned through annual work plans (AWPs) approved by the Project Board with the participation of key stakeholders and which guide the necessary actions to achieve the desired outcomes.
3. The evaluation phase, that is carried out each year through monitoring performed in the annual progress reports (APRs) and the quarterly progress reports (QPRs); and this external MTR, which is an important moment during the life of the project that allow the key local and national stakeholders to express their opinions and provide follow-up and evaluation of the progress made towards reaching goals and to provide recommendations for corrective action.

3.6 Main stakeholders: summary list

Since the inception of the project, the stakeholders representing key public institutions such as the Ministry of the Environment and Natural Resources (MARN), CONAP, National Fund for the Conservation of Nature (FONACON), Institute of Anthropology and History (IDAEH), and INGUAT have been **involved in a satisfactory manner**. The participation of these and other public institutions in project implementation, through COTURAP, is **highly satisfactory**. This provides an expert view with regard to the initiatives proposed for the PAs and is taken under consideration for approval of the tourism policies within CONAP. This committee gathers the main institutions involved in developing tourism in PAs in Guatemala: MARN, CONAP, MICUDE, INGUAT, National Forests Institute (INAB), Office of Control of State Reserves (OCRET), and CECON.

The co-financing partners (TNC, Asociación Vivamos Mejor, Helvetas Guatemala, Tropical Forest Conservation Fund, USAID–International Counterpart, and the Rainforest Alliance) were involved from the beginning of the project, and some continue to be an important part of project implementation.

The participation of the key stakeholders that represent the pilot areas administrators **has been satisfactory and very important** to the project; these include **five municipalities** (San Marcos, San Pedro San Marcos, Santiago Atitlán, Todos Santos Cuchumatán, and Sibinal) and **two associations** (ASAECO in Chicabal and the La Guadalupeana Agriculture and Traditional Crafts Development Association in Santa Lucía Utatlán). A complete list of the key stakeholders and their roles in the project is presented in Annex 7.12.

4 Findings

4.1 Project Strategy

4.1.1 Project design

The design of the project is satisfactory, as it adequately incorporates lessons learned from other GEF-financed projects and is aligned with the national planning and development priorities. The executing agency (CONAP) as well as the stakeholders that benefit from the project's outcomes have been appropriately involved in its implementation. Nevertheless, the design of the project's objective and two of the anticipated outputs are difficult to achieve in the time stipulated and with the sample of PAs that was selected.

The period for planning and designing the project was **not satisfactory**, as it had a duration of more than 5 years. However, the PIF, which was developed between UNDP and the government, was completed within an 18-month period according to the GEF-4 policies.

The project was designed satisfactorily in close collaboration with various national institutions, such as the Secretary of Planning for the Presidency (SEGEPLAN), CONAP, and MARN. During this period there were other GEF projects and regional initiatives that fed into the current project. Lessons learned were satisfactorily incorporated, such as those from the Mesoamerican Biological Corridor Project, which the current project sought to complement by selecting a sample of PAs with territorial connectivity for maximum biodiversity conservation benefit. In addition, the GEF-UNDP project *Consolidating a System of Municipal Regional Parks in Guatemala's Western Plateau*, which was finalized in 2009 with Helvetas as the executing agency, provided lessons learned regarding the consolidation of MRPs to ensure sustainability of conservation, as well as the involvement and active participation of the local communities to move negotiations forward and establish solid agreements for the sustainable use and conservation of natural resources.⁸ The current project complements past GEF involvement in the municipality of San Marcos, where through the abovementioned project a visitors center was constructed in the Astillero de San Marcos MRP, the San Pedro Sacatepéquez MRP, and the Sibinal MRP, which are also pilot areas of the project and have been strengthened by updating their management plans. In addition, Helvetas is a co-financing partner.

During the project design phase some important projects were identified for joint coordination. However, in the time that it took to design the project, some of the projects that were identified had completed their implementation before the current project was initiated. This includes the GEF-UNDP project *Definition of National Priorities and Assessment of Capacity Building Needs of Biodiversity in Guatemala*, from which lessons learned were taken about establishing economic incentives for biodiversity conservation; this project gives continuity to the strategy that was established through the National Priorities Project.

The GEF-UNDP regional project *Central American Markets for Biodiversity (CAMBio)*, despite its focus on agriculture in Guatemala, addressed tourism issues in other countries; the conclusions from CAMBio were highly useful for the design of the "Impulsa" program and for focusing on small

⁸ Evaluación Final Terminal Independiente del Proyecto PNUD-GEF "Consolidación de un Sistema de Parques Regionales Municipales en el Altiplano Occidental de Guatemala" (PIMS 1458), B. Vivas y E. Pineda. 2009.

and medium-sized businesses as project beneficiaries. This project has **interacted satisfactorily** with the GEF-IADB project *Improvement of Management Effectiveness in the Maya Biosphere Reserve*, which chose the Yaxhá National Park to spearhead the development of the National Certification Strategy. This project will provide lessons learned that will be useful for the development of incentives to encourage private investment in PAs through certification.

The GEF-UNDP project *Sustainable Forest Management and Multiple Global Environmental Benefits* is currently being implemented and there has been satisfactory communication between the coordinators of both projects. The project coordinators have organized joint workshops around the TTs. They are also coordinating biological monitoring as they share the area of intervention in the department of Huehuetenango. Both coordinators are jointly designing the monitoring protocol to be implemented in this area, which will help both projects to scale-up their results.

During the project design, the national priorities were **satisfactorily considered**, as the design is in line with and contributes to the four objectives of the National Conservation Strategy promoted by the Government of Guatemala:

1. Financial sustainability (Strategies for Conservation of Biological Diversity); this national objective is also the project's objective, as it seeks the financial sustainability of the SIGAP.
2. Ecotourism development and strengthened local participation that will benefit ecotourism in the PAs (Management of Goods and Services); this objective is also part of this project's objective as it seeks to develop ecotourism as a way to strengthen the SIGAP financially. In addition, the project has strengthened local participation through training programs and participatory processes to develop master plans and visitor management plans, and seeks local benefits through local participation.
3. Development of capacities to modernize the State and for the application of management tools for biodiversity conservation (Institutional Modernization Strategy); the expected outcomes from the project are completely integrated into this national objective, as they seek to institutionalize the management processes and tools, as well as the development of capacities through specific training programs for CONAP officials.
4. Social participation in the application of management tools for public use of the PAs (Social Participation Strategy).

The project is **effectively and satisfactorily** framed within national policies: CONAP's Policy for Tourism Activity in Protected Areas and the related rules (2000 and 2003). In addition to being framed within the policy, the project has the objective of updating the policy. The project is also framed within SIGAP's Environmental Management Policy Framework (2003); INGUAT's National Ecotourism Policy (2003)⁹; and the National Policy for Sustainable Tourism Development of Guatemala (2004-2014)¹⁰.

⁹ Política Nacional de Ecoturismo en el Marco de la Estrategia Nacional de Turismo, Instituto Guatemalteco de Turismo, Doris Martínez, Mayo 2002.

¹⁰ Política Nacional para el Desarrollo Turístico Sostenible de Guatemala, 2012-2022. Gobierno de Guatemala Presidencia de la República, Mayo 2012.

The consistency of the project with the previously mentioned policies can be observed along the following lines: a) strengthening of the key institutions related to ecotourism, particularly CONAP and INGUAT; this has been achieved with the development of useful tools for CONAP to promote ecotourism in the PAs, as well as the establishment of a strategic alliance with INGUAT to address trainings, certification, and the URV; b) the development and consolidation of ecotourism products and services, which are being tracked through planning: management and business plans, as well as through the training and certification process; c) research and development of an “ecotourism culture;” this is being achieved through planning and the involvement of key local stakeholders in the planning process; and d) ecotourism marketing and advertisement, which is being achieved through business plans that will determine the type of market, advertising, and promotion for the tourism products and services to be offered in each PA.

Since the beginning of the project, the **principal institutions involved** (e.g., INGUAT, IDAEH, CONAP, and SEGEPLAN) **have been adequately involved**. In addition, the administrators of the pilot PAs have also been adequately informed about the project and are active participants.

CONAP was **actively (satisfactorily) involved** in the design of the project and its officials were charged with collecting contextual and baseline information. For the focus group conducted with CONAP, the development of the design was discussed, along with the difficulty that they had adhering to the GEF requirements. As such, they had to adapt the strategy and the development of the project to the guidelines established by the GEF. The members of the Conservation Units Division believe that this situation changed the spirit of the project, and lamented that there are no national consultants to participate in the design of the GEF projects. This is primarily due to the fact that for GEF projects, international consultants are hired. In response, the UNDP Program Official stated that it was because of the lack of trained personnel with national experience who could have responded to these specific requirements to develop the design proposals.

In addition, the pilot PAs have been working in sustainable tourism development for more than 5 years, as such the project provides continuity to their previous processes. This is considered **favorable and satisfactory**, and the project design was an opportunity to effect substantial change in knowledge about ecotourism and its management and awareness-raising tools, as well as an important opportunity to involve non-specialized institutions, such as the local governments charged with the administration of the PAs.

However, the time stipulated for project implementation is **unsatisfactory** for achieving all proposed outputs and outcomes. In addition to the previously mentioned outputs (1.4 and 2.6) that were unsatisfactorily designed, the time for implementing the project has been cut short because of external factors, such as the change in government and reduction of personnel in public administration positions, which has affected the processes through considerable delays.

The project was not planned with the expected gender-based considerations that are provided in the GEF guidelines. Nevertheless, in the project implementation there are **moderately satisfactory** gender measures that have taken into consideration wider gender aspects for each of the processes. Women are involved in all of the processes and their participation is encouraged in general. In the Corazón del Bosque PA, a woman manages the restaurant and the visitor’s center, and despite the traditional roles of women in these areas, she has managed to position herself and bring her ideas and projects into the process.

4.1.2 Results Framework/Logframe

Indicators are used to follow up on achievement of outcomes, and include a specific target in the results framework. In the following table a SMART analysis is presented for each of the indicators, determining if these are Specific (S), Measurable (M), Achievable (A), Realistic (R), and Time-scaled (T):

OBJECTIVE

Indicator 1.	Number of tourism routes within five pilot Western Highlands landscapes (i.e., RUMCLA–Lake Atitlán, Todos Santos Cuchumatán, Tacaná Volcano, Tajumulco Volcano, and Chicabal Lagoon-Volcano) contribute to the conservation of 152,146 ha with biodiversity of global importance.					
Indicator baseline	Indicator Target	S	M	A	R	T
Five (5)	Seven (7)	x	x	x	x	X
Comments						

Indicator 2.	Total area (ha) protected in the Western Highlands with ecotourism benefits					
Indicator baseline	Indicator Target	S	M	A	R	T
7,255.4 hectares	14,397.55 hectares	X	x	x	x	X
Comments	For reasons not having to do with this project, the surface area of 3 pilot PAs reported as the baseline in the PIR turned to be a different area than was reported initially (see Progress Towards Results in Section 4.2).					

Indicator 3.	Number of key species per biological group (mammals, birds, and plants) in 7 pilot PAs: <ol style="list-style-type: none"> 1. Todos Santos Cuchumatán MRP 2. Astillero Municipal 1 and 2 de San Pedro Sacatepéquez MRP 3. Astillero Municipal de San Marcos MRP 4. Canjulá Tocapote, Los Maijones MRP 5. Corazón del Bosque PNR 6. Rey Tepepul MRP 7. Volcán Chicabal PBA 					
Indicator baseline	Indicator Target	S	M	A	R	T
PA 1: Mammals 4; Birds: 3; Plants: 5 PA 2: Mammals 4; Birds: 3; Plants: 5 PA 3: Mammals 4; Birds: 4; Plants: 5 PA 4: Mammals 5; Birds: 4; Plants: 5 PA 5: Mammals 3; Birds: 2; Plants: 5 PA 6: Mammals 4; Birds: 4; Plants: 5 PA 7: Mammals 4; Birds: 2; Plants: 5	PA 1: Mammals 11; Birds 11; Plants: 11 PA 2: Mammals: 11; Birds 9; Plants: 12; PA 3 Mammals: 9; Birds: 16; Plants: 18 PA 4: Mammals: 9; Birds: 16; Plants: 17 PA 5: Mammals: 5; Birds: 12; Plants: 9 PA 6: Mammals: 18; Birds 16; Plants: 18 PA 7: Mammals: 9; Birds: 17; Plants: 15	x	x	x	x	x
Comments						

Indicator 4.	Change in the financial capability of SIGAP according to that which is established in the total average score in the UNDP/GEF Financial Sustainability Scorecard					
Indicator baseline	Indicator Target	S	M	A	R	T

<ul style="list-style-type: none"> – Legal and policy framework: 39.2% – Business planning: 11.5% – Income generation tools: 24.6% – Total: 26.4% 	<ul style="list-style-type: none"> – Legal and policy framework: 49.2% – Business planning: 21.5% – Income generation tools: 34.6% – Total: 36.4% 	x	x	x	x	x
Comments						

OUTCOME 1.

Indicator 5.	Change in the legal and policy framework at the national level					
Indicator baseline	Indicator Target	S	M	A	R	T
<ul style="list-style-type: none"> – Policy for Tourism Activities in PAs – Co-administration policy in PAs – CONAP regulation for control and reinvestment of income from PAs – Regulation of Concession Services for Visitors in SIGAP – Tourism management instruments in the SIGAP 	<ul style="list-style-type: none"> – 100% Policy for Tourism Activities in PAs – 100% Co-administration policy in PAs – 80% CONAP regulation for control and reinvestment of income from PAs – 100% Regulation of Concession Services for Visitors in SIGAP 	x	x	x	x	x
Comments						

Indicator 6.	Number of PAs implementing public use plans					
Indicator baseline	Indicator Target	S	M	A	R	T
– Four (4)	– Eleven (11)	X	x	X	x	X
Comments						
This indicator has been difficult to understand. The source of the baseline was not specified previous to the beginning of the project, when only two PAs had public use plans: El Mirador and Agua Caliente. As such, the baseline of the indicators should be changed from 4 to 2, and the goal from 11 to 9.						

Indicator 7.	Number of PAs with URVs in the pilot areas of the project					
Indicator Baseline	Indicator Target	S	M	A	R	T
– Five (5)	– Ten (10)	X	X	X	x	X
Comments						
This indicator has been difficult to understand, as the source of the baseline was not specified; the goal of the indicator was also not able to be identified, as there are only 7 pilot areas and the indicator proposes 10. In addition, it is an indicator that appears to be represented differently in the PIR and the results framework.						

Indicator 8.	Number of agreements between the private sector and SIGAP officials for the operation of ecotourism activities in PAs of the Western Highlands					
Indicator baseline	Indicator Target	S	M	A	R	T
One (1): MRP Canjulá Tocapote, Los Maijones	Eight (8)	x	x	x	X	x
Comments						

Outputs 1.1 1.2 1.3 1.4.	<ul style="list-style-type: none"> – Reformed Policy for the Co-administration of PAs and its management tools – Reformed Policy on Tourist Activities in PAs governing inter-institutional cooperation, planning, investment, and management – CONAP regulation for the collection and reinvestment of gate and concession fees in PAs – Environmental standards and certification system for ecotourism development to govern private sector investments in PAs and enable biodiversity conservation 										
Comments	<p>All of the outputs are Specific, Measurable, Achievable, Relevant, and Time-bound except for Output 1.4, which is not considered to be achievable in the time stipulated because of its very nature (see 4.2).</p> <table border="1" style="float: right; margin-left: 20px;"> <thead> <tr> <th>S</th> <th>M</th> <th>A</th> <th>R</th> <th>T</th> </tr> </thead> <tbody> <tr> <td>x</td> <td>x</td> <td>x</td> <td>x</td> <td>X</td> </tr> </tbody> </table>	S	M	A	R	T	x	x	x	x	X
S	M	A	R	T							
x	x	x	x	X							

Outcome 2.

Indicator 9.	Change in the capacity development indicators according to the UNDP Capacity Development Scorecard (100 PA managers [CONAP, INGUAT, municipal co-administrators, tourism operators, local community organizations] trained in visitor services and evaluation, monitoring, and mitigation of impacts from ecotourism)										
Indicator Baseline	<p>A) Participation: Municipalities: 76.67 Associations: 77.78 Agencies in the field: 53.33 Agencies in the headquarters, capital city: 55.56</p> <p>B) Generate, access, and utilize information and knowledge: Municipalities: 51.67 Associations: 58.33 Agencies in the field: 31.67 Agencies in the headquarters, capital city: 33.33</p> <p>C) Development of strategies, policies, and legislation: Municipalities: 40 Associations: 66.67 Agencies in the field: 35.56 Agencies in the headquarters, capital city: 44.44*</p> <p>D) Management and implementation: Municipalities: 33.33 Associations: 41.67 Agencies in the field: 30.00 Agencies in the headquarters, capital city: 66.67</p> <p>E) Monitoring and evaluation: Municipalities: 16.67 Associations: 41.67 Agencies in the field: 0 Agencies in the headquarters, capital city: 0</p>										
Indicator Target	<p>A) Participation: Municipalities: 82.67 Associations: 83.78 Agencies in the field: 59.33 Agencies in the headquarters, capital city: 61.56</p> <p>B) Generate, access, and utilize information and knowledge: Municipalities: 57.67 Associations: 64.33 Agencies in the field: 37.67 Agencies in the headquarters, capital city: 39.33</p> <p>C) Development of strategies, policies, and legislation: Municipalities: 46 Associations: 72.67 Agencies in the field: 41.56 Agencies in the headquarters, capital city: 50.44*</p> <p>D) Management and implementation: Municipalities: 39.33 Associations: 47.67 Agencies in the field: 36.00 Agencies in the headquarters, capital city: 72.67</p> <p>E) Monitoring and evaluation: Municipalities: 22.67 Associations: 47.67 Agencies in the field: 6 Agencies in the headquarters, capital city: 6</p>										
	<table border="1" style="float: right; margin-left: 20px;"> <thead> <tr> <th>S</th> <th>M</th> <th>A</th> <th>R</th> <th>T</th> </tr> </thead> <tbody> <tr> <td>x</td> <td>x</td> <td>x</td> <td>x</td> <td>X</td> </tr> </tbody> </table>	S	M	A	R	T	x	x	x	x	X
S	M	A	R	T							
x	x	x	x	X							
Comments											

Indicator 10.	Number of PAs in the Western Highlands established and registered in SIGAP					
Indicator Baseline	Indicator Target	S	M	A	R	T
Thirty-nine (39)	Forty-one (41)	x	x	x	x	X
Comments						

Indicator 11.	Number of PAs in the Western Highlands with monitoring, evaluation, and mitigation programs addressing impacts of ecotourism on ecologically sensitive areas					
Indicator Baseline	Indicator Target	S	M	A	R	T
Zero (0)	Seven (7)	x	x	x	x	X
Comments						

Indicator 12.	Change in the annual income generated in 22 PAs that have visitors					
Indicator Baseline	Indicator Target	S	M	A	R	T
\$1,393,123	\$1,811,060 (increase by 30%)	x	x	No	x	No
Comments	This indicator is very ambitious as increasing the annual income generated in the 22 PAs that have visitors by 30% in 4 years of the project is difficult to achieve. Despite the political reforms and regulations favoring the 22 PAs, they do not have the capacity to implement them in this short time period. In addition, of the 22 PAs, only 6 are managed by CONAP (only 2 cases independently, or without co-management). These areas are managed by other entities that independently manage their funding, which presents a limitation in implementing regulation of fees by CONAP.					

Indicator 13.	Number of PAs in the Western Highlands with a system of entrance fees and visitor services in operation					
Indicator Baseline	Indicator Target	S	M	A	R	T
Two (2): Volcán and Laguna de Chicabal PBA, and Concepción MRP, Chiquirichapa	Eight (8): Baseline + 6 pilot areas	x	x	No	x	No
Comments	The operation of the entrance fee system is not achievable during the life of the project because of the lack of minimal visitor infrastructure for these services that will enable charging entrance fees to the PAs.					

Indicator 14.	Change in the financial gap to cover basic management costs and investments by SIGAP as a result of the increase in income generated by the PAs through gate fees and provision of services					
Indicator Baseline	Indicator Target	S	M	A	R	T
\$4,952,795	\$4,209,876 (15% reduction in the financial gap)	x	X	X	x	No
Comments	This indicator was not able to be compared as an error was discovered in the methodology used to determine the baseline of the financial gap. The outcome at the mid-term point of the project cannot be compared. Reducing the financial gap by 15% for the entire SIGAP is an indicator that is difficult to achieve in the time period of the project. This is because it is difficult to reduce the financial gap of the entire SIGAP, 334 PAs, with a project lasting only 4 years, and which only directly intervenes in 7 pilot PAs. The reform and institutionalization of the policies and regulations will influence and contribute to changes in the PAs that organize ecotourism in the landscapes they occupy, which will carry with it the development of services and charging entrance fees, but it will require significant and long-term effort to achieve the target of this indicator.					

Indicator 15.	Change in the management effectiveness of the selected PAs in the pilot landscapes through METT					
Indicator Baseline	Indicator Target	S	M	A	R	T
<ul style="list-style-type: none"> - Todos Santos Cuchumatán MRP: 58 - Astillero Municipal 1 and 2 de San Pedro Sacatepéquez MRP: 27 - Astillero Municipal de San Marcos MRP: 54 	<ul style="list-style-type: none"> - Todos Santos Cuchumatán MRP: 78 - Astillero Municipal 1 and 2 de San Pedro Sacatepéquez MRP: 47 - Astillero Municipal de San Marcos MRP: 74 - Canjulá, Tocopote, Los Maijones MRP: 52 - Parque Ecológico Corazón del Bosque MRP: 75 - Rey Tepepul MRP: 68 	x	x	X	x	X

<ul style="list-style-type: none"> - Canjulá, Tocapote, Los Maijones MRP: 32 - Parque Ecológico Corazón del Bosque MRP: 55 - Rey Tepepul MRP: 48 - Volcán Chicabal PBA: 38 	- Volcán Chicabal PBA: 58						
Comments							

Output 2.1 Output 2.2 Output 2.3 Output 2.4 Output 2.5 Output 2.6	<ul style="list-style-type: none"> - Training program increases technical capacity of PA managers (i.e., CONAP, INGUAT, co-administrators, municipalities, and local community organizations) to a) implement environmental and social safeguards for ecotourism; b) visitor services; and c) evaluate, monitor, and mitigate the impacts of ecotourism (acceptable limits of change in ecologically sensitive areas of pilot landscapes). - Thirty (30) officials from CONAP trained to manage visitors and monitor the impacts of ecotourism - Monitoring strategy developed to evaluate acceptable limits of change in ecologically sensitive areas of pilot landscapes - Management plans for PAs with ecotourism embedded as part of their financing strategies - PA business plans in place for each pilot landscape promoting the development of new tourism routes in areas receiving few visitors, with ecotourism potential - Gate and concession fees system including collection, allocation, and fee leveling piloted 						
Comments	The implementation or application of the entrance fee system is not achievable in the time stipulated for the project because of the lack of minimal infrastructure for offering services to the visitors.	S	M	A	R	T	
		x	x	x	x	X	

4.2 Progress towards results

The progress towards achieving the expected results has led to some findings and achievements that in some cases provide best practices, lessons learned, or encourage modifications. The following is an analysis of the progress towards results through the results framework indicators, including achievements and findings for each output and the specific recommendations to maximize the impact or achieve the maximum benefit of indicators.

OBJECTIVE					
To strengthen the financial sustainability of SIGAP by developing new financing vehicles within the developing ecotourism sector, while ensuring the alignment of ecotourism activities with biodiversity conservation objectives.					
Overall Rating: S					
Justification: The level of progress of the objective's indicators is satisfactory, as it has satisfactorily achieved the goals set forth in all of the indicators for the mid-term point in the project; in fact, some of the goals have been surpassed.					
Indicator 1.	Baseline	Progress to date	Target by End of Project	Midterm Level & Assessment	Achievement Rating
Number of tourism routes within five pilot Western Highlands landscapes (i.e., RUMCLA -	- Five	- Ten	- Seven		S

Lake Atitlán, Todos Santos Cuchumatán, Tacaná Volcano, Tajumulco Volcano, and Chicabal Lagoon-Volcano) contribute to the conservation of 152,146 ha with biodiversity of global importance.	(5)	(10)	(7)		
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Justification for Rating and Progress Level:

The level of achievement is Satisfactory and is on track to being achieved. This indicator has progressed considerably and there has been significant progress towards the development of the tourism routes.

Specific recommendation to reach the maximum impact potential and to achieve this indicator:

The tourism routes are being designed and will be in place for the time period of project closure, it is recommended that the concept of the tourism route in PAs is officially adopted and socialized.

Indicator 2.	Baseline	Progress to date	Target by End of Project	Midterm Level & Assessment	Achievement Rating
Total area (ha) protected in the Western Highlands with ecotourism benefits	– 7,255.4 ha (Todos Santos Cuchumatán MRP)	– 10,500.95 ha	– 14,397.55 ha		S

Justification for Rating and Progress Level:

The level of achievement is Satisfactory and is on track to being achieved. Because land ownership is uncertain in Guatemala and there is no cadastre information in the PAs, the target initially proposed does not align with the official number of ha in the pilot PAs. As such, it will not be possible to protect 100% of the target area proposed initially (i.e., 7,142.15 ha), only 73% of this area will be protected as three of the pilot PAs had to change their total area. First, in the Corazón del Bosque, the total area to be declared as PA will be reduced since the La Guadalupe Association could only demonstrate legal ownership of 8.94 out of 35.4 ha initially considered. Second, the Volcán Chicabal PBA had to reduce its land coverage originally stated as 1,572 to 496 ha, derived from Resolution 01-08-2014, April 22, 2014, through which the number of hectares of all PBAs was modified. Finally, there were also some discrepancies in land ownership found in the Rey Tepepul PA, and its total area was reduced from 3,892 to 3,509 ha.

Specific recommendation to reach the maximum impact potential and to achieve this indicator:

Because of the modification to the number of ha in the pilot PAs, the area under protection with ecotourism benefits in the pilot PAs also had to be revised. As such, it is recommended that a change to the indicator's target is made due to reasons explained above.

Indicator 3.	Baseline				Progress to date				Target by End of Project				Midterm Level & Assessment	Achievement Rating
	PA	M	B	P	PA	M	B	P	PA	M	B	P		
Number of key species per														HS

biological group (mammals, birds, and plants) in seven pilot PAs: 1. Todos Santos Cuchumatán MRP; 2. Astillero Municipal 1 and 2 de San Pedro Sacatepéquez MRP; 3. Astillero Municipal de San Marcos MRP; 4. Canjulá Tocatote, Los Maijones MRP; 5. Corazón del Bosque PNR; 6. Rey Tepepul MRP; 7. Volcán Chicabal PBA.	1.	11 = <3G/ 2B >1G/ 5B	11 = =6 G/ 5B	11 = 6G / 5B
	2.	10 = <3G/ 4B >0G/ 3B	9 = 4G /5 B	12 = 6G / 6B
	3.	9 = <3G/ 3B >0G/ 3B	16 = =1 1G /5 B	18 = 12 G/ 6B
	4.	9 = <2G/ 3B >1G/ 3B	16 = = 11 G/ 5B	17 = = 11 G/ 6B
	5.	5 = <0G/ 3B >0G/ 2B	12 = = 6G / 6B	11 = = 6G /5 B
	6.	18 = <2G/ 6B >5G/ 5B	16 = = 11 G/ 5B	18 = = 6G /1 2B
	7.	9 = <2G/ 3B >2G/ 2B	7= 11 G/ 6B	15 = = 6G /9 B
	Note: In the Mammals column, (G) means the environmental quality indicator and (B) no environmental quality. < means lesser mammals, > means greater mammals.			

Justification for Rating and Progress Level:

This achievement rating is Highly Satisfactory and has been 95% achieved. This activity has been 95% achieved, surpassing that which was initially expected for the mid-term of the project. A biological monitoring methodology was developed and implemented in the 7 pilot PAs. This led to the training of the resource-protectors in each pilot area. Eighty-one (81) people were trained, 4 of who were women. The project has performed the first monitoring event and has established the baseline. In order to ensure the sustainability of the monitoring program, the project is preparing a second monitoring event focused on strengthening pilot areas’ staff capacities regarding not only data gathering but also data interpretation and decision making.

Indicator 4.	Baseline	Progress to date	Target by End of Project	Midterm Level & Assessment	Achievement Rating
Change in the financial capability of the SIGAP according to that which is established in the total average score in the UNDP/GEF Financial Sustainability Scorecard	<ul style="list-style-type: none"> – Legal and policy framework: 39.2% – Business planning: 11.5% – Income generation tools: 24.6% – Total: 26.4% 	<ul style="list-style-type: none"> – Legal and policy framework: 47.43% – Business planning: 18.03% – Income generation tools: 31.58% – Total: 32.35% 	<ul style="list-style-type: none"> – Legal and policy framework: 49.2% – Business planning: 21.5% – Income generation tools: 34.6% – Total: 36.4% 		S

Justification for Rating and Progress Level:

The progress of this indicator is Satisfactory and on track to being achieved. The Financial Sustainability Scorecard (total score) shows an increase of close to 60% of that expected by project’s end, surpassing the goal for the mid-term. There has been an evident increase of more than 8% in the “*Regulatory and institutional legal framework*” because the expected results with regard to the policies and instruments have been satisfactorily developed and are almost complete. There was also an increase of more than 8% in the “*Business planning and tools for cost-effective management,*” as the master and business plans are also almost completed for the PAs; there has been significant progress made and it is anticipated that they will be finalized by the end of the project. Finally, there was an increase of 6% in the “*Tools for generating income in the PAs,*” as they have been working in the issue of fee-charging, with a strategy and plan of action that covers the entire system. In addition, a permanent training plan was established, which will be complemented with a sustainable financing training module.

Outcome 1
<u>Strengthened legal and policy framework for implementing ecotourism as part of a strategy to engender the financial sustainability of the SIGAP.</u>
Overall Rating: MS
Justification: The level of progress is moderately satisfactory, as two of the indicators have a progress rating of moderately satisfactory and the outputs are on track to being achieved; however, they require certain modifications to be able to be achieved.

Indicator 5.	Baseline	Progress to date	Target by End of Project	Midterm Level & Assessment	Achievement Rating
Change in the legal and policy framework at the national level.	<ul style="list-style-type: none"> – Policy for Tourism Activities in PAs – Co- 	<ul style="list-style-type: none"> – 100% Policy for Tourism Activities in PAs – 100% Co-administration policy in PAs 	<ul style="list-style-type: none"> – Policy for Tourism Activities in PAs reformed – Co- 		HS

	<p>administration policy in PAs</p> <ul style="list-style-type: none"> – CONAP regulation for control and reinvestment of income from PAs – Regulation of Concession Services for Visitors in SIGAP – Tourism management instruments in SIGAP 	<ul style="list-style-type: none"> – 80% CONAP regulation for control and reinvestment of income from PAs – 100% Regulation of Concession Services for Visitors in SIGAP - 90% Tourism management instruments in SIGAP updated and have created new instruments such as Ecotourism Potential in Protected Areas, Guide to Public Use Development, as well as internal regulations of CONAP 	<p>administration policy in PAs updated</p> <ul style="list-style-type: none"> – CONAP regulation for control and reinvestment of income from PAs updated – Regulation of Concession Services for Visitors in SIGAP updated – Tourism management instruments in SIGAP updated 		
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Justification for Rating and Progress Level:

The progress of this indicator is considered Highly Satisfactory and is on track to being achieved, as almost all of the instruments and policies have been updated; in addition, there are new ecotourism tools included that were not initially considered. The progress of the specific outputs is described at the end of this section (i.e., Justification for Rating and Progress Level: Outcome 1).

Indicator 6.	Baseline	Progress to date	Target by End of Project	Midterm Level & Assessment	Achievement Rating
Number of PAs implementing public use plans	– Four (4)	<p>- 4 PAs at 100% design and on track to being approved; one PA at 30% design (Todos Santos Chucumatan MRP), one PA at 10% design (Chicabal PBA), and one PA at 0% design (Corazón del Bosque PNR).</p> <p>- In addition, master plans were updated or created—the development of these plans is necessary for the creation of the public use plans. In this case, 5 PAs have designed their plans and are awaiting approval; one PA (Chicabal PBA) has not begun the development of its plan; and the plan for Corazón del Bosque PNR is at 60% of the design.</p>	– Eleven (11)		MS

Justification for Rating and Progress Level:

The progress of this indicator is Moderately Satisfactory and is on track to being achieved, as it has progressed significantly; however, there are still PAs that are only at 10% or 0% in the development of their public use plans. In addition, despite having completed the design of its master plan and public use plan, the Mirador Rey Tepepul MRP has not been officially registered as a PA due to the lack of support from the outgoing mayor. The target of this indicator shows a

high level of probability for being reached because of the follow-up being provided by the project team.

Indicator 7.	Baseline	Progress to date	Target by End of Project	Midterm Level & Assessment	Achievement Rating
Number of PAs with URVs in the pilot areas of the project	– Two (2)	– Five (5)	– Five (5) ¹¹		HS

Justification for Rating and Progress Level:

The progress made for this indicator is Highly Satisfactory and has been achieved, as 100% of the PAs proposed for this target are implementing URVs. It is important to note that not all of the seven pilot PAs are implementing URVs, two are missing.

Specific recommendation to maximize the impact or achieve the goal of this indicator: It is recommended to verify and correct the baseline and target of this indicator so that these are the same in the PIR and PRODOC.

Indicator 8.	Baseline	Progress to date	Target by End of Project	Midterm Level & Assessment	Achievement Rating
Number of agreements between the private sector and SIGAP officials for the operation of ecotourism activities in PAs of the Western Highlands	– One (1): Canjulá Tocapote MRP, Los Maijones	One (1)	– Eight (8)		MS

Justification for Rating and Progress Level:

The progress made for this indicator is Moderately Satisfactory and on track to be achieved. There has been no agreements established between the private sector and SIGAP officials; nevertheless, work has been done with the “Impulsa” program to promote ecotourism projects that can be implemented in the pilot PAs. This is currently in the works and has experienced good progress; the final results are pending. There are many opportunities to establish agreements through this initiative and through the business plans developed by the project.

Specific Recommendation to maximize the impact or achieve the goal of this indicator:

An effort must be made to involve the local tourism service providers in the project and have them participate in the benefits and responsibility of ecotourism activity in the PAs.

¹¹ This target is proposed in the PIR and which was recommended for modification in the PRODOC.

Outputs

Output 1.1. Reformed Policy for the Co-administration of PAs and its management tools has made Highly Satisfactory progress, as it has enabled CONAP to be better positioned and provides an opportunity for the PAs to be co-administered by organizations with more technical and financial capabilities. The reformed policy was formally presented and approved by CONAP on December 15, 2015. This development process facilitated interinstitutional and multisectoral participation and negotiation, which resulted in better positioning of CONAP, SIGAP, and ecotourism in the PAs. This new reformed policy creates the opportunity to delegate the management of the PAs to other institutions that are more knowledgeable about ecotourism. It is anticipated that these institutions will have the technical skills to develop and lead the sustainable development of the PAs.

Output 1.2: Reformed Policy on Tourist Activities in PAs governing inter-institutional cooperation, planning, investment, and management.

This output has a rating of Highly Satisfactory given that the new guidance of the reformed policy identifies tourism as a source for generating income for PAs. In addition, an interinstitutional link to and line of communication about ecotourism in PAs has been establishment, thereby institutionalizing the concept of advancing ecotourism in PAs.

The reformed policy was formally presented and approved by CONAP on December 16, 2014; before this it was validated by COTURAP. This reform allowed the different public institutions involved with tourism in the PAs and that participate in the COTURAP to work together: MARN, CONAP, MICUDE-IDAHEH, INGUAT, INAB, OCRET, and CECON. It also allowed the initiation of activities to standardize processes, share ideas, and unify the legal instruments and regulations related to tourism in the PAs; a consultant has been hired for this purpose. Contained within the updates to the policy are principles of sustainability, distribution of benefits, and shared responsibility. However, the most important change for this project is that the policy has placed great importance on the issue of financial sustainability by means of a statement dedicated specifically to this matter.

Output 1.3: CONAP regulation for the collection and reinvestment of gate and concession fees in PAs.

This output has a progress rating of Highly Satisfactory, given that the regulation has been developed, as well as a regulatory practice guide that has been in effect since 2014. These instruments were established in concert with the technical officials of the administrators of the PAs. The fees were established through a needs analysis in order to finance the management of the PAs and was presented to the municipal councils.

Output 1.4: Environmental standards and certification system for ecotourism development to govern private sector investments in PAs and enable biodiversity conservation.

Progress is Moderately Satisfactory. After the completion of studies and development of a proposal for certification by CONAP it was realized that the development of an ecotourism certification mechanism was too costly. In addition, CONAP does not have the financial or technical capacity for its management and it would result in conflicts of interest. CONAP's technical staff considered that the first tool developed for certification through a consultancy was poorly planned and lacked proper orientation. Accordingly, an **adaptive management strategy**

was adopted in order to achieve the expected outcome; however, this alternative will require greater interinstitutional coordination and time. Finally, it was decided to join efforts and with INGUAT, which is in the process of developing a “Q Seal” Recognition Standard. Under this scheme criteria will be validated for the development of a “Green Q Seal” specifically for PAs.

The implementation of a recognition program requires strong political support. INGUAT has a legal mandate based on the existing legal tools for sustainable tourism, including the Master Plan for Sustainable Tourism and the National Policy for Sustainable Tourism, which include guidelines for the promotion of certification and the implementation of related activities: assessment, verification, and recognition and/or certification. However, CONAP does not have the capacity to certify since it lacks accreditation from the Guatemalan Commission of Norms (COGUANOR); thus, only a recognition will be developed, which is a process identical to the certification.

Currently the process for the development of INGUAT’s “Q Seal” Recognition Standard is on hold due to recent changes in the government. It is uncertain if it will have the same support. In addition, more time is needed for the development of the tool and its implementation.

The development of the handbook for best practices is also underway; however, it is dependent on the certification process. Additional time is needed for its completion, the approval by CONAP, and its final publication.

Regarding the promotion of investments in the PAs, after a detailed assessment with the CONAP technical team it was concluded that a tax exemption is not feasible in Guatemala due to the current situation of income and public spending; accordingly, other options will be considered for the development of incentives.

The project included the development of a strategy for the “promotion of ecotourism services through Internet ‘hosting’ using the CONAP and INGUAT Web pages and technical support for Web page design.” It was concluded that this would not be possible since there are no technical capacity and resources available at the institutional level or within the tourism businesses to provide follow-up to this process. The promotion of ecotourism and its commercialization in Guatemala using this type of mechanism has not been fully developed.

Finally, the project proposed the development of economic incentives through the Conservation Incentives Program (PINCON); unfortunately this mechanism was never developed and could not be implemented.

An additional adaptive strategy related to the development of fiscal incentives was the design and implementation of a program to promote the investment in PAs as part of the “Impulsa” program. It consisted of receiving proposals for the development of tourism initiatives in the pilot PAs and providing technical support and training in the development of business plans with a positive impact on the conservation of biodiversity. A total of 14 proposals were selected and an event was organized where PAs, ecotourism businesses, and investors met. This program has been very successful and would be replicated during the last year of project implementation.

Specific Recommendation to maximize the impact or achieve the goal of this output:

To achieve the output, the development and implementation of the handbook for *Sustainable Tourism Best Practices* for destinations and ecotourism businesses is recommended as a priority,

including the technical assistance program followed by the implementation of the “Q Seal” Recognition Program, which should include a strategic alliance between INGUAT, CONAP, and MICUDE. The alliance should be formalized through a legal instrument to back all commitments for the development of the recognition standard (see recommendations).

Outcome 2
Improved institutional framework for ecotourism management in PAs includes a pilot program for ecotourism implementation in the Western Highlands of Guatemala.
Overall Rating: S
Justification: Progress is considered Moderately Satisfactory since there are important achievements related to the proposed outputs; however, the expected outcomes at the mid-term for indicators 12 and 14 and Output 2.6 have not been achieved.

Indicator 9.	Baseline	Progress to date	Target by End of Project	Midterm Level & Assessment	Achievement Rating
Change in the capacity development indicators according to the UNDP Capacity Development Scorecard (100 PA administrators [CONAP, INGUAT, municipal co-administrators, tourism operators, local community organizations] trained in visitor services and evaluation, monitoring, and mitigation of impacts from ecotourism)	<p>A) Participation: Municipalities: 76.67 Associations: 77.78 Agencies in the field: 53.33 Agencies in the headquarters, capital city: 55.56</p> <p>B) Generate, access, and utilize information and knowledge: Municipalities: 51.67 Associations: 58.33 Agencies in the field: 31.67 Agencies in the headquarters, capital city: 33.33</p> <p>C) Development of strategies, policies, and legislation: Municipalities: 40 Associations: 66.67 Agencies in the field: 35.56 Agencies in the headquarters, capital city: 44.44*</p> <p>D) Management and implementation: Municipalities: 33.33 Associations: 41.67 Agencies in the</p>	<p>A) Participation: Municipalities: 76.67 Associations: 77.78 Agencies in the field: 55.56 Agencies in the headquarters, capital city: 66.67</p> <p>B) Generate, access, and utilize information and knowledge: Municipalities: 53.33 Associations: 70.83 Agencies in the field: 46.67 Agencies in the headquarters, capital city: 58.33</p> <p>C) Development of strategies, policies, and legislation: Municipalities: 42.22 Associations: 66.67 Agencies in the field: 42.22 Agencies in the headquarters, capital city: 44.44</p> <p>D) Management and implementation: Municipalities: 40.00 Associations: 41.67 Agencies in the field: 33.33 Agencies in the headquarters, capital city: 66.67</p> <p>E) Monitoring and evaluation: Municipalities: 30.00 Associations: 41.67 Agencies in the field: 0 Agencies in the headquarters, capital city: 0</p>	<p>A) Participation: Municipalities: 82.67 Associations: 83.78 Agencies in the field: 59.33 Agencies in the headquarters, capital city: 61.56</p> <p>B) Generate, access, and utilize information and knowledge: Municipalities: 57.67 Associations: 64.33 Agencies in the field: 37.67 Agencies in the headquarters, capital city: 39.33</p> <p>C) Development of strategies, policies, and legislation: Municipalities: 46 Associations: 72.67 Agencies in the field: 41.56 Agencies in the headquarters, capital city: 50.44</p> <p>D) Management and implementation: Municipalities: 39.33 Associations: 47.67 Agencies in the field: 36.00 Agencies in the headquarters, capital</p>		MS

	field: 30.00 Agencies in the headquarters, capital city: 66.67 E) Monitoring and evaluation: Municipalities: 16.67 Associations: 41.67 Agencies in the field: 0 Agencies in the headquarters, capital city: 0		city: 72.67 E) Monitoring and evaluation: Municipalities: 22.67 Associations: 47.67 Agencies in the field: 6 Agencies in the headquarters, capital city: 6		
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Justification for Rating and Progress Level of the Output

Progress of the indicator is Moderately Satisfactory and is on track to being achieved, as it was confirmed that there have been positive changes in institutional capacities; however, there are some aspects where no change has been observed.

The assessment of the Capacity Development Scorecard indicates that the baseline was established in December 2013 and a comparison was conducted in 2015. Within 2 years and thanks to this ecotourism project, **progress has been satisfactory** since there has been an increase in the score for **participation by institutions in their headquarters (capital city) and in the field**; in this case the goal of 30 points was surpassed. Regarding **generating access to knowledge**, **progress has been satisfactory** as after the training delivered by the project there was a slight increase among all the institutions. The project, which seeks to institutionalize processes for the development of strategies, policies and legislation, has contributed to the increased score in this aspect. However, **unsatisfactory progress** was noted related to **management and implementation and monitoring** since there was little or no change among the institutions assessed.

Progress is satisfactory in the regional division of CONAP thanks to the project, which has provided support in topics such as strategic planning and master plan development. This has allowed them to be more involved in PA management processes, and as a result they are better positioned locally, within the same institution, and at the interinstitutional level. In addition, the concept of ecotourism has been integrated into the PAs. The training that has been carried out has increased the technical expertise of CONAP officials.

Regarding PA administrators, the municipalities’ **progress is satisfactory** since they have increased their capacities, especially in the areas of information and knowledge, and strategies, and have used their knowledge to improve their capacities for monitoring and evaluation. However, all the municipalities assessed showed deficiencies regarding PA management. The municipalities that had a higher score, which was slightly above the minimum score, are Todos Santos Cuchumatán and San Pedro San Marcos; in these PAs, the participation of key stakeholders in the development of ecotourism is apparent.

Finally, institutions such as INGUAT also had higher scores due to an increase in its technical and financial resources in the offices in Sololá and Quetzaltenango. However, there are still major shortcomings at the promotional level. To help advance these specific results, the project carried out a series of actions that are explained in Section 4.2 of this evaluation.

The principal weaknesses regarding this Outcome/Indicator are: 1) capacities for the development of strategies, policies, and legislation; 2) capacities for management and implementation. The outcome of this indicator for the 5 municipalities should be considered as concerning, since the municipalities have low capacity for management and implementation, and a bigger effort is required for their strengthening so that they can build synergies with the implementation of the ecotourism project; and 3) capacities for monitoring and evaluation, which in the case of two municipalities the score is 3, and in three cases the score is 1. This suggests that although there are monitoring actions, these are incipient and need to be improved.

The associations for the management of PAs, La Guadalupana Agriculture and Traditional Crafts Development Association and ASAECO, present **satisfactory progress** and have better management capacity, although they still have essential shortcomings in achieving financial sustainability.

The project provides support to planning in areas that are highly important for the development of ecotourism, and has had a great impact since there has been an increase in the management scores, indicating a positive change in these institutions. There are still deep deficiencies and more time and work is needed to improve them.

Indicator 10.	Baseline	Progress to date	Target by End of Project	Midterm Level & Assessment	Achievement Rating
Number of PAs in the Western Highlands established and registered in SIGAP	– Thirty-nine (39)	- Forty-three (43)	– Forty-one (41)		HS

Justification for Rating and Progress Level of the Output

The indicator progress is Highly Satisfactory and is on track to being achieved (only the registration of one pilot PA is lacking), more PAs have been registered than those indicated in the target of the indicator, with an increase from 39 to 43 PAs established and registered in SIGAP. The project positively influenced their registration by providing institutional support as well as support in promoting the San Rafael de la Cuesta PA, where birds and the quetzals can be observed. In addition, the final registration of the Corazón del Bosque MRP was achieved; however, only 8.9 ha of the originally planned 35.4 ha were registered since the La Guadalupana Community Association could only demonstrate legal ownership of this smaller area. The registration of the Rey Tepepul MRP is expected, but **still needs to be achieved**.

Specific recommendation to maximize the impact or achieve the goal of this indicator:

Immediate contact with the town mayor of Santiago Atitlán is necessary to define the registration of the PA.

Indicator 11.	Baseline	Progress to date	Target by End of Project	Midterm Level & Assessment	Achievement Rating
Number of PAs in the Western Highlands with	– Zero (0)	– Seven (7)	– Seven (7)		HS

Indicator 11.	Baseline	Progress to date	Target by End of Project	Midterm Level & Assessment	Achievement Rating
monitoring, evaluation, and mitigation programs addressing impacts of ecotourism on ecologically sensitive areas					

Justification for Rating and Progress Level of the Output

The indicator progress is **Highly Satisfactory and has been achieved**, the seven PAs have in place a program for the evaluation, monitoring, and mitigation of impacts of ecotourism, which fully meets the expected outcome and is highly satisfactory. However, with regard to the sustainability of the process, the park rangers of CONAP and the municipalities need to be better-trained so that the monitoring and evaluation program is established and is accessible to all of them, and is sustainable after project completion.

Indicator 12.	Baseline	Progress to date	Target by End of Project	Midterm Level & Assessment	Achievement Rating
Change in the annual income generated in 22 PAs that have visitors	– \$1,393,123	– \$1,151,714.88 (decrease by 17.4%)	– \$1,811,060 (increase by 30%)		U

Justification for Rating and Progress Level of the Output

The indicator progress is **Unsatisfactory and is not on track to being achieved**. The total revenue generated in 2014 by the PAs¹² through entrance and concession fees was \$1,151,714.88 USD (Q 8,833,653.00), which represents a **NEGATIVE** change in revenue generated annually with a reduction of **\$242,408.12 USD**, or a decrease of **17.4%**.

This MTR revealed that most of the revenue is from entrance fees, which are different for each PA and range between Q 3.00 and Q 108.00, depending on the type of visitor (i.e., national or international). On the other hand, based on information provided by the 22 PAs of the sample, the total number of visitors in 2014 was 264,138. This review showed that the national parks generated the most revenue (Q.6,550,395.00; 74.15%), followed by the natural monuments (Q 1,318,620.00; 14.93%); other PA categories included as pilot areas in this review contributed less than 4% of the revenue.

Work is underway for the implementation of fees in the pilot areas, this is expected to be operational before the end of the project. Finally, this fee system could be used by other PA management categories of SIGAP.

¹² The data refer only to the sample of 22 PAs that receive visitors, no revenue was received for environmental services in any of these PAs.

Specific recommendation to maximize the impact or achieve the goal of this indicator:

It is unlikely to achieve a change in income of 30% in the 22 PAs that receive visitors in 4 years, as the project only includes 4 pilot PAs. In addition, the pilot PAs have not implemented the fees of due to lack of infrastructure and changes in authorities. It is recommended the construction of the minimum visitor infrastructure to be able to apply an entrance fee system.

Indicator 13.	Baseline	Progress to date	Target by End of Project	Midterm Level & Assessment	Achievement Rating
Number of PAs in the Western Highlands with a system of entrance fees and visitor services in operation	– Two (2): Volcán and Laguna de Chicabal PBA and Concepción MRP Chiquirichapa	– Ten (10)	– Eight (8): Baseline + 6 pilot areas		S

Justification for Rating and Progress Level of the Output

The indicator progress is **Highly Satisfactory** and is on track to being achieved because an entrance and service fee system was defined in 10 PAs. This was accomplished through technical support for defining the budget and developing the needs analysis for ecotourism to contribute to financially strengthening the PAs. Finally, the proposed fees were established with the support of municipal environment and PA coordinators, and were presented to the municipal councils.

The proposed fees were welcomed; however, they have not been implemented principally due to changes in leadership and the lack of adequate infrastructure within the PAs to serve visitors. Therefore, this action is not yet complete.

Specific recommendation to maximize the impact or achieve the goal of this indicator:

The recommendation is to build at least the minimum level of visitors facilities so that entrance fees to the PAs may be charged.

Indicator 14.	Baseline	Progress to date	Target by End of Project	Midterm Level & Assessment	Achievement Rating
Change in the financial gap to cover basic management costs and investments by SIGAP as a result of the increase in income generated by the PAs through gate fees and provision of services	– \$4,952,795	Q. 240,559,688.30 for 2014.	– \$4,209,876 (15% reduction in the financial gap)		¿?

Justification for Rating and Progress Level of the Indicator

This indicator is not comparable since there was a problem with the method used to establish the baseline in 2010; the data used were wrong so a comparison of the financial gap in SIGAP is not possible. In 2014 a new method was defined using the criterion of money per hectare (USD/ha); this will serve to establish the financial needs of SIGAP and compare results from 2015 with future evaluations.

Information about SIGAP's deficit in 2014 was obtained; it operated with a financial gap of Q 240,559,688.3 (\$36,065,920.28 USD). In 2014, investments from donors (external partners and NGOs) and loans represented 25.41% (Q 25,946,308.18) of SIGAP financing; thus, there are still weaknesses within the Government of Guatemala in the allocation of financial resources for managing the system, and it depends on donations for the proper management of SIGAP. The baseline of SIGAP's financial needs for 2014 was established as Q 240,559,688.30. Although it is very important to mention that in an interview with the external consultant hired by the project to obtain these data, the difficulty of establishing a financial gap at the level of the SIGAP and at the level of the prioritized areas because their tourism potential was highlighted. This is due to the PA administrators not recording a large percentage of financial data and the difficulty of having access the existing data, particularly in the PAs administered by municipalities and in the PNRs.

The implementation of a fee system is needed to help reduce the financial gap; in 2014 fees still account for only 7.96% of revenue in the 22 pilot PAs. It was also found that CONAP has difficulty implementing policies, strategies, and actions to achieve the financial sustainability of SIGAP, and only 20% of the PAs charge fees. Moreover, the total annual budget from the government for PA management, which is important for establishing the financial gap, has decreased by 25% (2010: \$17,901,174.01 USD; 2014: \$13,315,340.61 USD) and contributions by donors by 61% (2010: \$8,748,851.85 USD; 2014: \$3,382,830.27 USD).

Specific recommendation to maximize the impact or achieve the goal of this indicator:

The baseline should be changed with the estimated financial gap information used in this MTR. Moreover, given the nature of the indicator and the pilot area, a reduction in the financial gap of 15% throughout the life of this project is not achievable, since this project cannot influence the generation of income through entrance fees and services in SIGAP as a whole. However, as part of UNDP's project portfolio there are other projects being implemented or planned that can contribute to reducing SIGAP's financial gap.

The OCRET financial mechanisms (i.e., the new OCRET Law for institutional strengthening through transfer of resources, including new tariffs for CONAP and additional resources for OCRET/MAGA), the Sailfish Financial Mechanism (i.e., proposed mechanisms for the conservation of the sailfish) should be considered for achieving a reduction of the financial gap, in addition to national efforts (allocation of 10% of municipal and development councils budgets to environmental, biodiversity, and sustainability of PA projects).

Indicator 15.	Baseline	Progress to date	Target by End of Project	Midterm Level & Assessment	Achievement Rating
Change in the management effectiveness of the selected PAs in the pilot landscapes through METT	<ul style="list-style-type: none"> - Todos Santos Cuchumatán MRP: 58 - Astillero Municipal 1 and 2 de San Pedro Sacatepéquez MRP: 27 - Astillero Municipal de San 	<ul style="list-style-type: none"> - Todos Santos Cuchumatán MRP : 62 - Astillero Municipal 1 and 2 de San Pedro Sacatepéquez MRP: 37 - Astillero Municipal de 	<ul style="list-style-type: none"> - Todos Santos Cuchumatán MRP: 78 - Astillero Municipal 1 and 2 de San Pedro Sacatepéquez MRP: 47 - Astillero Municipal de San 		S

Indicator 15.	Baseline	Progress to date	Target by End of Project	Midterm Level & Assessment	Achievement Rating
	Marcos MRP: 54 – Canjulá, Tocapote MRP, Los Maijones: 32 – Parque Ecológico Corazón del Bosque MRP: 55 – Rey Tepepul MRP: 48 – Volcán Chicabal PBA: 38	San Marcos MRP: 63 – Canjulá, Tocapote MRP, Los Maijones: 56 – Parque Ecológico Corazón del Bosque MRP: 69 – Rey Tepepul MRP: 59 Volcán Chicabal PBA: 54	Marcos MRP: 74 – Canjulá, Tocapote MRP, Los Maijones: 52 – Parque Ecológico Corazón del Bosque MRP: 75 – Rey Tepepul MRP: 68 – Volcán Chicabal PBA: 58		

Justification for Rating and Progress Level of the Output

The progress of this indicator is **Satisfactory** due to the fact that there have been positive changes in the management effectiveness (METT scores) of all the PAs. However, efforts are still needed to achieve the project’s target, especially in the Todos Santos Cuchumatán MRP.

- The Todos Santos Cuchumatán MRP showed an increase of 4 points but still needs an additional 16 points to reach the project’s target; the changes are due mostly to improved equipment and more capable municipal staff, as well as the contribution of the project to implement fees, monitoring, planning, area boundaries, etc.
- The Astillero Municipal 1 and 2 of San Pedro Sacatepéquez MRP has the lowest score but did show an increase of 10 points, 10 additional points are needed to reach the project’s target. A change of attitude by the municipal staff in support of this project indicates that there is more interest at the municipal level, 80% of the AWP has been implemented.
- The Astillero Municipal MRP, San Marcos, showed a 9-point change; 11 additional points are needed to reach the project’s target; community support has increased thanks to the work done by the municipality.
- The Canjulá, Tocapote, Los Maijones, MRP had an increase in 24 points, which exceeds the target by 2 points. This was possible due to business partnerships with tour operators, the approval of fees at the level of the COMUDE, and technical staff dedicated to ecotourism.
- The Parque Ecológico Corazón del Bosque MRP showed an increase of 14 points, 6 additional points are needed to reach the project’s target. This area has the highest level of management effectiveness and has had the longest experience in this type of venture.
- The Rey Tepepul MRP showed a 9-point increase, 9 additional points are needed to reach the project’s target. The PA has funding from MARN and technical staff for this type of project; in addition, it has taken advantage of the strengthening of technical and institutional capacities through planning.

All PAs showed performance improvements as measured by the METT in the MTR compared to 2010. All the PAs are working for the protection of biodiversity, and recognize their ecological and cultural values. Progress has been mostly made in the level of involvement and participation of PA administrator, which have received support from CONAP as well as from NGOs, such as Helvetas. In addition, this project has provided support for planning, policy development, the collection of fees, and staff training. The greatest success and progress has been the allocation of budget by managers for the development of ecotourism in PAs. In addition, 4 of them (municipality of Todos Santos in Huehuetenango, municipality of Sibinal in San Marcos, ASAECO in Quetzaltenango, and La Guadalupeana Agriculture and Traditional Crafts Development Association in Sololá) have adopted a business approach, are motivated, and have great expectations for ecotourism development. The municipal governments are weaker and slower in their processes, due to political instability. Support from other institutions besides CONAP was not evident during the MTR; the state government (SEGEPLAN) or the private sector have not contributed to strengthening relevant issues such as strengthening management, advice and assistance for infrastructure development, development of tourist routes, and promotion and media advertising (TV, cable, press, tourism magazines, and web pages).

Output 2.1: Training program increases technical capacity of PA managers (i.e., CONAP, INGUAT, co-administrators, municipalities, and local community organizations) to a) implement environmental and social safeguards for ecotourism; b) visitor services; and c) evaluate, monitor, and mitigate the impacts of ecotourism (acceptable limits of change in ecologically sensitive areas of pilot landscapes).

PROGRESS IS HIGHLY SATISFACTORY. The training program was implemented and evaluated beginning in 2014, benefiting 124 people and successfully achieving its goal of increasing technical capabilities in all the areas proposed by the PA administrators, in particular for engaging stakeholders in the field (according to the Capacity Development Scorecard). Accordingly, the skills of PA administrators were improved, which will enable CONAP technical staff to more effectively manage tourism in PAs and, thus, contribute to the financial sustainability and increased biodiversity conservation.

Output 2.2: Thirty (30) officials from CONAP trained to manage visitors and monitor the impacts of ecotourism.

PROGRESS IS HIGHLY SATISFACTORY, as the goal was exceeded by the mid-term providing added value and complemented with additional training. During 2 years 40 technical staff from CONAP (35 men and 10 women) were trained in at least seven themes (biodiversity, ecotourism, monitoring and evaluation, biodiversity and monitoring, management of PAs, and communication methods). In addition the following was achieved:

- Two sessions of the “Training course in Ecotourism as a strategy for the conservation of biodiversity” for CONAP directors and technical staff were completed successfully.
- Participation with a module on community tourism for the “Certification Program on awareness and harmonization of traditional knowledge and collective management of indigenous peoples and gender in environmental matters” organized by CONAP.
- Development of the Certification Program (diploma) “Identification, development, evaluation, and presentation of tourism projects,” organized by SEGEPLAN, CONAP,

ANADIE, INAP, and INGUAT and which targeted 30 public officials, who drafted 10 tourism project proposals.

- An exchange of experiences between managers of PAs where ecotourism initiatives are being implemented was completed.

Output 2.3: Monitoring strategy developed to evaluate acceptable limits of change in ecologically sensitive areas of pilot landscapes.

HIGHLY SATISFACTORY as the goal was exceeded by the mid-term providing added value and complementing the output for its sustainability. The design of the monitoring methodology was completed and the training program for data collection for biological monitoring was defined and implemented. Eighty-one (81) people were trained, including park rangers from CONAP and from the municipalities that manage pilot PAs, as well as members of community associations. The output will be complemented with the development of community-based protocols, which will be easy to understand allowing the park rangers to collect data that are consistent and comparable over time. Efforts are under way for the systematization and reporting of information. Also, **there has been high participation** from the project co-financing partners (TNC and Helvetas) in the biological monitoring.

Output 2.4: Management plans for PAs with ecotourism embedded as part of their financing strategies.

SATISFACTORY

Management Plans. Management plans were developed, updated, and approved in accordance with the standards established for 6 PAs. In addition, a diagram for the internal review of processes for each management plan was developed (Annex 7.16), which will ensure efficiency in the final approval of each management plan. The Rey Tepepul PA has **not** been declared since the outgoing mayor decided to put this on hold until the new administration is in office. The management plan has been completed; however, it needs to be approved. The management plan for the Chicabal Volcano PA has not been completed. Only 8.94 out of 35.4 ha could be established as a PA due to legal uncertainty regarding the ownership of the land by La Guadalupeana Agriculture and Traditional Crafts Development Association.

Visitor or Public Use Management Plans. Three have been completed and their approvals are pending: Astillero Municipal I and II de San Pedro Sacatepéquez MRP, Sibinal, MRP, and Astillero de San Marcos MRP. **As added value**, tools have been developed: Assessment of the Potential of Ecotourism in PAs, updated handbook for the development of visitor management plans, and renewal of domain of the SIGAP's tourism website. The development of the visitor management plans for Corazón del Bosque, Todos Santos MRP, and Chicabal PBA are **still in process** with about 20% lacking.

Output 2.5: PA business plans in place for each pilot landscape promoting the development of new tourism routes in areas receiving few visitors, with ecotourism potential.

SATISFACTORY. The business plans for the seven PAs are in development. Also, three complementary tourism routes are being developed, which were defined in the project and complete the basic destination information. The management plans were not completed beforehand so that the information could be used and the results of plans could be harmonized

for better efficiency. Before the business plans were developed, a previous analysis was needed to determine and define the desired outputs. This has caused problems for the development of business plans, as they have incomplete information to achieve their goals. As part of the business plans development process, negotiations have been initiated with some Tour Operators with the goal of establishing partnerships; however, there has been no contact with local tourism businesses. Another difficulty has been that PAs lack experts in tourism that could provide follow-up to ecotourism activities, thereby limiting their ability to become an ecotourism destination complying with the minimum requirements.

Output 2.6: Gate and concession fees system including collection, allocation, and fee leveling piloted.

MODERATELY SATISFACTORY. A review and update of the criteria for establishing rates was conducted and a proposal for entrance fees and provision of tourist services was developed in accordance with the PA management category, the profile of the visitors, and the type of service. A handbook of procedures for establishing entry fees and tourist services is in development. Minimum infrastructure needs to be constructed in the Rey Tepepul, Sibinal, and Todos Santos MRPs. The project did not consider the development of minimum infrastructure; however, support has been requested to project partners such as INGUAT to contribute to its construction. In the Astillero I and II MRP, INGUAT is supporting the drafting of infrastructure plans. The proposed fees for the PAs have not been implemented due to changes in the government. The lack of infrastructure to receive visitors in the pilot PAs weighs heavily in the decision to implement the fees. For the remainder of the project it is expected that the PAs will implement fees; however, since the construction of minimum infrastructure is also expected there might not be enough time to implement them.

-Activities related to the URV require coordination among the institutions, a process that started in 2009; however, there have been differences of opinion and conflict between INGUAT, MICUDE, and CONAP in this regard and there has been lack of consensus concerning the dissemination of information that has been gathered.

There is a platform where the URV is registered. This was implemented in all PAs and users were trained; however, it is not available online. Due to the lack of staff, in each PA the URV form is completed by hand and submitted as a means of verification. In addition, with funds from FONACON a scanner was purchased for the scanning of the forms. This method is still on a trial stage.

Additionally, in the logical framework, the indicator regarding the application of URV was mistakenly copied; it does not match with the number of pilot PAs, which are only 7.

4.2.1 Project benefits and strategies to increase achievements made after successful Project implementation:

The progress made to date has generated beneficial effects that are evident in each of the areas. The most important effect is the involvement of the key stakeholders from the municipal administrations. This participation has led to evident progress and participation in processes such as training, dissemination, and agreement on the Master Plans and Management Plans. The most obvious case is that of San Pedro San Marcos, where the environmental official for the

municipality was very skeptic and did not really believe in the project. Currently, his interest and involvement in the process was evident during the field visit and personal interview—he is now the driver of local development for ecotourism in the PA.

In addition, the project has promoted the institutionalization and the demonstration of how important is to follow a logical sequence for the design of tourism planning tools in Protected Areas. Planning tools such as Master Plans, Public Use Plans and Business Plans, should be designed in this order. The importance of this planning structure has been accepted by the stakeholders at different levels, from pilot areas administrators (Municipalities) to CONAP's Regional and Central Officials. A matrix for follow-up has been created that should be used in the regional offices of CONAP and at the central level as well.

The benefits of the project can be appreciated throughout the entire SIGAP, despite having focused on a limited number of pilot areas; the specific outputs derived from the PA management tools, as well as the training programs have been developed and made available for the benefit of all of the PAs in SIGAP. There were activities that served as successful pilot tests. Actions such as the design of business plans for protected areas as tourism destinations and the implementation of ecotourism impacts monitoring strategies can provide good examples to be used as models in other protected areas. These kinds of results set precedents of good practices for tourism planning and development that can bring benefits for the entire SIGAP.

The following list details the achievements and some comments from the key stakeholders:

- The development and updating of the planning tools as set forth in the Law of Protected Areas, Article 18, must always begin with the Master Plan. The tangible benefit is that it regulates and sets the standards, allowing for better organization.
- The project has had satisfactory outcomes, with best practices and added value for sustainability. The biological monitoring will be a recurrent activity in the PAs and has been institutionalized; as are the “Impulsa” Program and the “Green Q Seal” Recognition Program, which will happen annually. The latter will have a national reach.
- The alliances established with INGUAT and other public institutions that CONAP has worked with during recent years could contribute to the sustainability of the Project outputs. For example, the development of a “Green Q Seal” Recognition Program for tourism businesses willing to invest in PAs could contribute to their financial sustainability. This alliance with INGUAT can be formalized through a cooperation agreement, which can be renewed annually.
- The institutionalization of the “Impulsa” Program can be sustainable over time by inviting other external agencies to participate in the process.
- Contracting a person specialized in ecotourism who provides local follow-up on the policies and instruments that are implemented. More staff is needed at the central level but most of all at the regional level. CONAP does not have funds for staff, but through the different programs and projects the importance of this hiring should be assessed.

- According to the director of the CONAP's regional office in Quetzaltenango, a benefit recognized by the regional stakeholders is that ecotourism has been incorporated by the development councils. Since 2002 the law of the Development Councils CODEDE, Regional Council of Urban and Rural Development (CORERUR; Region 6) allocated 15% of the budget for infrastructure for ecotourism purposes; this project helped to establish this budget line item.
- To increase the benefits of the project, strategies for the construction of infrastructure should be developed in advance. According to Helvetas, concrete examples of benefits are needed to be shown in order to demonstrate that there was a clear progression from planning to implementation.
- The administrators of the pilot PAs recognize the benefits of this project through the numerous trainings that were held in various areas of the project, in addition to the exchange of experiences. One theme that has been a good motivator is the URV, as they have begun to understand the profile of the visitors and take notice of the potential for tourism in their areas.
- To expand the benefits of the project, community organization processes should be strengthened in order to provide more detailed and specialized ecotourism information. In Todos Santos, the COMUDES council established that the installation of a tourism office in cooperation with the municipal park rangers of the PA was needed.

4.2.2 Remaining barriers to achieving the project objective

- A main remaining barrier is instability that results from changes in CONAP's officials at the national and regional levels and in the municipalities. At the time of this review, it was not known for certain if the staff who were trained and with whom the project has been working during the last 2 years will remain with the project and within CONAP. This instability constitutes a barrier to following up on some project activities such as the certification program and the implementation of an entry fee system in the PAs.
- Budgetary reductions continue to limit the number of trained CONAP officials available to implement the remaining project activities.
- Political changes within INGUAT, the principal partner of this project.
- Lack of political will at the municipal level could be a barrier to achieving the goal of inscribing the area of Mirador Rey Tepepul as a PA.
- Lack of available consultants with training and experience in ecotourism development may cause delays in contracting and in the implementation and follow-up of some of the project activities.
- Available financial incentives to invest in PAs are still limited; in the case of available credit, the rates for loans are very high and there are no grace periods.
- Lack of internal budgets or other financing sources for constructing the minimum tourism infrastructure.
- The lack of presence of INGUAT at the regional level limits the support available to promote tourism routes and ecotourism in PAs.

- Limited time to achieve all the proposed outcomes, such as sustainable tourism best practices, implementation of a “Green Q Seal” Recognition Program, the implementation of entry fees, and the development of business plans for each pilot PA.

4.3 Project Implementation and Adaptive Management

4.3.1 Management Arrangements

Project management is rated as Highly Satisfactory, as the majority of the goals have been achieved at the mid-term point of the project despite external circumstances that affected the schedule initially considered for achieving all expected outcomes.

Project coordination of the project passed through two phases. At the beginning of the project a project coordinator was hired who worked only during the first year of the project. Nevertheless, project startup was very slow, and achieved only 7% project implementation during the first year. After this, a new project coordinator was hired who has been very effective. This project coordinator has been able to implement the proposed actions and position the project within CONAP, and also at the level of the other institutions, associations, NGOs, and key stakeholders.

During the field interviews, CONAP staff at the regional level, PA administrators, and the co-financing and UNDP partners said that the project coordination has been **highly satisfactory**. The performance of the project coordinator is important and solid thanks to his hard work and ability to coordinate, as well as his good interpersonal skills.

One of the most highlighted advances of the project is the change in interinstitutional relations and among the PA administrators and CONAP. There is increased communication because there is more presence and participation of the local CONAP officials, which makes the work more efficient. The project has provided the opportunity to bring the regional personnel closer to the local administrators. This progress and strategic change is due to the close communication established through good personalized follow-up during each phase of the project. The people interviewed said this as a great advance because they feel involved and informed, which allows them to experience progress in each of their operations.

CONAP has achieved recognition and positioning by the key stakeholders and other institutions in the area of tourism through this project. At the same time, the shared administration has brought great changes in the attitudes and confidence of local managers. For example, in Sibinal the administration has acquired a lot of confidence. These changes have been effective.

The responsibilities of each of the project team members are satisfactorily clear, the work is very well divided from the technical direction of the project to the coordination, who delegates, depending on the nature of the activities to be implemented, to the members of CONAP’s CUD team (Conservation Units Department) and the ecotourism department, in particular. In addition, an administrative and financial assistant was hired to work with the project coordinator and two consultants to follow up on specific activities. The chain of command is also very clear at the CONAP regional and central levels, and also with the administrators of the PAs who recognize this hierarchy. Significant importance has been given in the project to the internal hierarchies of CONAP. In this regard the exchange of information with and the participation at the local level of

CONAP's regional offices was used as an opportunity to clearly establish the chain of command in each region at the time when follow-up is performed for an activity of the project. The consultants and other stakeholders are encouraged to stop by CONAP's regional offices before setting out into the field (something that was not done in the past), making clear the role of these technical staff in implementation of activities in the field and taking into account the opinions of the regional technical staff.

The coordinator, with his team, developed a project outputs Assessment Process Diagram to facilitate the internal review process within CONAP (Annex 7.16). This had the objective of making consulting work more efficient in light of the internal bureaucracy of CONAP. A focal point was defined and a person was placed in charge of each topic to provide follow-up to each activity contracted. In addition, the order of review of each official document was established; in the case of business and management plans the review process begins at the local level followed by the national level where two experts review each plan.

Transparency and decision-making has been satisfactory; all of the decisions have always been made in an ordered fashion and in consensus with the project team at the CONAP level; however, most importantly, when these decisions require a decision from the highest level, the Project Board, which is composed of the technical director of the project and the UNDP program official, is consulted.

With regard to hiring, the project has a **well-defined system**, as CONAP is a public institution that follows the national rules for hiring. Public bids are publicized and at least three bids are considered to make the selection. Following this, the best candidate is selected in line with the TORs with the cost being the most important criterion.

Hiring has been done in a transparent manner; nevertheless, there have been several problems with consultancies awarded to some consultants who did not adhere to the requirements, or to whom the contract had to be rescinded. This has caused some discontent among the regional partners of the project. Many complaints were received by the PA administrators and regional CONAP partners because of these failed consultancies. However, this has not affected their confidence in the project coordinator. The problem is a national-level problem, as there are few professionals specialized in tourism and with experience in PAs. On the other hand, there is resentment towards international consultants or consultants outside of the institution that do the work of the local personnel who feel professionally qualified to do this work; nevertheless, these personnel do not have sufficient time to address all of the tasks.

The execution by CONAP has been **highly satisfactory**, thanks to the project coordinator who helped to recover confidence in the institution and in the internal staff who work in the protection of natural resources, and who has demonstrated great management of the project. It is important to highlight the professionalism of the staff at the central level as well as in the regional offices; they demonstrate great responsibility, interest, and passion for their work, which, despite having limited resources, they continue their efforts for the conservation and protection of biodiversity through this and other projects.

Finally, within the chain of command for project implementation, UNDP is ultimately responsible for the project and has **satisfactorily** performed its role. The standards used in the implementation of the project have strictly followed the good communication and coordination among the

institutions. In addition, UNDP is recognized as a solid institution that has been responsible for following specific fiduciary standards to reduce corruption, as well as use complex processes that are important to preserve the traceability of the processes.

It is important to highlight that during the interviews, CONAP personnel resented the institutional bureaucracy, the processes needed to be followed, and the formats that UNDP uses in its work. They expressed the necessity that the technical decisions should be made by technical specialists, in this case CONAP and not the project implementation agency, which is UNDP. Finally, they expressed their desire that UNDP functions as a facilitator, but that CONAP should be an autonomous entity, as it becomes weakened when it has to depend on UNDP.

Despite the willingness of the CONAP's officials to fully assume their responsibilities, they are in a precarious and unstable situation that does not allow them to achieve their goals. With the latest change in government, the contracts for the entire CUD staff were temporarily rescinded, creating uncertainty around the conservation of biodiversity and the management of the PAs. Although all the staff was later restored to their jobs, this event shows the instability and vulnerability of CONAP. Thus, this ecotourism project (as well as other GEF interventions) is also important from an institutional point of view as it contributes to support CONAP technically and financially in times of political uncertainty.

4.3.2 Work planning

Work planning is Highly Satisfactory as it complies with all of the requirements from GEF, UNDP, and CONAP. The AWP and the QPRs are specific and efficient.

As mentioned previously, the start of the project was delayed for several years because of the long time it took for the final approval of the initial project design. This was due to administrative changes and GEF priorities, as the first proposal comprised more activities and a much larger budget (almost triple). This had to be reduced by the time the project was submitted for approval. As soon as the project was endorsed, all of the required GEF procedures were performed and implementation began. A delay happened during first year of project implementation. It was due primarily to the multidisciplinary, complexity, and innovative nature of the project; the executing agency and its partners had to adapt and learn how to manage it. Also, there were many problems due to the lack of specialized professionals in ecotourism and PAs, which greatly influenced the slow progress of project execution. Finally, the beginning of the project was complicated as the trust of the area managers had to be gained and details about the composition and classification of the PAs resolved. Adapting to the new circumstances was difficult and time-consuming.

Beginning in the second year of project implementation, the project team worked hard to recover time lost. All of the planning processes were based on the two project components and the results framework that is used as the principal instrument for monitoring all processes; all follow-up documents reviewed as part of this MTR highlight this aspect. The AWP are used to plan the project's activities each year and the QPRs for each quarter.

4.3.3 Finance and co-finance

The financing has been handled in a moderately satisfactory manner, as not all of the projected budget has been carried out as planned within the time period; however, the project team has managed to advance and consolidate the processes and plan to execute the budget for the most costly outputs at the end of the project. Co-financing has been used in a moderately satisfactory manner, as there has not been sufficient communication and involvement of all the parties.

The financing of the project is being carried out in a **satisfactory** manner, and is very detailed in its execution. It is employing several tools and people who are following up and monitoring the financial management efficiency of the project. The principal person responsible for this task is the project coordinator, who allocates the funds based on the projected activities to be completed in a determined time period; this information is included in the tools that determine the flow of funds over time and within appropriate timeframes. The project coordinator is using the AWP and the budgets for this. Through these tools monitoring and communication with the project's Technical Director on behalf of CONAP takes place, as well as with the Project Board who validate and authorize the budget.

At the technical level the project's administrative and financial assistant is charged with monitoring the budget and sharing it with the financial technical counterpart for UNDP, who uses the United Nations format, Atlas, to enter the detailed financial information. Based on budgetary decisions, each month the expenses in the budget and the AWP are reviewed and updated to monitor the expenses. The assistant shares this information with the project coordinator, who uses it to monitor the outputs. The project's Technical Director then signs the Combined Delivery Reports (CDRs) and verifies that the expenses are correctly assigned.

When there is a change in allocation of funds due to delays in the progress of outputs or new necessities that arise during the course of the project, these appear in the QPRs and are reported to UNDP and GEF. The AWP is a flexible tool in which a financial plan is outlined; this can be changed and modified according to how project activities progress during the year. As such, there have been cases each year where activities change; for example, the systematization of data, which could not be carried out before and had to be rescheduled this year. Sometimes this benefits the project, as errors can be rectified or improvements made. In this specific case, the consultancy changed slightly and it was redirected more to collecting lessons learned from project implementation. On the other hand, the project has specific controls such as the contracts and acquisitions plan.

With regard to the effectiveness of the interventions, in the first year there was a low percentage of project budget execution and low assignation of funds. This was due to the fact that the activities that were begun required a lot of time to be completed and little investment; during the second year, budget execution was also low. This was because during the first years of project implementation the activities that were completed, such as the design of the permanent training programs and development of the policies and tools, required low investment. During this last year an investment to support the development of infrastructure in the PAs is expected. For this reason the total for project execution after 3 years is just 59%, which is low but justified for the nature of the activities. The project coordinator justifies this based on the initial delay, the nature

of the activities, and the structure of the country where execution is difficult because the institutions are weak, as well as the technical skills of the staff and the lack of consultants with experience in the topics covered by the project.

Table 4 shows how the execution of the project has complied almost completely with the expectations projected in the first AWP that was carried out in 2013. In 2015, expenditures were 10% below plan, which was because of delays in consulting and the allocation of funds. It is expected that a good part of the budget will be used for the construction of infrastructure in the PAs.

Table 4. Comparison of percentage of project implementation per year

Year	PRODOC Budget	Projected	Percentage of Execution of Forecast	Executed Budget AWP Approved	Percentage of Execution w/r to Total Project Budget
2013		310,752.00	23.99%	97,881.67	7.56%
2014		639,203.00	49.34 %	278,902.90	21.53%
2015		246,579.00	19.06%	383,463.33	29.60%
Forecast for 2016		98,921.00	7.64%		41.31%
Total		1,295,455.00	100%	1,295,455.00	100%

The budget allocated for project management, which should not exceed 10% of the annual expenditure, has had an increase forecast for 2016. This is justified due to the fact that some of the activities planned for 2015 were moved to 2016. Nevertheless, the total project management cost does not exceed 10% as required by the GEF.

Co-financing

With regard to co-financing, after performing an analysis of the requirements in the PRODOC, the interviews with the co-financiers, and the field visit, it can be concluded that the co-financing indirectly contributes to the project objectives; however, not in a strategic or continuous manner. The co-financing is not aligned with the financial priorities of the activities and the AWP. During the project inception workshop, Helvetas was designated to function as the representative of the co-financiers and it was established that two meetings per year would be held with the co-financiers; this has not been carried out as planned. There is evidence that a meeting specifically for co-financing was held in 2013, 2014, and 2015; thus, only one meeting has been held per year and there has been no precise or continuous follow-up as was stipulated in the PRODOC. It seems there were circumstantial factors that prevented this from happening and the project coordinator had to adapt to changing situations. Accordingly, a strategy has been to include the co-financiers in concrete actions of the project, which have direct benefit and interest for them. This is the case

with biological monitoring, which has had the active participation of Helvetas and TNC; certification of sustainable tourism; and training.

The delay in initiating implementation of the project had also to do with the fact that the co-financiers that were initially working in ecotourism are no longer doing this. This is the case with Counterpart International, which withdrew from Guatemala in 2012 before the project began. Also, Rainforest Alliance, despite the fact that it continues to work in tourism, is no longer working in it with the same intensity as when it made its commitments; although it continues to carry out actions in the Western Highlands, Yaxhá, and the Petén. In the Western Highlands it has contributed to supporting alliances between the private sector and the administrators of PAs. The Foundation for the Conservation of Natural Resources and Environment in Guatemala (FCG) also supports sustainable tourism development projects in the Western Highlands, mainly with technical assistance and construction of infrastructure, including trails in Sibinal.

Helvetas has been an active co-financing partner from the beginning, mostly through its intervention in the department of San Marcos; this project is a continuation of actions that Helvetas has taken as part of another project in the area for more than a decade. Nevertheless, during the field interviews, it was noted that Helvetas will continue to work only in one of the pilot areas of the project, Sibinal MRP. They consider that in the other areas there is lack of the necessary technical skills to provide follow-up to the activities already implemented, and as such have decided to work elsewhere. Nevertheless, in the area of Sibinal they are launching a binational project in Mexico and Guatemala in the Tacaná Volcano area that will have a strong component for tourism development.

Support has been provided by the Foundation for Eco Development and Conservation (FUNDAECO), which works in the Todos Santos Cuchumatán MRP implementing activities directly related to the development of ecotourism in the PA, such as stakeholder participation, exchanges of experiences, support for community-based tourism, labeling, etc. Appendix 7.11 shows the amount and type of co-financing defined by year; 80% of the amount initially forecasted as co-financing has been spent.

Despite not being considered initially a co-financing partner, INGUAT has strongly supported the development of the project by contributing to multiple actions that are important to achieve some of the project's outputs. In the process, it has positioned itself as one of the most important co-financing partners of the project with an important contribution to the sustainability of the project.

4.3.4 Project-level monitoring and evaluation systems

The monitoring and evaluation system is Satisfactory, as all GEF and UNDP requirements are complied with and are used efficiently. Nevertheless, there was a significant delay in carrying out the MTR.

The inception workshop for the project was successfully and adequately carried out on March 19, 2013, complying with the forecasted schedule for this activity as indicated in the PRODOC. The stakeholder roles were determined for the life of the project in this workshop and the first AWP was completed.

The tools used by the project for monitoring are very thorough and complete. They primarily use the AWP and the annual budgets. They also use GEF/UNDP tools established in the Monitoring and Evaluation Plan: the PIR and QPR. These **monitoring and evaluation tools** are very **efficient and cost-effective**, as they provide continued and detailed monitoring, including the project costs, and use all of the existing information for each phase.

These tools are incorporated into CONAP's national monitoring system, which has an internal AWP for each unit; however, within these, the activities are not described with much detail. The AWPs are shared with members of the project's technical team and with the Project Board. The key stakeholders are partially involved in the monitoring, as the project coordinator communicates, requests, and transfers the information directly. The project coordinator holds meetings with the project team at the central office level, but he also travels to the field and visits CONAP's regional offices and the PA administrators to share the progress of the project and for follow-up. This has made communication with the key stakeholder more frequent and of better quality.

During the field interviews, the need to create another monitoring tool to identify lessons learned during the project was identified; this tool would be more participatory and inclusive and would include the participation of the technical staff of CONAP involved with the project as well as other key stakeholders. A consultancy is underway to design this tool. Currently the technical staff of CONAP participate in a chat in which they informally relay **lessons learned**.

UNDP audits CONAP (spot check) once a year, the latest audit was done recently.

With regard to internal processes, when a service is contracted it should have been budgeted in the AWP. Once this is verified, a bidding process is initiated with a minimum of three candidates considered; the technical director of the project is the one who approves the hiring and payments by sending a memo to the UNDP Director, who finally orders that the payment be made. CONAP authorizes the expenses for travel and per diem.

The project coordinator is responsible for project monitoring and evaluation, and has performed this task in a **highly satisfactory** manner through the AWP and by continuously informing UNDP. UNDP also holds periodic monitoring meetings four times per year. The project coordinator prepares the AWP, which is discussed with the Project Board to make decisions.

Finally, specific resources were projected in the budget to carry out monitoring and evaluation activities, an amount was estimated for the MTR and Final Evaluation, as well as for audits. The estimated amounts were determined according to the GEF guidelines. The project coordinator has followed the PRODOC and the GEF guidelines in his Monitoring and Evaluation Plan. He is adding a monitoring tool for lessons learned that was previously lacking.

4.3.5 Stakeholder engagement

The engagement of the interested parties is satisfactory; the key stakeholders have been successfully involved in the project. However, due to recent changes in the national government the stakeholder engagement process has had some uncertainty regarding who may represent the project on behalf of the government.

The project has formed good relationships with the administrators of the pilot PAs, earning their confidence and creating informal but solid alliances with some of them. However, this process has been demanding as the PA administrators have multiple backgrounds and are not used to working closely with CONAP. Nevertheless, the great communication skills of the project coordinator has enabled the different parties, associations, and municipalities, as well as the CONAP regional officers, to become empowered through the project and form relationships with each other. This has been a great success for the regional offices of CONAP, which according to their directors, have been strengthened by this GEF project with local tourism institutions, CAP, INGUAT, and other government entities recognizing CONAP as key agency to implement ecotourism in PAs.

A key alliance has been established with INGUAT, providing some guarantee for the sustainability of the project at the regional level. INGUAT has provided financial support by funding activities that are also of interest. Among these are the certification of sustainable tourism and training. In addition, the project has worked more closely with MICUDE in the certification of sustainable tourism, although more informally.

With regard to biological monitoring, the project has worked most closely with TNC, Helvetas, and CECON. The project has also involved the NGO Alterna, which successfully launched the “Impulsa” Program and through which ecotourism projects to be implemented in PAs is being promoted. A formal agreement between CONAP and this NGO is desired to consolidate this alliance.

The local governments support for and involvement in the project has been key, as they are the administrators of the PAs. The municipalities are the decision-makers at the local level and the efficient and effective implementation of the project depends on their will to participate. More involvement has been observed in the municipalities of Todos Santos Cuchumatanes, San Pedro, San Marcos, and Sibinal. In the Municipality of Santiago Atitlán the process for declaring the Mirador de Rey Tepepul as a MRP has been stopped because of the lack of support from the mayor’s office. In addition, at the beginning of the project there was some skepticism from the municipal environmental officials. Nevertheless, over time and after receiving training and support through the project, a change in their attitudes was observed and they ended up being the persons who supported the project the most. This is the case principally with San Pedro San Marcos. With regard to the two PAs with community management, there is no local government involvement.

The engagement and awareness-raising of the public has played a leading role in the progress towards results; some municipalities were observed to have informed their COCODES about the progress of the project, which in turn have passed the information to the local population. In Todos Santos Cuchumatán, information from the project has been communicated in a local radio program. In San Marcos there was a change in the attitudes of the residents, who now think about caring for the water and trees in the MRP.

4.3.6 Reporting

The submittal of reports has been Highly Satisfactory. There have been no significant changes (adaptive management) to communicate to the Project Board. Nevertheless, there was an error in the baseline of the financial gap of the SIGAP that prevented the comparison with the financial evaluation done for the MTR, which would need to be communicated to the Project Board. There have been small changes related to the outputs but they have not been considered significant enough to assess them as adaptive management. These changes are the “Impulsa” Program as a substitute for the creation of financial incentives, which were difficult to carry out as initially planned. Also, an internal CONAP certification system was proposed, which was determined to be difficult to carry out due to the complexity of system, as well as the lack of sufficient resources within CONAP to implement and sustain it.

With regard to the required project reports, a first report was issued after the inception workshop, and subsequently the AWP, PIRs, and QPRs. This MTR has reviewed all of the reports, which were done in a participatory manner and in line with the expected outcomes. The PIRs are annual reports that have a project monitoring and management section, a section for reporting progress towards results, and a self-evaluation section.

Thematic reports for each consultancy performed related to each planned output were developed. There are reports about the training plan, biological monitoring, the “Impulsa” Program, and monitoring and impact, etc. Within these reports are lessons learned from the project; however, the lessons learned have not been systematically reported or shared with the stakeholders. For this reason a consultancy was launched to document all of the lessons learned and to disseminate them. The project coordinator has complied with all of the reporting requirements of the GEF and has received high praise from the UNDP Regional Office.

4.3.7 Communications

Communication has been Highly Satisfactory; it is as strength of the project coordination. There is regular and effective internal communication within CONAP that involves all of the key stakeholders. The availability and listening skills of the project coordinator make this component a proven success of the project. During the field visit, there were visible advantages that this good communication with the involved parties has brought about, as they are aware of the project’s outcomes and activities. There are concrete examples in their testimonies, such as how there is great commitment to the project and its long-term sustainability. In addition, a chat has been set up to immediately interact with project team members.

In terms of external communication, the project coordinator and his team communicate primarily through the Internet, but each message is always followed by a telephone call. This is due to the fact that in Guatemala people feel that a call is more important than an email. At the public level, information campaigns regarding specific activities have been made, such as communication about the “Impulsa” Program through various means and which included specific information about the project. Public communication and awareness-raising campaigns have not been carried out; however, a tourism website for SIGAP has been updated in which general information about tourism in the PAs can be obtained. It should be noted that there is no information specific to the project on this website.

Communication about progress towards results has been beneficial in terms of promoting sustainable development among the populations that are involved in some PAs, such as Sibinal, where they have been empowered by the project and are seeing short-and long-term economic benefits from biodiversity conservation. Also, new ecotourism businesses are being set in partnership with the PA administrators. There has been awareness-raising and learning about conservation and biodiversity through the various trainings that were organized by the project and CONAP regarding biological monitoring, ecotourism, etc.

Finally, project results have been disseminated and communicated through CONAP's internet web site and in some news articles and YouTube videos (Appendix 7.14). There have also been publications of technical documents such as the training manual, regulations, and biological monitoring; information about the policies and tools are being prepared for publication.

4.4 Sustainability

The risks identified in the PRODOC were effectively the most important and appropriate. In addition, the ATLAS document has been updated on a yearly basis.

The first risk is political and has to do with the uncertainty of support from key stakeholders for the implementation of the first component of the project. Special attention has been given to this risk, particularly the level involvement of the key government agencies in this component. In this regard the project has been successful as the proposed policy reforms were achieved with the endorsement of COTURAP, which includes the main institutions involved in developing tourism in PAs in Guatemala: MARN, CONAP, MICUDE, INGUAT, INAB), OCRET, and CECON.

A strategic alliance has been formed with INGUAT with whom CONAP and the project shared goals and interests. It should be noted that despite the support provided and the progress towards results made thanks to this alliance, INGUAT and CONAP have not signed a formal agreement to work together.

To reduce the risk of weak governance and security issues in the area of the project, the project has been working under the umbrella of the approved reform to the Co-administration Policy in PAs, which allows establishing administration agreements solely for the purpose of implementing tourism initiatives. This can help to reduce existing conflicts, as well as encourage community participation in the projects and strengthen local governance.

4.4.1 Financial risks to sustainability

There is still a risk that the availability of economic resources is reduced upon finalization of GEF support; nevertheless, this project has performed strongly to mitigate this risk. It has achieved regulatory reform to promote ecotourism in the PAs, the co-management policy to enable managing solely in the area of tourism with other funds and to bring benefits through conservation by means of proposed activities. The project has also worked to strengthen the capacities of the institutions through the training. Nevertheless, some of the trained stakeholders, because of changes in government and budget reductions, are now not part of CONAP and thus

some of the project's progress has been lost. The "Impulsa" Program is also working to incentivize and train business owners to invest and work in ecotourism in the PAs; up to now there has not been anyone who has invested, but it is hoped that some initiatives will be started this year.

The regulation of fees for visiting the PAs has not yet been implemented, but it is hoped that these can help to generate more income that will allow the reinvestment of the revenue to increase the flow of resources to the PAs. Likely approximately half of the 7 pilot areas will implement these fees and the remaining pilot areas are still waiting for the construction of infrastructure that will allow them to offer services to charge fees (San Marcos). However, there is much doubt that the next municipal authorities will be willing to charge for entry to the PAs.

The business plans are also an opportunity to increase the number of visitors, as they will contribute proposals, action plans for diversification, and financing sources. These plans are being worked on in the majority of the PAs, with some difficulty due the lack of management plans in some areas. Nevertheless, after interviews were performed, it was noted that PA administrators are forming alliance with some private tourism businesses to encourage tourist visits to the pilot PAs. Despite this development, there continues to be a great risk that these plans will not be able to be implemented in these areas due to the lack of personnel to follow through.

4.4.2 Socio-economic risks to sustainability

There is a latent political risk due to political instability, the change in officials, and the lack of technical staff to monitor the processes. There is a big risk that alliances are not formed. Nevertheless, the project has been working on empowering the communities and municipalities. The follow-up has been done in person by the project coordinator and in some cases has brought evident benefits, such as the involvement of the municipality of San Pedro San Marcos. With regard to the communal administrators, such as ASAECCO, they are an example of organization and involvement; nevertheless, there is no evidence of municipal support to their work.

Socioeconomic risk to sustainability has been reduced thanks to the involvement of the communities and local governments in the project. During the process to update the policies and tools the public institutions participated through COTURAP. In addition, the planning and implementation processes for the ecotourism activities were also participatory, though trainings and workshops. This led to increased awareness by the key stakeholders as they worked together because of the perceived benefits that the project and ecotourism will generate.

However, risk increased during the political crisis that led to a transitional government and later a new government. This led to a change in officials, for political and financial reasons. There is a **HIGH** risk for the sustainability of the project, as with the arrival of new authorities there is uncertainty regarding their participation and level of involvement in the project, In addition, the loss of trained staff has diminished the technical capacity of CONAP. The project team must rebuild synergies with the new staff and reconstruct confidence in the project. However, it must be noted that the project continues to depend on the political will.

Finally, to date the lessons learned have not been documented, solely each specific program or output. However, as was mentioned previously, a consultant is working to document the lessons learned from the project.

4.4.3 Institutional framework and governance risks to sustainability

This risk is **LOW** or non-existent as this project has strengthened the legal frameworks, policies, and governability processes; the policies that facilitate the implementation of ecotourism in the PAs have been updated. At the same time, the project has been working to improve technical capacities through trainings. The project has supported and institutionalized the processes of writing Master Plans and Management Plans, as well as the development of tools to assess the potential of ecotourism and for biological monitoring.

The master plans are law and they are backed by municipal council acts; thus, these are difficult to change. This has the category of a voluntary process, which implies citizen participation and overview reducing the risk. In addition, INGUAT's Ecotourism and Sustainable Tourism policy mandates that the Tourism Law be applied in PAs. Thus, these tools are an important contribution to ensure institutional and governance sustainability.

4.4.4 Environmental risks to sustainability

The potential and existing environmental risks, as specified in ATLAS, are based primarily on the impact of climate change on biodiversity. By strengthening the management skills of the PA administrators, which will result in the reduction in deforestation and encroachment and illegal timber and non-timber forest product extraction in the PAs of the Western Highlands, the project seeks opportunities to contribute to the stabilization of soils and reduce landslides associated with tropical storms or hurricanes. Although the long-term result for reducing this environmental risk is still very uncertain, the participation of the PA administrators enables them to be aware of the importance of improving the connectivity between the PAs as a strategy to build refuge for biodiversity in the face of climate change.

5 Lessons Learned

Throughout the life of the project lessons have been learned that can be replicated in other projects and that can be used as best practices. The following list shows the lessons learned that were observed during this MTR:

1. The time between the identification, design, approval, and inception phases should be reduced as much as possible to ensure there are no changes (or minimal changes) in the initial conditions of the project, including the level of commitment of key stakeholders. In the case of this project the time between the design and project kickoff took 6 years. This especially affected the agreements obtained by the co-financing partners, leading to cases where the partners stopped or reduced their efforts to promote ecotourism as a strategy to conserve biodiversity or reduced the amount of co-financing for the project.
2. Good file management of each of the project processes is vitally important in institutions with a high percentage of staff rotation such as CONAP. Memoranda and clarifying notes are simple tools that are helpful in the moment to understand the decisions made when

none of the persons participating in these decisions continues to work at the institution. There were information gaps in the project during the design phase that made data interpretation somewhat difficult.

3. The results framework is more useful as a project planning and monitoring tool when the data sources of the baseline and targets for the indicators are clearly specified. The results framework for this project presents numerical data without specifying the origin. For example: the indicator “Number of PAs implementing public use plans” shows a baseline of 4 without specifying which they were. During project implementation it was not possible to identify the PAs that this was referring to, given that in reality only 2 PAs have a public use plan (El Mirador National Park and the Agua Caliente Tourism Site).
4. Appointing a Project Director who has a wide range of technical skills within the executing agency is an effective strategy when it comes to dealing simultaneously with technical challenges and project management responsibilities. Thus the same person who has the knowledge and skills to make technical decisions is also responsible for approving the project activities (authorizing plans, budgets, contracts, and payments). In the case of this project, this has helped greatly to reducing the bureaucracy and facilitating decision-making. It is important that in the moment of establishing the management strategy and organization of the project, it is assessed whether it is oriented towards predominantly political issues or predominantly technical issues. Based on this analysis, the person appointed to be the Project Director should be chosen so that it adheres as closely as possible to the nature of the project’s goals.
5. The active participation of the private sector is key at the time of implementing tourism development projects; this participation is enhanced when the public sector ensures optimal conditions for sustainable and organized development of the tourism industry. As such, the involvement of businesses (small, medium, and large) is necessary for the success of the project. In the case of this project, promoting programs such as the “Impulsa” Program favors such involvement, but it is necessary to institutionalize initiatives of this type to ensure their continuity once the project has ended.
6. Biological monitoring, besides being an activity that provides key information on the status of the biodiversity of global importance and is an essential practice for managing PAs, can be used to attract tourism and can serve to unify organizations and the attract the interest of local environmental initiatives. In the pilot PAs where tourism activities are being implemented, biological monitoring has been a solid basis for participatory work and to create unity among key stakeholders. Biological monitoring has created many expectations in institutional partners such as universities and co-financing partners, as well as instilling it as a cross-cutting theme of general interest.
7. The implementation of entry fee systems at PAs where tourism development projects are promoted can be more easily justified when there is concrete support for improving tourism services offered in these areas. In the case of this project, the support to be provided to infrastructure as specified in the PRODOC is aimed at developing construction for facilitating charging entry fees (gate/fee booths), but not to improving or creating new tourism facilities. For this reason, in the pilot areas that have basic tourism facilities the municipal authorities have shown hesitation in implementing the entry fees. These

authorities state their hesitation about the negative reaction of the local population to implementing charges without offering improved tourism services in the PAs.

8. Ensuring the presence and acknowledgment of the public environmental officials by the partner administrators of the PAs and the local populations is key for developing local development projects. In countries with weak public environmental agencies and little institutional presence, local officials should be encouraged to approach community members in an attempt to build confidence in the project. In the case of this project, this relationship was achieved through improved communication that was established through training events and the involvement of the local community in the development of the areas' tourism development plans. Where there is more presence and participation of the local institutional officials, work at the local level is more efficient and longer lasting.
9. Since tourism is a cross-cutting activity, the successful development of tourism initiatives in PAs should involve all public entities (tourism, environment, education, archaeology, and culture) that have an interest in these areas and alliances between them should be promoted.
10. Projects for municipal strengthening that are managed by institutions located in the country's capital are more successful when sufficient funds are allocated to carry out field visits to the PAs and meetings with their administrators on a regular basis. This ensures close monitoring of the activities on the ground and strengthens the creation of local-level alliances, which directly influences the achievement of objectives and contributes to ensuring the sustainability of the results.
11. Careful assessment of the project scope and establishing an adequate number of additional personnel that will be hired specifically for project implementation is necessary when the capacities of the governmental institutions are very limited. Despite the fact that CONAP staff is very engaged and committed, the number of personnel is relatively low and they have a high variety of responsibilities and workload. This situation is made worse with the current rotation of personnel.

6 Conclusions and Recommendations

6.1 Conclusions

PROJECT STRATEGY

1. The conceptualization of the project and its strategy is considered appropriate. However, although the project has a satisfactory design, one of the most important strategic objectives is reducing the financial gap of SIGAP by 15%. This goal is considered unrealistic, since the project has neither the capacity nor the time required to achieve this. It is important to mention that the project is found within the framework of a strategy led by the UNDP Energy and Environmental Program, which includes a portfolio of projects whose actions and anticipated results support the objective to reduce SIGAP's financial gap. The sum of the outcomes of these projects and the satisfactory implementation of the government's efforts to obtain funds earmarked for conservation objectives could

result in the achievement of the objective stated for the project reviewed herein. Despite this, these circumstances remain outside of the framework for action and intervention of the present project, which is why a risk is assumed for achieving this objective.

PROGRESS TOWARD RESULTS

1. The level of progress towards the indicators, objectives, and outcomes defined is considered satisfactory since most of the targets set for the mid-term have been reached.
2. The project has laid a solid foundation through the institutionalization of policies and management tools. The implementation of these instruments will contribute to ecotourism activities becoming a tool to reduce SIGAP's financial gap and to supporting the financial sustainability of the system. However, to date this goal has not been achieved. It is believed that the main reason for this is that the impact expected as a result of policy implementation requires a longer time than the duration of project (i.e., 4 years). SIGAP still depends on investments through external cooperation, NGOs, and loans.
3. A fee collection system is one of the main strategies set by the project for generating income. Based on this, the following outcomes were established: a) review of regulations for the management of visitors activities in SIGAP and b) support for the pilot areas in the implementation of a fee system. The first of the two outcomes was achieved successfully; however, there has not been enough time since the update of the regulations until the MTR to achieve a tangible impact. In addition, the capacity of CONAP to implement policies, strategies, and actions for charging fees is considered incipient; there are still only a small number of PAs collecting fees (i.e., less than 20% of all the PAs).

It is important to note that the regulation for the management of visitors' activities in SIGAP is mandatory only in the areas directly managed by CONAP. From the 334 PAs of the SIGAP, only 80 are directly managed by CONAP. CONAP's partners, including municipalities, NGOs, and private owners, manage the remainder of the PAs. This significantly reduces the impact of this policy instrument.

4. On the other hand, the implementation of entrance fees in some pilot PAs faces the challenge that the project does not consider improving tourist facilities, which would motivate administrators to collect fees. To date this has made it difficult to achieve this outcome. However, steps are being taken to obtain support to make these improvements.

PROJECT IMPLEMENTATION AND ADAPTIVE MANAGEMENT

5. The management of the project is highly satisfactory. Although there was limited progress both technically and in budget execution (7% execution) during the first year of the project, an effective progression is observed that has allowed positioning CONAP as the leading institution for tourism development in PAs.
6. There is good coordination between CONAP and UNDP, the tasks and responsibilities of each of the persons involved in the chain of command are clear and decisions are made in a transparent way; thus, the management of the project is considered satisfactory.

7. The project has adapted effectively to the challenges derived from concepts included in its design. Two examples of adaptive management are worth mentioning.
 - a) On the one hand, the project proposed promoting economic incentives through tax exemptions; however, after analysis of the political and financial trends in the country during the last years, the promotion of such incentives had a very low probability of success, in addition to being a process that would extend beyond the life of the project. As a measure of adaptive management, the “Impulsa” program was established, which without offering tax exemptions is an important innovation for the country and has great potential to achieve the objective of serving as incentive for the private sector to invest in tourism development in PAs.
 - b) On the other hand, the PRODOC proposes the implementation of a certification system according to sustainability standards. This is considered to be unrealistic given the physical and financial capacities of CONAP. Alternatively, the project approached INGUAT, which has greater financial capacity and a standard of sustainability was agreed upon: the “Q Seal” Recognition Program. This tool has been included as part of the Master Plan for Sustainable Tourism Development in Guatemala 2015-2025, and currently training is being carried out aimed at its implementation.
8. The project has positioned CONAP well in the area of ecotourism at the interinstitutional, regional, and local levels. The staff has been motivated by being given tools, the necessary basic information about ecotourism development, and technical training to empower them regarding this topic and encourage its development, and to seek investments to ensure the financial sustainability of the PAs. The involvement and empowerment of key stakeholders has been achieved. The policies and instruments were institutionalized and are being used today by all the PAs. This success has implications at the global level for biodiversity conservation. CONAP has established important partnerships with national institutions such as INGUAT and MICUDE. INGUAT is more aware of and prepared to support ecotourism activities in PAs and to implement a certification mechanism. There is an opportunity for CONAP to formalize the alliances that have been formed.
9. One of the weaknesses in project management is communication with the co-financing partners. Although the time between the design of the project to its inception affected the level of participation and commitment of some of the key partners, the project has not followed closely the activities thereof, thereby reducing the chances that such actions would have contributed towards achieving project objectives.

RISK TO SUSTAINABILITY

10. The risk to sustainability is found in the political changes that have taken place within the government, which led to changes in institutional leadership and strategic technical staff, such as the environmental technical staff within the municipalities. This also includes risk in the engagement of the key stakeholders at the local level; CONAP still has many expectations to be fulfilled and has limited resources for monitoring, continued presence in the field, and for the construction of infrastructure in the PAs to receive visitors, etc. This represents a potential risk to the sustainability of actions and the loss of credibility locally.

6.2 Recommendations

PROJECT STRATEGY

1. **Factsheets are recommended for each of the indicators of the Results Framework during the design of the projects. In this case, four indicators of the Results Framework are proposed to be changed as a way to achieve the desired outcomes.**
 - a) **Indicator 2. “Total area (ha) protected in the Western Highlands with ecotourism benefits.”** After verifying the total area of the pilot PAs and the target of total area (ha) under protection with ecotourism benefits, a change is recommended to be made to the project’s target area as the actual total area of the PAs is different from the information that was considered during its design. It is proposed that the updated area is considered as the target for the indicator rather than the area initially estimated.
 - b) **Indicator No. 6. “Number of PAs implementing Public Use Plans.”** It is recommended that the baseline and target areas are corrected. Although the PRODOC indicates that 4 areas constitute the baseline of PAs implementing public use plans, the reality is that there are only two areas implementing these plans: the Mirador National Park and the Agua Caliente Tourist Site. Thus the baseline should be changed from 4 to 2, and the target from 11 to 9.
 - c) **Indicator No. 7. “Number of PAs with Unified Registry of Visitors in the pilot areas of the project.”** The PRODOC indicates that the baseline is 5 and the target is 10. However, there are only 7 pilot PAs so the target should not, in any case, exceed this number; on the other hand, it was determined that the number of PAs (i.e., baseline) implementing this system at the beginning of the project were 2 instead of 5. To correct this information it is proposed that the baseline be changed from 5 to 2 and the target from 10 to 5. It is noteworthy that the data suggested are the same included in the PIR; thus, this change would avoid inconsistency between the two documents since the data would match.
 - d) **Indicator No. 14. “Change in the financial gap to cover basic management costs and investments by SIGAP as a result of the increase in income generated by the PAs through gate fees and provision of services.”** It is proposed that the data for establishing the baseline of the financial gap are reviewed, so that the baseline can be adjusted accordingly using the correct methodology in line with the financial sustainability scorecard proposed by GEF.

PROGRESS TOWARD RESULTS

- 2. It is recommended that support should be provided to build and/or improve the minimum tourism facilities to be offered to visitors as a step towards the implementation of the “*regulation for the management of visitors activities and the regulation of concession services for visitors in SIGAP*” and for tangible justification to charge for entrance to the PAs. This should be followed by a campaign to inform the local populations about the improvements and the general process for ecotourism development.**

Due to the importance that local authorities give to the improvement of tourism facilities as a strategy to justify the implementation of entry fee systems, it is recommended that the project provides support in this regard.

Pilot areas managers consider infrastructure as a key element for tourism development. The fact that the project provides support for the design of planning tools but not for the improvement of tourism facilities can lead to their skepticism and lack of commitment and, in consequence, to the reduction of the project’s impact. According to this, following the assessment of needs and tourist products proposed by the visitor management plan for each PA, it is necessary that the project invest in the construction or improvement of tourism facilities to receive visitors.

As a final step, it is recommended that after the infrastructure is in place, a communications plan is developed to inform the local population about these improvements and the project process as a way to justify charging entrance fees.

- 3. A strategic alliance between INGUAT, CONAP, and MICUDE is recommended to be formalized with support provided to the “Green Q Seal” Recognition Program. This formalization should be achieved through a legal instrument that supports the commitments regarding the development of the recognition standard.**

Alliances with INGUAT and MICUDE are recommended to be formalized through a framework agreement or cooperation agreement in which the responsibilities of each party are outlined and the time and resources needed to implement the recognition standard are defined. This formal alliance will sustain the development of ecotourism in the PAs and other processes, in addition to institutionalizing them in a coordinated way. This recommendation is made as a support strategy in response to the political instability from changes to the government and to high-level management positions within the institutions.

It is recommended that a label or symbol be awarded to the tourism destinations or businesses that implement the best practices proposed by CONAP.

It is recommended that the alliance with MICUDE be considered, as this institution is a key ally for the development of ecotourism in nature and archaeological PAs.

4. **It is recommended that the establishment and implementation of the guide “Sustainable Tourism Best Practices” should be prioritized for tourist destinations and businesses, including the technical support program.**

The best practices should be basis for the qualification process for sustainable tourism businesses and destinations. The implementation of best practices is required previous to any certification or recognition process. The guide of sustainable best practices can be a useful tool during the different phases of the certification process: a) as training material during capacity building activities; b) as monitoring guide during the process of technical assistance; and c) as analysis guide during the process of evaluation. In addition, the fact that customers can have access to the guides (they should be on-line) builds credibility among tourist because they can consult the documents that establish the best practices criteria.

For the above mentioned reasons, it is recommended to ensure a broad dissemination of the guide of best practices and to promote the use of the guide during the certification program as a tool for technical assistance and best practices monitoring and evaluation.

5. **It is recommended that as part of the improved second edition of the “Impulsa” Program, a seed fund is included as an incentive for the entrepreneurs and that an agreement between CONAP and the ALTERNA NGO is formalized.** The “Impulsa” program achieved satisfactory results regarding the technical assistance provided to entrepreneurs. It has also succeeded in drawing attention to the institutions with capacity to lead the program in following years. However, the 2015 pilot edition was not able to attract investors to support the entrepreneurs included in the program. For this reason it is recommended to strengthen the fundraising and search for investors who financially support those entrepreneurs. It is recommended that a seed fund is established to motivate business owners to initiate a project. In addition, this program should be permanent; for this reason the establishment of a formal agreement between CONAP and the NGO ALTERNA is recommended. This alliance could incentivize private sponsors to participate and invest in the ventures. It is recommended to begin with a business roundtable with the Tour Operators who specialize in nature or adventure tourism, or sustainable tourism in Guatemala (such as Adrenalina Tours, Ciklos Travel, Ek-Chuá, Operador Latino, etc.), to define the needs of the regions and the products that would be of most interest to commercialize. Feedback from these experts could guide the entrepreneurs to better define their products. In addition, it is recommended that the potential financiers are involved in the entire process (airlines and tourist associations), they could be part of the selection committee. Finally, the program would be implemented in other more well-known PAs in the tourism sector that are not part of the pilot areas. This might incentivize the investors indirectly to invest in all of the areas.

6. **It is recommended that business plans should be strengthened for support and involvement of the local tourism stakeholders, developing and proposing diversification of products for the PAs. In addition, the concept of the tourist destination should be incorporated within the business plans as a way to position, promote, and commercialize ecotourism in the PAs. Finally, a guide to develop business plans should be developed.**

It is recommended to integrate the concept of **tourism destination** into the business plans; this goes beyond the PA since this makes more sense from a tourism point of view and can involve tourism businesses that are in the area of influence and/or within the defined destination. For example, in the area of San Marcos, San Pedro San Marcos, the proximity of the PAs lends itself to being developed for ecotourism as one single destination. In the area of Chicabal, tourism service providers should be involved in Quetzaltenango, Rey Tepepul, and Corazón del Bosque as part of the RUMCLA destination. This approach, defined from the beginning, will allow businesses that are not within the PA but are within the area of influence of the PA to be part of the ecotourism initiatives. This will also facilitate the inclusion of the area that was not declared as a PA as part of Corazón del Bosque.

In addition, it is recommended to diversify the tourism products in the area, which should be developed with the participation of local tourism stakeholders with whom alliances should be formed for creating, promoting, and marketing the products. For example, the sale of tourism packages that include a night in a hotel and entrance to the PA and another activity, etc. In addition, it can include other types of businesses that are indirectly associated with tourism such as crafters and farmers, and who can also be invited to be members of the work group. These products can be sold to local and regional visitors as well as in the international market. This would encourage local economic development in addition to involving business owners in the protection of the PAs in their area and promoting the development of ecotourism. The tourism business owners who participate in the development of products would apply best practices and/or be certified through the “Q-Seal” ensuring the quality of services and responsible business practices.

It is recommended that the business plans be specific and grounded in the local reality, identifying the diversified products for the different markets and considering the participation of local tourism stakeholders. These plans would be drafted and approved only after the development of the Visitor Management Plans. It is recommended that **Business Plan Guidelines** are developed to document the process, including the following points: identification of the potential for the area and the potential products to be developed, identification of the existing and potential markets, and the financial projections that will contribute to the financial sustainability of the area. The Business Plan Guidelines are an important tool as they will provide support to the PAs’ administrators, who for the most part have limited training in business development.

It is recommended that the market niche of scientific tourism specializing in biological monitoring is explored as some tourism groups are willing to participate in monitoring activities. There are international agencies that specialize in this type of tourism, for example National Geographic has expeditionary trips, as well as the Earth Watch Institute.

- 7. It is recommended that an understanding should be arrived at between the key regional stakeholders and an interinstitutional agreement made for URV management and socialization.** Since the URV is a valuable tool that allows the development of different visitor profiles and differentiating between tourism seasons, etc., it should be used to its maximum potential. However, due to conflict of interests among the different institutions, the value of the URV has been diminished. An agreement is recommended to be established to manage the conflict and make better use of this tool. The agreement between INGUAT, CONAP, MICUDE should be resumed and include CECON and INAB, which are managing other PAs.

PROJECT IMPLEMENTATION AND ADAPTIVE MANAGEMENT

- 8. It is recommended that project monitoring by the Co-financiers is strengthened.**

It is recommended to build a work group with the co-financing partners that meets periodically to continually monitor the activities in the field.

- 9. It is recommended that the project timeline should be extended by at least 6 months to complete the implementation of the activities that were begun.**

Because of various factors including the low percentage of implementation during the first year; the nature of the outputs, such as the policies and plans that require lengthy time periods for their development; and the change in officials twice during the life of the project, there has been a delay in the implementation of the project and the time that is left is too short to finalize the activities that have been begun. Among these are the implementation of management and business plans, the implementation of new PA fees, the construction of infrastructure, the certification program, and the "Impulsa" program.

RISK TO SUSTAINABILITY

- 10. It is recommended, as a measure to strengthen the development of ecotourism in the PAs, that local tourism business operators should be involved in the positioning of the PAs as tourism destinations to strengthen the financial sustainability and reduce the financial gap of the SIGAP. In this way, incentivize the participation businesses through the integration of a tourist route and its promotion.**

Given the national reality of political risk and risk of engaging stakeholders, it is imperative to involve and empower civil society, in this case the local tourism union, in the development of ecotourism activity in the PAs. This consists of approaching local tourism businesses and neighbors of the PAs to have them participate in the project and provide them with incentives to participate in the development of the project, as well as forge local alliances.

The social component should be strengthened, more integration among the PA administrators and community officials should be sought. If the local populations are involved, they become empowered to share the responsibility of the management of the natural resources. This participation should be at the planning level. In the PAs where the plans are already developed and everyone participated, a work group could be formed with local business operators with the objective of developing an action plan for the area

in ecotourism development, in which the business owners are in charge of specific actions. This empowerment would strengthen the follow-up to the processes and activities underway, despite political changes or the loss of trained personnel at the local level. This work group would also be immersed in the activities to the point of being considered partners and benefiting from the training in key themes of ecotourism, such as the implementation of best practices and “Q-Seal” certification. This training and involvement would also serve to give a competitive edge to the ecotourism-based products and contribute to the economic development of the area. It is recommended that similar processes that are being carried out and that follow the criteria for the development of tourism destinations under the Global Sustainable Tourism Council (GSTC) or the European Charter for Sustainable Tourism in Protected Areas (ECST) are considered. The ECST is based principally on the participation of key stakeholders in an organized, systematic, participatory manner; this is defined as follows: *“Principle 1 of the Charter: To involve all those implicated by tourism in and around the protected area in its development and management. A **permanent forum**, or equivalent arrangement, should be established between the protected area authority, local municipalities, conservation and community organizations and representatives of the tourism industry. Links with regional and national bodies should be developed and maintained.”*¹³ The charter has been in existence for more than 20 years and is successful in the European PAs with more than 150 areas registered. These areas have interaction with over 50 tourism stakeholders, who work jointly with the PA managers to develop ecotourism.

As a result, the tourist routes that are proposed in the project, in addition to being defined and clear in concept, should highlight the work of the tourism businesses that will form part of the project, as they will be representatives of the PAs and work in a coordinated manner for the development of ecotourism of the areas. This will sustain the participation of businesses which may receive support from the project through advertisement and likely by INGUAT.

This is a long process but it is possible to establish a base group that drives the process and supports the PA administrator in carrying out the established plans.

NOTE: Europarc can consider the possibility of including partners outside of Europe, which would be the only way to closely replicate the ECST. Nevertheless, this is a long and costly process, which is why it is recommended to assess the possibility of making a request to adapt the tool. This could be an opportunity for the PAs in the entire region of Central America.

¹³ European Charter for Sustainable Tourism in Protected Areas, Europarc Federation. <http://www.european-charter.org/become-a-charter-area/the-charter-documents/>

7 Annexes

7.1 MTR ToR (excluding ToR annexes)



Promoting ecotourism to strengthen the financial sustainability of the Guatemalan Protected Areas System (SIGAP)



Terms of Reference Contract for an Individual Contractor 1277/15

Midterm Review (MTR) of the Project: Promoting ecotourism to strengthen the financial sustainability of the Guatemalan Protected Areas System – SIGAP –

1. Introduction

These are the Terms of Reference (ToR) for the UNDP-GEF Midterm Review (MTR) of the full-sized project titled “Promoting ecotourism to strengthen the financial sustainability of the Guatemalan Protected Areas System –SIGAP- (PIMS: 3374), executed through the National Protected Areas Council -CONAP- implemented through the United Nations Development Program -UNDP-, with financial support from the Global Environment Facility –GEF-. The project started on the January 2013, and is in its third year of implementation. In line with the [Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects](#), this MTR process was initiated before the submission of the second Project Implementation Report (PIR). This ToR sets out the expectations for this MTR. The MTR process must follow the guidance outlined in the Guidance For Conducting Midterm Reviews.

This review is envisaged in the project design and will determine the progress towards results, identifying possible corrections if needed. Among other activities, this review will focus on comparing between the baseline established before or at the beginning of the project, and the current state of these indicators. The review should focus on learning and to take corrective action to achieve results by project end.

2. Project Background Information

The Guatemalan Protected Areas System (SIGAP), with 331 protected areas (PAs) covers nearly 30% of the country. In the Western Highlands of Guatemala, PAs cover close to 2,490 sq. km. (2.29% of the country’s area). This region is home to a rich number of unique species due to its significant variations in elevation and diverse microclimates. The SIGAP is key to the conservation of biodiversity in Guatemala, which is considered of global importance.

However, currently the SIGAP operates with a financial gap that limits its ability to manage this important heritage.

On the other hand, tourism is an increasingly important industry, both globally and nationally. The World Tourism Organization (WTO), the United Nations agency responsible for promoting responsible, sustainable, and accessible tourism to all, in its report "UNWTO international tourism. Edition 2014" estimated that tourism accounts for 9% of world GDP, and that 1 in 11 jobs are related to the tourism industry. It predicts continued growth of tourism, and projects 1,800 million international tourist arrivals worldwide by 2030. This growth also includes Guatemala, where, according to the Guatemalan Institute of Tourism, international tourism grew by 7% from 2013 to 2014 and 24% from 2008 to 2014, placing the tourism industry as the second largest source of foreign income above traditional industries such as sugar, coffee or bananas, and only surpassed by remittances.¹⁴

Guatemala has a high tourism potential, and especially in its PAs, where three of the four main tourist destinations are currently PAs. Thus, tourism is an opportunity to generate income that can be allocated to reducing the financial gap of the SIGAP and ultimately contribute to the conservation of biodiversity.

The project "Promoting ecotourism to strengthen the financial sustainability of the Guatemalan Protected Areas System –SIGAP-, executed through the National Protected Areas Council (CONAP) implemented through the United Nations Development Program (UNDP), with financial support from the Global Environment Facility (GEF) aims at strengthening the financial sustainability of the SIGAP by developing new financing vehicles within the developing ecotourism¹⁵ sector.

Having started in January 2013, and with duration of four years, the project is framed within the GEF Biodiversity Focal Area, which seeks to catalyze the sustainability of protected area systems. More specifically, the project contributes to the GEF Strategic Program 1: Sustainable financing of PA systems at the national level, and Strategic Program 3: Strengthening of Terrestrial Protected Area Networks.

This project is also framed under CONAP's Institutional Strategic Plan 2011-2015 and the Government Plan 2012-2016.

CONAP's Strategic Objectives: Recover and consolidate the SIGAP, expand it into priority areas and improve its management effectiveness; ensure the conservation and sustainable use of the biological mega diversity of Guatemala, and the fair and equitable sharing of benefits arising from its use; improve the policy performance and functional operation of CONAP; strengthen, expand, and effectively coordinate social participation and cultivate an effective network and tactical and strategic alliances; incorporate into the management of the natural heritage, the mitigation and adaptation to climate change, the social value of PAs, and the biodiversity and natural goods and services provided; increase and diversify funding for conservation and optimize the strategic investments in the SIGAP and biodiversity; strengthen SIGAP's governance and compliance with the legal framework for PAs and biodiversity management; and finally increase impact on national, sectoral, and international policies.

¹⁴ [Boletín Estadístico de Turismo. Enero-Diciembre 2014. INGUAT](#)

¹⁵ Tourism that promotes biodiversity conservation objectives is also known as ecotourism.

The project responds to the following lines of government: Democratic Security and Justice; Competitive Economic Development, Productive Infrastructure; Social Development; and Social and Sustainable Development.

The project's outcomes include:

Outcome 1. Strengthened legal and policy framework for implementing ecotourism as part of a strategy to engender the financial sustainability of the SIGAP.

Outcome 2. Improved institutional framework for ecotourism management in PAs includes a pilot program for ecotourism implementation in the Western Highlands of Guatemala.

The main concept is the promotion of sustainable tourism as an economic and social catalyst for the generation of financial resources devoted to the conservation of biodiversity in Guatemala, as well as improving the quality of life of the population within and near PAs. To achieve these goals the project will deliver the following outputs:

Output 1.1: Reformed Policy for the Co-administration of PAs and its management tools.

Review and update the Policy for Co-Management of the PAs to include consideration for ecotourism development in PAs as part of a strategy to promote the financial sustainability of the SIGAP. The Policy for Co-Management of the PAs has as its main objective to promote collaboration between different public and private sectors and promote their participation in the conservation of biodiversity through PAs. Although the policy includes provisions to promote the financial sustainability of PAs through the diversification of financial sources and the efficient use and investment of PA revenues in those PAs under co-administration, these are very general and make no specific references to ecotourism.

Output 1.2: Reformed Policy on Tourist Activities in PAs governing inter-institutional cooperation, planning, investment, and management.

Update the Policy for Tourism Activities in PAs so that ecotourism may become a mechanism for securing the financial sustainability of the SIGAP. The Policy, which was approved more than 12 years ago, must be updated to achieve this objective. During the past 12 years various tourism management instruments have been generated, and while the instruments may provide support to tourism planning and management, they are not necessarily unified with the current Policy for Tourism Activities in PAs.

Output 1.3: CONAP regulation for the collection and reinvestment of gate and concession fees in PAs.

CONAP's regulation to control income derived from visitor activities and to establish and regulate fees and reinvestment of profits will help to manage the entrance and departure of visitors to and from the PAs, and collect and log visitor entrance fees. Registration of information about visitor-derived income and payment for at least 22 PAs with visitors, including the pilot PAs in the Western Highlands, will be done through the Unified Registry of Visitors, a registry process that CONAP and INGUAT established jointly in 2009. In addition, as a result of the project PA administrators will have guidelines to calculate the readmission rate according to the type of visitor (e.g., local, national, or international) and PA category, as well as the financial needs of each PA to secure its sustainability and generate profit for reinvestment in the management of the PA.

Output 1.4: Environmental standards and certification system for ecotourism development to govern private sector investments in PAs and enable biodiversity conservation.

The project will define environmental standards for ecotourism development in the PAs, including guidelines for best practices directed towards tourism guides and operators, PA administrative personnel, and visitors. These best practices guidelines will be incorporated into a handbook that will be distributed among the PA's users. The specific activities, which will be developed during the second year of the project, include: a) the identification of national and international environmental standards for the implementation of ecotourism in PAs and ecotourism certification; b) the unification of standards in accordance with the requirements and necessities of the SIGAP; c) the integration of the best practices guide for implementing ecotourism in the PAs into the Public Use Plan Handbook; d) approval by CONAP's Executive Secretariat of environmental standards and best practices guide; and e) drafting of the final document and publication.

To encourage investment in the PAs, economic incentives will be developed through the project for the private sector and PA administrators.

Output 2.1: Training program increases technical capacity of PA managers (i.e., CONAP, INGUAT, co-administrators, municipalities, and local community organizations) to a) implement environmental and social safeguards for ecotourism; b) visitor services; and c) evaluate, monitor, and mitigate the impacts of ecotourism (acceptable limits of change in ecologically sensitive areas of pilot landscapes).

The activities to be developed are: a) design a permanent training program that includes teaching modules and training materials related to relevant issues (implementation of environmental and social safeguards for ecotourism; visitor services and management; and evaluation, monitoring, and mitigation of impacts from ecotourism); b) conduct training sessions in the field (pilot PAs in the Western Highlands) that will benefit 100 people; c) evaluate the impact of the training through interviews, document review, and follow-up conducted in the field about what was learned and the application of the UNDP Capacity Development Scorecard (the scorecard will be applied twice more during the life of the project: at the mid-point and finalization).

Output 2.2: Thirty (30) officials from CONAP trained to manage visitors and monitor the impacts of ecotourism.

The project will develop training activities for CONAP officials in order to improve their skills in managing visitors and monitoring the impacts of ecotourism in PAs. By the end of the project 30 officials from CONAP, including staff from PAs in the Western Highlands and other regions with visitors (e.g., the Petén), and regional and headquarters offices will be trained.

Output 2.3: Monitoring strategy developed to evaluate acceptable limits of change in ecologically sensitive areas of pilot landscapes.

A monitoring and evaluation program will be designed through the project in which key variables related to the impact of ecotourism on ecologically sensitive areas in the seven PAs of the Western Highlands will be identified. These variables will include those related to the project indicators that were defined in the Strategic Results Framework and identified during

the PPG phase for each of the seven PAs. The design will include databases, standards for information gathering, digitization, analysis, and procedures for reporting the results.

Output 2.4: Management plans for PAs with ecotourism embedded as part of their financing strategies.

The following will be achieved through the project: a) development of three Management Plans (Volcán Chicabal NCM, Corazón del Bosque MRP, and Rey Tepepul MRP) beginning in the second year of the project; b) approval of four Management Plans (Todos Santos Cuchumatán MRP, Volcán Chicabal NCM, Corazón del Bosque MRP, and Rey Tepepul MRP) by the CONAP Executive Secretariat; and c) updated Management Plans in three PAs in the department of San Marcos: Astillero Municipal 1 and 2 de San Pedro Sacatepéquez MRP, Astillero Municipal de San Marcos MRP, and Canjulá, Tocapote, Los Maijones MRP.

In addition, as part of the actions for the revision of Management Plans, the project will provide support for the inclusion of two of the pilot PAs in the SIGAP (Corazón del Bosque MRP [35.4 ha] and Rey Tepepul MRP [3,892 ha]). A decree for their creation will be drafted through the project and presented to the CONAP Executive Secretariat for their consideration and to inscribe these two areas in the SIGAP.

The project will also support the development of a Proposal of Law to recategorize the Volcán Chicabal from a PBA to a Natural and Cultural Monument (NCM). The necessary documentation (technical and legal) will be developed for the reclassification and the proposal will be presented for consideration and approval by the CONAP Executive Secretariat.

The Visitors Management Plan (formerly known as the Public Use Plan) complements and develops the general guidelines outlined in the Management Plan of each PA. This will be the tool used to delineate, direct, and control the development of ecotourism activities in each of the project's pilot PAs. As the Visitors Management Plan will be in line with the Management Plan, it will help to maintain the ecological, landscape, scenic, and potential recreational use conditions of each PA. In addition, it will serve as an instrument to promote visitation in the PAs and the development of ecotourism as an economic activity that will contribute to the financial sustainability of the PAs and benefit the local communities.

Output 2.5: PA business plans in place for each pilot landscape promoting the development of new tourism routes in areas receiving few visitors, with ecotourism potential.

The project will develop business plans for seven PAs in the pilot landscapes following the guidelines defined in their Management and Public Use Plans. The activities that will be performed for this purpose are: a) the evaluation of specific financing needs for each area (analysis of basic and optimal management costs); b) evaluation of the potential for each PA to generate its own resources through visitation and provision of ecotourism services, as well as the potential to obtain income through other mechanisms (payment for ecosystem services, concessions or contracts, others) and financing through other external sources (governmental and non-governmental); c) cost benefit analysis; d) development of mid-term (5-year) and long-term (10-year) financial plans with an emphasis on the promotion of visitation and incorporating the elements of the cost benefit analysis, and strategies for reinvesting income generated by the PA through gate fee payments and provision of ecosystem services; e) development of safeguards in line with Output 2.2 to ensure that the activities that generate

income within the PAs do not adversely affect the PAs' conservation objectives; and f) approval of the seven pilot PAs' business plans by CONAP authorities.

Output 2.6: Gate and concession fees system including collection, allocation, and fee leveling piloted.

The development and implementation of the system to establish gate and tourism service fees will include the following activities: a) review and update the existing criteria for establishing gate and tourism service fees in the PAs of the Western Highlands, with specific reference to the seven pilot PAs; b) develop a proposal for gate and tourism service fees based on the financial needs of the PAs and the potential for each PA to generate its own revenue.

3. Objectives of the Mid-term Review (MTR)

The MTR will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document, and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTR will also review the project's strategy, its risks to sustainability.

4. MTR Approach & Methodology

The MTR must provide evidence based information that is credible, reliable and useful. The MTR consultant will review all relevant sources of information including documents prepared during the preparation phase. The MTR consultant will review the baseline GEF focal area Tracking Tool submitted to the GEF at CEO endorsement, and the midterm GEF focal area Tracking Tool that must be completed before the MTR field mission begins.

The MTR consultant is expected to follow a collaborative and participatory approach ensuring close engagement with the Project Team, government counterparts (the GEF *Operational Focal Point*), the UNDP Country Office(s), UNDP-GEF Regional Technical Advisers, and other key stakeholders.

Engagement of stakeholders is vital to a successful MTR. Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including¹⁶:

- UNDP Environment and Energy Programme Officer
- High rank officials within CONAP
- Directors of relevant departments within CONAP
- Relevant Experts
- Consultants in the area covered by the project
- Project Director
- Project Coordinator
- Project Board
- Key project stakeholders:
 - a. Representatives from Guatemala's National Tourism Board -INGUAT-
 - b. Representatives from the Ministry of Culture and Sports -MICUDE-

¹⁶ Stakeholders that are relevant to the project and that are identified during the MTR may be added to this list.

- c. Representatives from Regional Delegations of CONAP in the Western Highlands, the Central Highlands, and the Northwestern Highlands
- d. Representatives of local governments: Municipalities of Sibinal, Todos Santos Cuchumatán, San Marcos, San Pedro Sacatepéquez, and Santiago Atitlán.
- e. Representatives of PAs administered by community associations: Laguna de Chicabal Association of Organic Farmers – ASAECO- and La Guadalupeana Agriculture and Traditional Crafts Development Association.
- f. Civil Society: HELVETAS Swiss Inter-cooperation, Asociación Alterna NGO.

Additionally, the MTR consultant is expected to conduct field missions to the Project pilot sites:

- Corazón del Bosque Private Natural Reserve, Santa Lucía Utatlán, Sololá
- Volcán Chicabal Permanent Ban Area, San Martín Sacatepéquez, Quetzaltenango
- Sibinal Municipal Regional Park, Sibinal, San Marcos
- Todos Santos Cuchumatán Municipal Regional Park, Huhuetenango
- Rey Tepepul Municipal Regional Park, Santiago Atitlán, Sololá
- Astillero I y II de San Pedro Sacatepéquez Municipal Regional Park, San Marcos
- Astillero de San Marcos Municipal Regional Park, San Marcos

The final MTR report should describe the full MTR approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the review.

5. Detailed Scope of the MTR

The MTR team will assess the following four categories of project progress. For additional guidance see [Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects](#).

i. Project Strategy

Project design:

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- Review the extent to which relevant gender issues were raised in the project design. For additional guidance see: [Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects](#).

- If there are major areas of concern, recommend areas for improvement.

Results Framework/Logframe:

- Undertake a critical analysis of the project’s logframe indicators and targets, assess how “SMART” the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
- Are the project’s objectives and outcomes or components clear, practical, and feasible within its time frame?
- Examine if progress so far has led to, or could in the future catalyze beneficial development effects (i.e. income generation, gender equality and women’s empowerment, improved governance, etc.) that should be included in the project results framework and monitored on an annual basis.
- Ensure broader development and gender aspects of the project are being monitored effectively. Develop and recommend SMART ‘development’ indicators, including sex-disaggregated indicators and indicators that capture development benefits.

ii. Progress towards Results

Progress towards Outcomes Analysis:

Review the logframe indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix and following the [Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects](#). Color code progress in a “traffic light system” based on the level of progress achieved; assign a rating on progress for each outcome and make recommendations from the areas marked as “Not on target to be achieved” (red).

Table: Color code system for assessment indicators using a “traffic light system”:

Green= Achieved	Yellow= On target to be achieved	Red= Not on target to be achieved
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In the analysis of progress towards outcomes the evaluation will:

- Compare and analyze the GEF Tracking Tool at the Baseline with the one completed right before the Midterm Review.
- Identify remaining barriers to achieving the project objective in the remainder of the project.
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

Table: Progress towards results matrix based on the project’s logical framework.

Project Strategy	Indicator	Baseline	Progress by first PIR (self-reported)	Target by End of Project	Midterm Level & Assessment ¹	Achievement Rating ¹	Justification for Rating						
Project Objective. To strengthen the financial sustainability of Guatemala’s Protected Areas System (SIGAP) by developing new financing vehicles within the developing ecotourism sector, while ensuring the alignment of ecotourism activities with biodiversity conservation objectives.	Number of tourism routes within five pilot Western Highlands landscapes (i.e., RUMCLA - Lake Atitlán, Todos Santos Cuchumatán, Tacaná Volcano, Tajumulco Volcano, and Chicabal Lagoon-Volcano) contribute to the conservation of 152,146 ha with biodiversity of global importance.	– Five (5)		– Seven (7)									
	Total area (ha) protected in the Western Highlands with ecotourism benefits	– 7,255.4 hectares (MRP Todos Santos Cuchumatán)		– 14,397.55 hectares									
	Number of key species per biological group (mammals, birds, and plants) in seven pilot PAs: 1. MRP Todos Santos Cuchumatán; 2. MRP Astillero Municipal 1 and 2 de San Pedro Sacatepéquez; 3. MRP Astillero Municipal de San Marcos; 4. MRP Canjulá Tocapote, Los Maijones; 5. MRP Corazón del Bosque; 6. MRP Rey Tepepul; 7. PBA Volcán Chicabal.		P A	Mammals	Birds	Plants	P A	Mammals	Birds	Plants			
			1.	4	3	5	1.	4	3	5			
			2.	4	3	5	2.	4	3	5			
			3.	4	4	5	3.	4	4	5			
			4.	5	4	5	4.	5	4	5			
			5.	3	2	5	5.	3	2	5			
		6.	4	4	5	6.	4	4	5				
	7.	4	2	5	7.	4	2	5					
		Note: Five species will be used for each biological group; during the first six months of project implementation all the species will be identified.											
	Change in the financial capability of the SIGAP according to that which is established in the total	– Legal and policy framework: 39.2% – Business planning: 11.5%		– Legal and policy framework: 49.2% – Business planning: 21.5% – Income generation tools:									

	average score in the UNDP/GEF Financial Sustainability Scorecard	– Income generation tools: 24.6% – Total: 26.4%		34.6% – Total: 36.4%			
Outcome 1. Strengthened legal and policy framework for implementing ecotourism as part of a strategy to engender the financial sustainability of the SIGAP.	Change in the legal and policy framework at the national level.	– Policy for Tourism Activities in PAs – Co-administration policy in PAs – CONAP regulation for control and reinvestment of income from PAs – Regulation of Concession Services for Visitors in SIGAP – Tourism management instruments in the SIGAP		– Policy for Tourism Activities in PAs reformed – Co-administration policy in PAs updated – CONAP regulation for control and reinvestment of income from PAs updated – Regulation of Concession Services for Visitors in SIGAP updated – Tourism management instruments in the SIGAP updated			
	Number of PAs implementing Public Use Plans	– Four (4)		– Eleven (11)			
	Number of PAs with Unified Registry of Visitors in the pilot areas of the project	– Five (5)	- Seven (7)	– Ten (10)			
	Number of agreements between the private sector and SIGAP officials for the operation of ecotourism activities in PAs of the Western Highlands	– One (1): MRP Canjulá Tocapote, Los Maijones		– Eight (8)			
Outputs:							
1.1. Reformed Policy for the Co-administration of PAs and its management tools							
1.2. Reformed Policy on Tourist Activities in PAs governing inter-institutional cooperation, planning, investment, and management							
1.3. CONAP regulation for the collection and reinvestment of gate and concession fees in PAs							
1.4. Environmental standards and certification system for ecotourism development to govern private sector investments in PAs and enable biodiversity conservation							
Outcome 2. Improved institutional framework for ecotourism management in PAs includes a pilot program	Change in the capacity development indicators according to the UNDP Capacity Development Scorecard (100 PA administrators [CONAP, INGUAT, municipal co-administrators, tourism	A) Participation: X B) Generate, access, and utilize information and knowledge: X C) Development of strategies, policies, and legislation: X D) Management and		A) Participation: X B) Generate, access, and utilize information and knowledge: X C) Development of strategies, policies, and legislation: X D) Management and			

for ecotourism implementation in the Western Highlands of Guatemala.	operators, local community organizations] trained in visitor services and evaluation, monitoring, and mitigation of impacts from ecotourism)	implementation: X E) Monitoring and evaluation: X		implementation: X E) Monitoring and evaluation: X			
	Number of PAs in the Western Highlands established and registered in SIGAP	- Thirty-nine (39)		- Forty-one (41)			
	Number of PAs in the Western Highlands with monitoring, evaluation, and mitigation programs addressing impacts of ecotourism on ecologically sensitive areas	- Zero (0)		- Seven (7)			
	Change in the annual income generated in 22 PAs that have visitors	- \$1,393,123		- \$1,811,060 (increase by 30%)			
	Number of PAs in the Western Highlands with a system of entrance fees and visitor services in operation	- Two (2): Permanent Ban Area Volcán and Laguna de Chicabal, and MRP Concepción Chiquirichapa		- Eight (8): Baseline + 6 pilot areas			
	Change in the financial gap to cover basic management costs and investments by SIGAP as a result of the increase in income generated by the PAs through gate fees and provision of services	- \$4,952,795		- \$4,209,876 (15% reduction in the financial gap)			
	Change in the management effectiveness of the selected PAs in the pilot landscapes through METT	- MRP Todos Santos Cuchumatán: 58 - MRP Astillero Municipal 1 y 2 de San Pedro Sacatepéquez: 27 - MRP Astillero Municipal de San Marcos: 54 - MRP Canjulá, Tocopote, Los Maijones: 32 - MRP Parque Ecológico		- MRP Todos Santos Cuchumatán: 78 - MRP Astillero Municipal 1 y 2 de San Pedro Sacatepéquez: 47 - MRP Astillero Municipal de San Marcos: 74 - MRP Canjulá, Tocopote, Los Maijones: 52 - MRP Parque Ecológico			

		Corazón del Bosque: 55 – MRP Rey Tepepul: 48 – PBA Volcán Chicabal: 38		Corazón del Bosque: 75 – MRP Rey Tepepul: 68 – PBA Volcán Chicabal: 58			
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- Outputs:
- 2.1. Training program increases technical capacity of PA managers (i.e., CONAP, INGUAT, co-administrators, municipalities, and local community organizations) to a) implement environmental and social safeguards for ecotourism; b) visitor services; and c) evaluate, monitor, and mitigate the impacts of ecotourism (acceptable limits of change in ecologically sensitive areas of pilot landscapes).
 - 2.2. Thirty (30) officials from CONAP trained to manage visitors and monitor the impacts of ecotourism
 - 2.3. Monitoring strategy developed to evaluate acceptable limits of change in ecologically sensitive areas of pilot landscapes
 - 2.4. Management plans for PAs with ecotourism embedded as part of their financing strategies
 - 2.5. PA business plans in place for each pilot landscape promoting the development of new tourism routes in areas receiving few visitors, with eco- tourism potential
 - 2.6. Gate and concession fees system including collection, allocation, and fee leveling piloted

iii. Project Implementation and Adaptive Management

Management Arrangements:

- Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.
- Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.
- Review the quality of support provided by UNDP and recommend areas for improvement

Work Planning:

- Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved.
- Are work-planning processes results-based? If not, can ways be suggested to re-orientate work planning to focus on results?
- Examine the use of the project’s results framework/ logframe as a management tool and review any changes made to it since project start.

Finance and co-finance:

- Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions.
- Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.
- Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?
- Informed by the co-financing monitoring table to be filled out, provide commentary on co-financing: is co-financing being used strategically to help the objectives of the project? Is the Project Team meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?

Table: The evaluator should complete this table with support from the project team

Financing Sources	Co-financier	Co-financing Type	Confirmed amount at CEO Endorsement Request (US\$)	Amount contributed at date of MTR (US\$)	Current estimated amount (%)
		TOTAL			

Monitoring and Evaluation System:

- Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive?
- Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?

Stakeholder Engagement:

- Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?
- Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?
- Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?

Reporting:

- Assess how adaptive management changes have been reported by the project management and shared with the Project Board.
- Assess how well the Project Team and partners undertake and fulfill GEF reporting requirements (i.e. how have they addressed poorly-rated PIRs, if applicable?)
- Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.

Communications:

- Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?
- Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)
- For reporting purposes, write one half-page paragraph that summarizes the project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.

iv. Sustainability

- Validate whether the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why.

- In addition, assess the following risks to sustainability:

Financial risks to sustainability:

- What is the likelihood of financial and economic resources not being available once the GEF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?

Socio-economic risks to sustainability:

- Are there any social or political risks that may jeopardize the sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long-term objectives of the project? Are lessons learned being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future?

Institutional Framework and Governance risks to sustainability:

- Do the legal frameworks, policies, governance structures, and processes pose risks that may jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems/ mechanisms for accountability, transparency, and technical knowledge transfer are in place.

Environmental risks to sustainability:

- Are there any environmental risks that may jeopardize the sustainability of the project outcomes?

v. Conclusions & Recommendations

The evaluator will include a section of the report setting out the MTR's evidence-based conclusions, in light of the findings.

Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report's executive summary. For more information regarding the recommendation table see "[Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects](#)".

The evaluator should make no more than 15 recommendations total.

vi. Ratings

The MTR team will include its ratings of the project's results and brief descriptions of the associated achievements in a *MTR Ratings & Achievement Summary Table* in the Executive Summary of the MTR report. See Annex E for ratings scales. No rating on Project Strategy and no overall project rating is required.

Table: MTR Rating Summary Table

Measure	MTR Rating	Achievement Description
Project Strategy	N/A	
Progress Towards Results	Objective Achievement Rating (rate 6-point scale)*	
	Outcome 1 Achievement Rating (rate 6-point scale)	
	Output 1.1 Achievement Rating (rate 6-point scale)	
	Output 1.2 Achievement Rating (rate 6-point scale)	
	Output 1.3 Achievement Rating (rate 6-point scale)	
	Output 1.4 Achievement Rating (rate 6-point scale)	
	Outcome 2 Achievement Rating (rate 6-point scale)	
	Output 2.1 Achievement Rating (rate 6-point scale)	
	Output 2.2 Achievement Rating (rate 6-point scale)	
	Output 2.3 Achievement Rating (rate 6-point scale)	
	Output 2.4 Achievement Rating (rate 6-point scale)	
	Output 2.5 Achievement Rating (rate 6-point scale)	
	Output 2.6 Achievement Rating (rate 6-point scale)	
	Project implementation and adaptive management	Rate 6-point scale
Sustainability	Rate 4-point scale	

* See rate 6-point scale included in annex E of these Terms of Reference

6. Timeframe

The total duration of the MTR will be approximately 10 weeks and shall not exceed three months from when the consultant is hired. The tentative timeframe is as follows:

Tentative timeframe	Activity
2 days after the consultant is hired	Induction the selected evaluator (handover of Project Documents)
4 days after the meeting	Document review and preparing MTR Inception Report
5 days after delivery	Finalization and Validation of MTR Inception Report
10 days after comments are submitted	"MTR mission": stakeholder meetings, interviews, field visits
7 day after mission in completed	Mission wrap-up meeting & presentation of initial findings
Three weeks after preparation	Preparing draft report
7 days after comments are submitted	Incorporating audit trail from feedback on draft report/Finalization of MTR report
	End of MTR

7. Expected outputs (deliverables)

#	Deliverable	Description	Timing	Responsibilities
1	Inception Report	Evaluator clarifies objectives and methods of the MTR	No later than 2 weeks before the "MTR mission"	Evaluator submits to UNDP Guatemala Office and to the Project Director and Project Coordinator
2	Presentation	Initial Findings	End of "MTR mission"	Evaluator submits to UNDP Guatemala Office and to the Project Director and Project Coordinator
3	Draft Final MTR Report	Full report (with annexes) using guidelines on content outlined in Annex B	Within 3 weeks of the "MTR mission"	Evaluator submits to UNDP Guatemala Office, after review by the UNDP-GEF Regional Technical Advisor Project Coordinating Unit
4	Final Report in English and Spanish	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final report all the comments received The report should be presented in English and Spanish	No later than one week after receiving comments by UNDP	Evaluator submits to UNDP Guatemala Office

The report should follow this format:

- Letter page size
- Numbered pages (except cover))
- Font "Calibri", size 11
- Single spaced
- Titles and subtitles in **BOLD** size 14 and 12, respectively
- Footnotes: Font "Calibri", size 8

8. MTR Arrangements

The principal responsibility for managing this MTR resides within UNDP.

UNDP will contract the consultant and ensure the necessary arrangements to conduct the MTR. The consultant will be responsible of per diems and travel costs during the MTR.

The Project Team will be responsible for liaising with the consultant to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

9. Institutional agreements

Coordination Line: The Individual Consultant shall submit its reports to the UNDP.

Location: The Consultant shall prepare deliverables in his private office; given that this will be an Individual Consulting, UNDP does not provide office space within its facilities. To attend meetings, the Individual consultant shall use his/her own resources (vehicle and fuel). The Individual Consultant will have support from the Project to coordinate meetings when necessary and when the request is made in advance.

10. Duty station

Work will take place in Guatemala City, including field visits to the areas of project intervention (see paragraph 4 of these ToR). The / Contractor shall attend relevant meetings with the various authorities and related agencies.

11. Evaluator required Experience

The consultants cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project's related activities.

The selection of consultant will be aimed at maximizing the quality in the following areas:

	Criteria	Maximum Point
Experience and skills	Recent experience with result-based management evaluation methodologies.	10
	Experience applying SMART indicators and reconstructing or validating baseline scenarios.	10
	Competence in adaptive management applied to the GEF biodiversity focal area.	10
	Experience in the design and/or implementation of monitoring and evaluation systems, preferably in UNDP-GEF projects.	10
	Work experience in Guatemala	10
	At least 10 years of relevant professional experience.	5
	Demonstrated understanding of issues related to gender and the GEF biodiversity focal area, experience in gender sensitive evaluation and analysis.	5
	Excellent communication skills.	5
	Demonstrable analytical skills.	10
	Project evaluation and review experiences within United Nations system will be considered an asset.	10
Education	A Master's degree in financial management, environmental engineering, environmental science, sustainable tourism, or other related area.	5
Technical proposal	Brief description of approach to work; proposed methodology on how he/she will approach and complete the assignment; and why the individual considers him/herself as the most suitable for the assignment (maximum of 3 pages).	10
Lowest economic proposal	Financial score = 30 points (Lowest proposal/ evaluated proposal).	30

12. Payment Modalities and Specifications

The payment is a lump sum in quetzals, including all expenses related to the presentation of the required deliverables (all inclusive¹⁷), the expected number of working days, and taxes.

A formal invoice must be submitted for each deliverable according to the following table:

Deliverable		Approved by	Deadline	Percent of payment
No.	Description			
1	Inception report	UNDP Country Director	2 weeks after signing the contract	10%
2	Draft of the final MTR report	UNDP Country Director	6 weeks after signing the contract	30%
3	Final report of the MTR in English and Spanish	UNDP Country Director	2 weeks after signing the contract	60%

After each deliverable is approved, UNDP shall notify the Individual Contractor to issue an invoice on behalf of United Nations Development Programme, NIT 312583-1, in Quetzals, and with the following description: " Payment deliverable No. ___ of __, under contract No. _____ ".

Payments to national contractors will be effective in Quetzals, and when applicable a VAT exemption will be issued. UNDP is not a withholding tax agent, so the Individual Contractor shall proceed in accordance with the tax laws that apply to the payment of income taxes (ISR) and others vested in it by its registration in the Unified Tax Registry (RTU).

13. Application process¹⁸

Interested individuals should submit a proposal consisting of the following documents:

- a. **Letter of Confirmation of Interest and Availability** using the template
- b. **Singed Personal History Form** (P11 form¹⁹) and Curriculum Vitae, both documents should include academic training, similar experience, and professional references.
- c. **Technical proposal** with a brief description of approach to work; proposed methodology on how he/she will approach and complete the assignment; and why the individual considers him/herself as the most suitable for the assignment (maximum of 3 pages).
- d. **Financial Proposal** that indicates the all-inclusive fixed total contract price and all other travel related costs (such as flight ticket, per diem, etc.), supported by a breakdown of costs, as per template attached to the Letter of Confirmation of Interest template. If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant

¹⁷ The term "all-inclusive" means that all costs (professional fees, travel costs, living expenses, communications, supplies, taxes, etc., as required in these Terms of Reference), which may be incurred by the Contractor, have been included in the total amount referred in the proposal.

¹⁸ The contracts to consultants must follow the guidelines presented in the guidelines for hiring consultants in the POPP:

<https://info.undp.org/global/popp/cap/Pages/selection-and-engagement-of-ic.aspx>

¹⁹ http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc

must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

Application materials should be included in an envelope properly labeled and submitted to:

United Nations Development Program (UNDP)
Procurement Office (PO)
Process No. UNDP 75856-1277/15
5^a Avenida 5-55 Zona 14, Torre IV, Nivel 10
Edificio Euro Plaza World Business Center

Guatemala City, Guatemala 01014

Criteria for Evaluation of the Best Proposal: Only those applications which are responsive and compliant will be evaluated. Offers will be evaluated according to the Combined Scoring method – where the educational background and experience on similar assignments will be weighted at 70% and the price proposal will weigh as 30% of the total scoring. The applicant receiving the Highest Combined Score that has also accepted UNDP's General Conditions will be awarded the contract.

14. Annexes

Annex A	List of Documents to be reviewed
Annex B	Guidelines on Contents for the final Midterm Review Report
Annex C	Midterm Review Evaluative Matrix Template
Annex D	UNEG Code of Conduct for Evaluators/Midterm Review Consultants
Annex E	Rating Scale

Other annexes:

Annex F	Evaluation MTR Report Clearance Form
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15. Signature of Contractor

I agree that the above Terms of Reference clearly specify the services and activities to be contracted and the degree of knowledge required.

Signature: _____ Date: _____

Broad participation is encouraged in the nominations for this consultancy, in compliance with the human development policy to promote equality of opportunity for all people from gender, multiculturalism, and differentiated capabilities perspectives

LIST OF DOCUMENTS TO BE REVIEWED

1. Project Identification Form (PIF)
2. UNDP Initiation Plan
3. UNDP Project Document
4. Project Inception Report
5. Project Implementation Reports (PIR)
6. Quarterly progress reports (QPRs)
7. Problem and risks analysis
8. Tracking tools used both for the establishment of baseline as project progress:
 - a. Institutional Capacity Scorecard
 - b. Financial Sustainability Scorecard
 - c. Management Effectiveness Tracking Tool (METT)
9. Oversight mission reports
10. All monitoring reports prepared by the project
11. Financial and Administration guidelines used by Project Team

The following documents will also be available:

12. Project operational guidelines, manuals and systems
13. UNDP country programme document
14. Minutes of the Project Board Meetings and other meetings
15. Project site location maps
16. Specific project reports (e.g., training program report, biological monitoring report, etc.)

GUIDELINES ON CONTENTS FOR THE FINAL MIDTERM REVIEW REPORT²⁰

- i. Basic Report Information** (for cover page or first page)
 - Title of the project
 - ID #: 81367
 - PIMS #: 3374
 - MTR time frame and date of MTR report
 - Region included in the project
 - GEF Operational Focal Area/Strategic Program
 - Executing Agency/Implementing Partner and other project partners
 - MTR team members
 - Acknowledgements
- ii. Table of content**
- iii. Acronyms and abbreviations**
- 1. Executive Summary** (3-5 pages)
 - Project Summary Table
 - Project Description (brief)
 - Project Progress Summary (between 200-500 words)
 - MTR Ratings & Achievement Summary Table
 - Concise summary of conclusions
 - Recommendation Summary Table
- 2. Introduction** (2-3 pages)
 - Purpose of the MTR and objectives
 - Scope & Methodology: principles of design and execution of the MTR, MTR approach and data collection methods, limitations to the MTR
 - Structure of the MTR report
- 3. Project Description and Background Context** (3-5 pages)
 - Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope
 - Problems that the project sought to address: threats and barriers targeted
 - Project Description and Strategy: objective, outcomes and expected results, description of field sites (if any)
 - Project Implementation Arrangements: short description of the Project Board; key implementing partner arrangements, etc.
 - Project timing and milestones
 - Main stakeholders: summary list
- 4. Findings** (12-14 pages)
 - a. Project Strategy*
 - i. Project Design
 - ii. Results Framework/Logframe
 - b. Progress Towards Results*
 - i. Progress towards outcomes analysis

²⁰ The Report length should not exceed 40 pages in total (not including annexes).

- ii. Remaining barriers to achieving the project objective
 - c. *Project Implementation and Adaptive Management*
 - i. Management Arrangements
 - ii. Work planning
 - iii. Finance and co-finance
 - iv. Project-level monitoring and evaluation systems
 - v. Stakeholder engagement
 - vi. Reporting
 - vii. Communications
 - d. *Sustainability*
 - i. Financial risks to sustainability
 - ii. Socio-economic to sustainability
 - iii. Institutional framework and governance risks to sustainability
 - iv. Environmental risks to sustainability
- 5. **Conclusions and Recommendations** (4-6 pages)
 - e. *Conclusions*
 - i. Comprehensive and balanced statements (that are evidence-based and connected to the MTR's findings) which highlight the strengths, weaknesses and results of the project
 - f. *Recommendations*
 - i. Corrective actions for the design, implementation, monitoring and evaluation of the project
 - ii. Actions to follow up or reinforce initial benefits from the project
 - iii. Proposals for future directions underlining main objectives
- 6. **Annexes**
 - MTR ToR (excluding ToR annexes)
 - MTR evaluative matrix (evaluation criteria with key questions, indicators, sources of data, and methodology)
 - Example Questionnaire or Interview Guide used for data collection
 - Ratings Scales
 - MTR mission itinerary
 - List of persons interviewed
 - List of documents reviewed
 - Co-financing table (if not previously included in the body of the report)
 - Signed UNEG Code of Conduct form
 - Signed MTR final report clearance form
 - *Annexed in a separate file:* Audit trail from received comments on draft MTR report
 - *Annexed in a separate file:* midterm Tracking Tool

MIDTERM REVIEW EVALUATIVE MATRIX TEMPLATE

Evaluative Questions	Indicators	Sources	Methodology
Project Strategy: To what extent is the project strategy relevant to country priorities and country ownership? Is this the best route towards expected results??			
(Include evaluative question(s))	(I.e., relationships established, level of coherence between project design and implementation approach, specific activities conducted, quality of risk mitigation strategies, etc.)	(I.e., project documents, national policies or strategies, websites, project staff, project partners, data collected throughout the MTR mission, etc.)	(I.e., document analysis, data analysis, interviews with project staff, and interviews with stakeholders, etc.)
Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?			
Project Implementation and Adaptive Management: Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?			
Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?			

RATING SCALE

Ratings for Progress Towards Results: (one rating for each outcome and for the objective)		
6	Highly Satisfactory (HS)	The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as “good practice”.
5	Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
4	Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
3	Moderately Unsatisfactory (HU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
2	Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
1	Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets.

Ratings for Project Implementation & Adaptive Management: (one overall rating)		
6	Highly Satisfactory (HS)	Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as “good practice”.
5	Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
4	Moderately Satisfactory (MS)	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
3	Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
2	Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
1	Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.

Ratings for Sustainability: (one overall rating)		
4	Likely (L)	Negligible risks to sustainability, with key outcomes on track to be achieved by the project’s closure and expected to continue into the foreseeable future
3	Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review
2	Moderately Unlikely (MU)	Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
1	Unlikely (U)	Severe risks that project outcomes as well as key outputs will not be sustained

7.2 MTR evaluative matrix (evaluation criteria with key questions, indicators, sources of data, and methodology) and Interview Guide

Indicative questions	Santiago Carrizosa UNDP	Flor Bolaños UNDP	Alejandro Calvente Project Coordinator	CONAP Project team	Directors and Chiefs CONAP (Regional and National)	CONAP ecotourism team	Municipal PA administrators	INGUAT, MICUDE	Associative PA administrators	TNC, Helvetas	Consultants	Certificación y Asociación Alternativa	Ana Lucía Orozco
Were lessons from other relevant projects properly incorporated into the project design?		X	X	X	X	X	X	X	X	X			X
Was the project concept in line with the national sector development priorities and plans of the country?	X	X	X	X	X		X	X	X				X
Were the perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?	X	X	X	X									
Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?	X	X	X	X	X								X
Has progress so far led to, or could in the future catalyze beneficial	X	X	X	X	X	X	X		X				

Indicative questions	Santiago Carrizosa UNDP	Flor Bolaños UNDP	Alejandro Calvente Project Coordinator	CONAP Project team	Directors and Chiefs CONAP (Regional and National)	CONAP ecotourism team	Municipal PA administrators	INGUAT, MICUDE	Associative PA administrator	TNC, Helvetas	Consultants	Certification and Asociación Alternativa	Ana Lucía Orozco
development effects that should be included in the project results framework and monitored on an annual basis?													
Are the broader development and gender aspects of the project being monitored effectively?	X	X	X	X	X			X	X				X
Have changes been made to the progress of the project and are they effective?		X	X	X	X	X	X						
Are responsibilities and reporting lines clear?			X	X	X	X	X	X	X	X			
Is decision-making transparent and undertaken in a timely manner?				X	X	X							
Is the execution by the CONAP of quality?	X	X					X	X	X	X	X	X	
Is the support provided by UNDP of quality?			X	X	X	X	X						
Are work-planning processes results-based? If not, can ways be suggested to re-orientate work planning to focus on results?			X	X	X	X							

Indicative questions	Santiago Carrizosa UNDP	Flor Bolaños UNDP	Alejandro Calvente Project Coordinator	CONAP Project team	Directors and Chiefs CONAP (Regional and National)	CONAP ecotourism team	Municipal PA administrators	INGUAT, MICUDE	Associative PA administrator	TNC, Helvetas	Consultants	Certification and Asociación Alterna	Ana Lucía Orozco
Is the project's results framework/ logframe as a management tool? Review any changes made to it since project start.			X	X	X	X							
Has the financial management of the project been assessed, with specific reference to the cost-effectiveness of interventions?		X	X	X	X								
Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions		X	X	X	X								
Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?		X	X	X	X								
Is co-financing being used strategically to help the objectives of the project?		X	X	X	X			X		X			

Indicative questions	Santiago Carrizosa UNDP	Flor Bolaños UNDP	Alejandro Calvente Project Coordinator	CONAP Project team	Directors and Chiefs CONAP (Regional and National)	CONAP ecotourism team	Municipal PA administrators	INGUAT, MICUDE	Associative PA administrators	TNC, Helvetas	Consultants	Certificación Alternativa	Ana Lucía Orozco
Is the Project Team meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?		X	X					X		X			
Do the monitoring tools currently being used provide the necessary information?	X	X	X	X									
Do the monitoring tools currently being used involve key partners?			X	X	X	X	X	X	X	X	X	X	
Are the monitoring tools currently being used aligned or mainstreamed with national systems?	X		X	X	X			X					
Do the monitoring tools use existing information?	X	X	X	X	X	X							
Are the monitoring tools currently being used efficient?	X	X	X	X	X	X							
Are the monitoring tools currently being used cost-effective?			X	X									
Are additional tools required?			X	X	X								
How could they be made more participatory and inclusive?			X	X	X								

Indicative questions	Santiago Carrizosa UNDP	Flor Bolaños UNDP	Alejandro Calvente Project Coordinator	CONAP Project team	Directors and Chiefs CONAP (Regional and National)	CONAP ecotourism team	Municipal PA administrators	INGUAT, MICUDE	Associative PAs administrators	TNC, Helvetas	Consultants	Certification and Asociación Alternativa	Ana Lucía Orozco
Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?			X	X	X	X							
Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?			X	X	X	X	X	X	X	X	X	X	
Do local and national government stakeholders support the objectives of the project?		X	X	X	X	X	X	X	X	X	X	X	
Do the government continue to have an active role in project decision-making that supports efficient and effective project implementation?				X		X	X	X	X				
To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?			X	X	X	X	X	X	X	X	X		
How has adaptive management changes been reported by the project management and shared with the Project Board?		X		X	X	X	X	X	X	X	X	X	

Indicative questions	Santiago Carrizosa UNDP	Flor Bolaños UNDP	Alejandro Calvente Project Coordinator	CONAP Project team	Directors and Chiefs CONAP (Regional and National)	CONAP ecotourism team	Municipal PA administrators	INGUAT, MICUDE	Associative PAs administrators	TNC, Helvetas	Consultants	Certification and Asociación Alterna	Ana Lucía Orozco
To what extent do the Project Team and partners undertake and fulfill GEF reporting requirements?	X	X	X	X	X	X					X	X	
How have lessons derived from the adaptive management process been documented, shared with key partners, and internalized by partners?				X	X	X	X	X	X	X	X		
How is the internal communication of project managed with the stakeholders? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results? Is communication regular and effective?	X	X	X	X	X	X	X	X	X	X	X	X	X
Are proper means of communication established or being established to express the project		X	X	X	X	X							

Indicative questions	Santiago Carrizosa UNDP	Flor Bolaños UNDP	Alejandro Calvente Project Coordinator	CONAP Project team	Directors and Chiefs CONAP (Regional and National)	CONAP ecotourism team	Municipal PA administrators	INGUAT, MICUDE	Associative PA administrator	TNC, Helvetas	Consultants	Certification and Asociación Alterna	Ana Lucía Orozco
progress and intended impact to the public?													
Did the project implement appropriate outreach and public awareness campaigns?		X	X	X	X	X							
Are the risks identified the most important? Are the risk ratings applied appropriate and up to date?		X	X	X	X	X							
What is the likelihood of financial and economic resources not being available once the GEF assistance ends?			X				X	X	X				
Are there any social or political risks that may jeopardize sustainability of project outcomes?	X	X	X	X	X	X	X		X	X		X	
What is the risk that the level of stakeholder ownership will be insufficient to allow for the project outcomes/benefits to be sustained?	X	X	X	X	X	X	X	X	X	X		X	
Do the various key stakeholders see that it is in their interest that the project benefits continue to flow?					X		X	X	X	X			

Indicative questions	Santiago Carrizosa UNDP	Flor Bolaños UNDP	Alejandro Calvente Project Coordinator	CONAP Project team	Directors and Chiefs CONAP (Regional and National)	CONAP ecotourism team	Municipal PA administrators	INGUAT, MICUDE	Associative PA administrator	TNC, Helvetas	Consultants	Certification Alternativa	Ana Lucía Orozco
Are lessons learned being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future?	X	X	X	X	X	X							

7.3 Ratings Scales

Ratings for Progress Towards Results

Ratings for Progress Towards Results: (one rating for each outcome and for the objective)		
6	Highly Satisfactory (HS)	The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as “good practice”.
5	Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
4	Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
3	Moderately Unsatisfactory (MU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
2	Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
1	Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets.

Ratings for Project Implementation & Adaptive Management

Ratings for Project Implementation & Adaptive Management: (one overall rating)		
6	Highly Satisfactory (HS)	Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as “good practice”.
5	Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
4	Moderately Satisfactory (MS)	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
3	Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
2	Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
1	Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.

Ratings for Sustainability

Ratings for Sustainability: (one overall rating)		
4	Likely (L)	Negligible risks to sustainability, with key outcomes on track to be achieved by the project’s closure and expected to continue into the foreseeable future
3	Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review
2	Moderately Unlikely (MU)	Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
1	Unlikely (U)	Severe risks that project outcomes as well as key outputs will not be sustained

7.4 Mission itinerary and tasks

Month	November		December					January				February		
Week	47	48	49	50	51	52	53	1	2	3	4	5	6	7
TASKS														
a. Document review														
Presentation of the project and handover of project documents														
Document review														
Skype first meeting with the UNDP / CONAP project														
Review and analysis of financial information														
Inception Report														
DELIVERABLE 1														
b. Interviews field visits and presentation														
Interviews with project team														
Field visits in the Western Highlands														
Interviews key stakeholders, capital city														
DELIVERABLE 2														
Initial Findings														
c. Analysis of information and implementation														
Analysis and drafting of the report														
DELIVERABLE 3														
Draft Report														
d. Drafting, review, and final delivery														
Review and corrections to the report														
DELIVERABLE 4														
Final Report														

7.5 MTR “mission itinerary”

Sunday 6	Monday 7	Tuesday 8	Wednesday 9	Thursday 10	Friday 11	Saturday 12	Sunday 13
Trip to Santa Lucía Utatlán	Interview with Salvador Culán, Coordinator Santiago Atitlán PAs	Trip to Huehuetenango	Trip to Todos Santos Cuchumatán	Trip to Quetzaltenango	Interview Julio Navarro, Coordinator San Pedro Sacatepéquez PAs 9:00	Trip to Sibinal	Return to Guatemala
Interview La Guadalupeana Agriculture and Traditional Crafts Development Association	Field visit to Mirador del Rey Tepepul		Interview Aníbal Pérez Coordinator Todos Santos PAs and Esteban Pérez	Interview in Regional Office Western Highlands (Quetzaltenango)	Field visit San Pedro MRP	Interview Elfido Pérez, Coordinator Sibinal PAs	
Trip to Corazón del Bosque	Trip to Sololá	Interview Regional Office Northwestern Highlands	Field visit Todos Santos Cuchumatán MRP	Interview ASAECO Directive Committee	Interview Sergio Pisquiy, Coordinator San Marcos PAs	Field visit Sibinal MRP	

Trip and overnight Panajachel	Interview CONAP Regional Office Central Highlands (Sololá)			Field visit Laguna de Chicabal		
	Overnight in Panajachel	Overnight in Huehuetenango	Trip overnight and in Huehuetenango	Trip and overnight in Quetzaltenango	Overnight in San Pedro Sacatepéquez	Trip and overnight in Quetzaltenango

1.6. Visits and Interviews Schedule

List of key stakeholders to be interview						
Agency	Name	Job Title	Method	Date	Time	Place
CONAP	Manuel Henry	General Technical Director Project Manager	Interview	Tuesday, Dec. 15	11:00 - 12:00	CONAP
	Enma Díaz	Executive Secretary	Interview	Tuesday, Dec. 15	7:30 - 8:00	CONAP
	Benedicto Lucas	Former Secretary General	Interview	Wednesday Dec. 17	14:00 - 15:00	To de determined
	Marco Tax	Former Deputy Secretary General	Interview	Wednesday, Dec. 17		
	Dafne Domínguez	Director Department of Conservation Units	Interview	Tuesday, Dec. 15	12:15 - 13:30	CONAP

	Lucia Pérez	Advisor, Chief of Cultural Heritage and Ecotourism Section				
	Samuel Estacuy	Regional Director Western Highlands	Interview	Field visit from Dec. 6 to 13		Regional Office
	Edgar Sosa	Regional Director Central Highlands	Interview	Field visit from Dec. 6 to 13		Regional Office
	Enrique Mérida	Regional Director Northwestern Highlands	Interview	Field visit from Dec. 6 to 13		Regional Office
	Alfonso Valenzuela	Financial Advisor	Focus Group	Tuesday, Dec. 15	10/1/30 8:30	CONAP
	Jorge Lu and Diana Monroy	Legal Director and Legal Advisor				
	Manuel Henry	General Technical Director Project Manager				
	Lucia Pérez	Advisor, Cultural Heritage and Ecotourism Section				
	Teresa Aguilar	Advisor, Chief of Cultural Heritage and Ecotourism Section				
	Frily Gálvez	Advisor, Cultural Heritage and Ecotourism Section				
INGUAT	Juan Pablo Nieto	Head Product Development	Interview	Wednesday, Dec. 16	9:00 - 10:30	INGUAT
	Jorge Mario Samayoa	Chief Natural Heritage	Interview			
MICUDE	Alba Nydia	Chief Natural Heritage	Interview	Wednesday, Dec. 16	12:00 - 13:00	MICUDE
Helvetas	Pedro López	Probosques Coordinator	Interview	Friday 11/ Field visit	18:00 - 19:00	San Pedro Sacatepéquez
TNC	Jorge Cardona	Biodiversity Expert	Interview	January	15:00 - 16:00	TNC

Asociación Alternativa	Daniel	Director	Interview	Thursday 10 / Field visit	18:00 - 19:00	Quetzaltenango
UNDP	Flor Bolaños	Officer Energy and Environment Program	Interview	To de determined		UNDP
	Santiago Carrizosa	Link UNDP Panama	Interview	Thursday, Dec. 18	11:00 - 12:00	Skype
Project	Alejandro Calvente	Coordinator	Interview	Monday, Nov. 30	8:00 a 15:00	CONAP
7 Pilot Areas		Environment and Protected Areas Coordinators	Interview	Field visit from Dec. 6 to 13		
Consultants	Axel Gómez	Tracking Tools	Interview	Wednesday, Dec. 17	8:30 - 11:00	CONAP
	Benjamín Vivas		Interview	Thursday, Dec. 18	8:30 - 10:00	Skype
Certifica	Carmen Rosa		Interview	January		
Other	Ana Lucía Orozco	Former Official Environment and Energy / UNDP	Interview			

7.7 List of persons interviewed

Agency	Name	Job Title
CONAP	Manuel Henry	General Technical Director Project Manager
	Enma Díaz	Executive Secretary
	Benedicto Lucas	Former Secretary General
	Dafne Domínguez	Director Department of Conservation Units
	Lucia Pérez	Advisor, Chief of Cultural Heritage and Ecotourism Section
	Samuel Estacuy	Regional Director Western Highlands
	Edgar Sosa	Regional Director Central Highlands
	Enrique Mérida	Regional Director Northwestern Highlands
	Alfonso Valenzuela	Financial Advisor
	Jorge Lu	Legal Director
	Diana Monroy	Advisor Legal Department
	Teresa Aguilar	Advisor, Chief of Cultural Heritage and Ecotourism Section
	Frily Gálvez	Advisor, Cultural Heritage and Ecotourism Section
INGUAT	Juan Pablo Nieto	Head Product Development
	Jorge Mario Samayoa	Chief Natural Heritage
MICUDE	Alba Nydia	Chief Natural Heritage
Helvetas	Pedro López	Probosques Coordinator
TNC	Jorge Cardona	Biodiversity Expert
Asociación Alternativa	Daniel	Director
UNDP	Flor Bolaños	Officer Energy and Environment Program
	Santiago Carrizosa	Link UNDP Panama
Project	Alejandro Calvente	Coordinator
	Delmy	Administrative assistant
	Luisa Zea	Consultant
7 Pilot Areas		Environment and Protected Areas Coordinators
Independent consultants	Axel Gómez	Tracking Tools
	Benjamín Vivas	PRODOC design
	Carmen Rosa, Certifica	Development of business plans for the pilot areas of the Project
Rainforest Alliance	Karla López	
Other	Ana Lucía Orozco	Former Official Environment and Energy / UNDP

7.8 Focal Groups Stakeholders

Focus Group CONAP	
Name	Job Title
Alfonso Valenzuela	Financial Advisor
Jorge Lu and Diana Monroy	Legal Director and Legal Advisor
Manuel Henry	General Technical Director Project Manager
Lucila Pérez	Advisor, Cultural Heritage and Ecotourism Section
Teresa Aguilar	Advisor, Chief of Cultural Heritage and Ecotourism Section
Frily Gálvez	Advisor, Cultural Heritage and Ecotourism Section
Focus Group, CONAP Project Team	
Luisa Zea	Project consultant
Lucila Pérez	Advisor, Cultural Heritage and Ecotourism Section
Teresa Aguilar	Advisor, Chief of Cultural Heritage and Ecotourism Section
	Focus Group Business Plans
Carmen Rosa	Director of Certifica
Luisa Zea	CONAP's focal point for the project

7.9 Focus Group Guidelines

1. Did you participate in the design of the project? If yes, what methods were used? What was positive and/or negative in the project design? What were the strengths and weaknesses of the design?
2. To what extent have the desired objectives and outcomes been achieved so far?
5. Do you consider the implementation of the project to be relevant to the local, departmental, and national priorities, and how?
5. Does the project contribute to the designs of other initiatives? If yes, which ones and how?
6. What participatory methods were used by the project for the development of outputs? Which methods have better appropriation

results and why?

7. What are the risks?

7.10 List of documents reviewed

The list of documents received from the project team follows:

17. Project Identification Form (PIF)
18. UNDP Initiation Plan
19. UNDP Project Document
20. Annual Operations Plan and Budgets
21. Project Inception Report
22. Project Implementation Reports (PIR)
23. Quarterly progress reports (QPRs)
24. Specific reports and outputs (policies, rules, regulations, certification standards, training, biological monitoring, master plans, management plans, business plans, registration of PAs, tariffs, incentives, potential assessment tool, legal homologations, impact monitoring, management plans guidelines)
25. Oversight mission reports Advisory Committee meetings
26. CONAP Annual Report
27. Problem and risks analysis: ATLAS Ecotourism
28. Project financial and administration guidelines
29. Minutes of Board Meetings
30. UNDP Guatemala programme document
31. Tracking tools used both for the establishment of baseline as project progress:
 - a. Institutional Capacity Scorecard
 - b. Financial Sustainability Scorecard
 - c. Management Effectiveness Tracking Tool (METT)
32. Co-financing
33. Project site location maps
34. Tracking Tools
35. ATLAS budgetary report
36. List of contracts and acquisitions

7.11 Co-financing table (if not previously included in the body of the report)

Co-financing at December 2015

Financing Sources	Co-financier	Co-financing Type	Confirmed amount at CEO Endorsement Request (US\$)	Amount contributed at date of MTR (US\$)	Current estimated amount (%)
Government of Guatemala Budget	CONAP	Cash	840,000.00	530,824.07	63%
Government of Guatemala Budget	CONAP	In-kind	210,000.00	248,094.26	118%
Private Grants	The Nature Conservancy	Cash	45,000.00	45,000.00	100%
Helvetas Swiss Intercooperation and funding for conservation	Helvetas Guatemala	Cash	240,000.00	178,803.00	74%
Grant funds	Tropical Forest Conservation Fund	Cash	338,000.00	93,607.00	28%
-	USAID Counterpart International ²¹	-	144,700.00	-	-
Private Grants	Rainforest Alliance	Cash	100,000.00	256,671.00	257%
Government of Guatemala Budget	INGUAT ²²	Cash	-	349,968.00	-
Private Grants and conservation funds	Foundation for Eco Development and Conservation -FUNDAECO- ²³	Cash	0.00	66,796.87	-
*** ²⁴	Asociación Vivamos Mejor	***	***	***	***
TOTAL			2,021,851.79	1,769,764.20	87%

²¹ This NGO closed operations in Guatemala more than two years ago.

²² INGUAT and FUNDAECO were not considered initially as co-financiers of the Project; however, they have provided significant support.

²³ INGUAT and FUNDAECO were not considered initially as co-financiers of the Project; however, they have provided significant support.

²⁴ Vivamos Mejor did not provide information on co-financing.

Annual funds from co-financiers partners

Donor Name	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Total (USD)
GEF	310,752.00	639,203.00	246,579.00	98,921.00	1,295,455.00
CONAP	262,500.00	262,500.00	262,500.00	262,500.00	1,050,000.00
The Nature Conservancy	10,000.00	11,700.00	11,700.00	11,600.00	45,000.00
Asociación Vivamos Mejor	52,000.00	52,151.79			104,151.79
Helvetas Guatemala	24,000.00	108,000.00	108,000.00		240,000.00
Tropical Forest Conservation Fund		112,600.00	112,700.00	112,700.00	338,000.00
USAID–Counterpart International	100,000.00	44,700.00			144,700.00
Rainforest Alliance	33,000.00	34,000.00	33,000.00		100,000.00
TOTAL	707,205.00	1,129,191.79	943,425.00	537,485.00	3,317,306.79

7.12 List of proposed key stakeholders and their participation in the project

Stakeholders	Description and Role in Project and Implementation responsibilities	Actual participation in the MTR
National Protected Areas Council (CONAP)	Legally mandated to manage the PAs of the country, as well as protect plant and animal species. CONAP will be the implementing partner of the project and will coordinate actions with all stakeholders involved for its effective execution.	Executing agency and coordinator
Secretary of Planning for the Presidency (SEGEPLAN)	The governing and regulatory body of the National System of Development Planning; SEGEPLAN is responsible for contributing to the formulation of general policy for the Government of Guatemala, as well as monitoring and evaluating compliance. It is responsible for the validation of the project on behalf of the Government of Guatemala.	It is participating through the training
Ministry of the Environment and Natural Resources (MARN)	Is charged with ensuring conservation of the country's environment. It has representatives in the majority of departmental capitals and in some municipalities.	Participates through COTURAP
Guatemalan Institute of Tourism (INGUAT)	Governing body for tourism in the country; it promotes and regulates tourism in all parts of the country that are considered important for tourism, including the PAs. Its role is to optimize and make compatible the	Active participation, key stakeholder and important for the development of the project and the sustainability of the proposed outputs

	management of the project's PAs the conservation of the landscape and cultural and natural resources in the Western Highlands with the development of tourism activities. It will also support building capacity in the communities.	
Other governmental institutions	INAB, MAGA, the Center for Conservation Studies (CECON), IDAEH, and the Office of Control of Reserves of the State (OCRET). Their role will be to support the public validation of the legal framework for promoting ecotourism in PAs through meetings and workshops with key stakeholders. Support will be sought from these institutions as partners in publications, building skills, and marketing the project.	Some agencies are involved as advisory bodies through the COTURAP. MICUDE has had a closer relationship with the project due to its participation in specific actions, such as URV and training.
Municipalities and Municipal Corporations	Responsible for promoting and protecting the renewable and non-renewable resources of the PAs within their jurisdictions. The municipalities directly associated with the project are: Todos Santos Cuchumatán (department of Huehuetenango); San Pedro (department of San Marcos); San Marcos (department of San Marcos); Sibinal (department of San Marcos); and Santiago Atitlán (department of Sololá).	Active participation by all municipalities in the implementation process of the project
Non-governmental organizations (NGOs)	Multiple NGOs work for the protection of the environment, natural resources management, and the promotion tourism in the Western Highlands, including: Vivamos Mejor, The Nature Conservancy (TNC), Helvetas Guatemala, the Worldwide Fund for Nature (WWF), Counterpart International, the Sololá Development Project (PROSOL), and the Association of Organizations of los Cuchumatanes (ASOCUCH). Some of these NGOs will be co-financers of the project, and will also provide technical assistance as project counterparts.	Participation of major co-financier NGOs of the project. Helvetas and TNC are participating in the Biological Monitoring project. Vivamos Mejor participated in some instances providing logistic support during the development of the outputs
Community organizations	Their role consists of being involved in decision-making, resources management, social auditing, employment opportunities, and seeking to enforce legal compliance for the conservation of resources through tourism development. Some of these organizations operate small tourism businesses.	Active participation by ASAECO and the La Guadalupana Agriculture and Traditional Crafts Development Association
Municipal Development Councils (COMUDES) and Community Development Councils (COCODES)	The COMUDES are formed by the Municipal Mayor, Trustees, Councilors, and the representatives of the COCODES. The COCODES are the community structure created to boost community participation in development planning and governance at the local level. As they are composed of community leaders, their role will be to serve as a liaison between the	They have been informed about the progress of the project; the project team has presented results to the various councils. They have contributed to the achievement of outcomes.

	community and the other stakeholders to ensure good communication and collaboration to benefit the project.	
Universities and technical institutes	The main support they will provide will be research and training, as well as publications and technical reports.	The project coordinator has had contact with some universities regarding research
Tourism operators	Wholesale tourism businesses that contract services with hotels, restaurants, and other tourist services and resell them to the end user as tourism packages. Their role is to provide tourist services with consideration given to the regulations that govern the PAs included in the project. May play a role in financing the project through advertising, sales, and marketing strategies, and the development of educational and promotional materials. Will contribute to attracting tourists to the project area.	So far no partnerships have been established with tourism operators; however, some have participated in some of the programs promoted by the project
Guatemalan Chamber of Tourism (CAMTUR)	Association that groups together the different sectors of the Guatemalan tourism industry. CAMTUR will facilitate communication between different tour operators and other tourism services guilds that may benefit the project. It is expected that through CAMTUR financial support from its members will be obtained to support the project.	There has been no participation
United Nations Development Programme (UNDP)	The UNDP is the Project's Implementing Agency and is responsible for monitoring its implementation. It will provide guidance, institutional support and technical and administrative assistance, as well as theoretical and practical knowledge at the national level and for the effective implementation of the project.	Important participation, follow-up, monitoring, evaluation, planning, technical and administrative assistance

7.13 Guidelines on Contents for the MTR Final Report ²⁵

iv. Basic Report Information (for the cover or first page)

- Project title
- ID #: 81367
- PIMS #: 3374
- MTR time frame and date of evaluation report
- Region and countries included in the project
- GEF Operational Focal Area/Strategic Program
- Executing Agency/Implementing Partner and other project partners
- Evaluation team members
- Acknowledgements

v. Table of content

²⁵ El informe no debería superar las 40 páginas en total (sin incluir anexos)

vi. Acronyms and Abbreviations

2. Executive Summary (3-5 pages)

- Project Summary Table
- Project Description (brief)
- Project Progress Summary (between 200-500 words)
- MTR Ratings & Achievement Summary Table
- Concise summary of conclusions
- Recommendation Summary Table

7. Introduction (2-3 pages)

- Purpose of the MTR and objectives
- Scope & Methodology: principles of design and execution of the MTR, MTR approach and data collection methods, limitations to the MTR
- Structure of the MTR report

8. Project Description and Background Context (3-5 pages)

- Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope
- Problems that the project sought to address: threats and barriers targeted
- Project Description and Strategy: objective, outcomes and expected results, description of field sites (if any)
- Project Implementation Arrangements: short description of the Project Board, key implementing partner arrangements, etc.
- Project timing and milestones
- Main stakeholders: summary list

9. Findings (12-14 pages)

g. Project Strategy

- Project Design
- Results Framework/Logframe

h. Progress Towards Results

- Progress towards outcomes analysis
- Remaining barriers to achieving the project objective

i. Project Implementation and Adaptive Management

- Management Arrangements
- Work planning
- Finance and co-finance
- Project-level monitoring and evaluation systems
- Stakeholder engagement
- Reporting
- Communications

j. Sustainability

- Financial risks to sustainability
- Socio-economic to sustainability
- Institutional framework and governance risks to sustainability
- Environmental risks to sustainability

10. Conclusions and Recommendations (4-6 pages)

k. Conclusions

- i. Comprehensive and balanced statements (that are evidence-based and connected to the MTR's findings) which highlight the strengths, weaknesses and results of the project

I. Recommendations

- i. Corrective actions for the design, implementation, monitoring and evaluation of the project
- ii. Actions to follow up or reinforce initial benefits from the project
- iii. Proposals for future directions underlining main objectives

11. Annexes

- MTR ToR (excluding ToR annexes)
- MTR evaluative matrix (evaluation criteria with key questions, indicators, sources of data, and methodology)
- Example Questionnaire or Interview Guide used for data collection
- Ratings Scales
- MTR mission itinerary
- List of persons interviewed
- List of documents reviewed
- Co-financing table (if not previously included in the body of the report)
- Signed UNEG Code of Conduct form
- Signed MTR final report clearance form
- *Annexed in a separate file:* Audit trail from received comments on draft MTR report
- *Annexed in a separate file:* midterm Tracking Tool

7.14 Project communications

1.- Capacity building for CONAP Officials 2014: <http://www.conap.gob.gt/index.php/servicios-en-linea/noticias/560-ecoturismo-en-areas-protegidas-como-estrategia-para-la-conservacion-de-la-biodiversidad.html>

2.-Capacity building programme for PAs Administrators:<http://www.conap.gob.gt/index.php/servicios-en-linea/noticias/698-promoviendo-el-ecoturismo-para-fortalecer-la-sostenibilidad-financiera-del-sistema-guatemalteco-de-areas-protegidas-sigap-huehuetenango.html>

3.- Incentives for the private sector (Programa Impulsa):
3.1.- Launch: <http://www.conap.gob.gt/index.php/servicios-en-linea/noticias/737-conap-lanza-concurso-de-iniciativas-ecoturisticas-para-emprendedores.html>

3.2.- Initiatives Contest
3.2.1.- WEB: <http://www.conap.gob.gt/index.php/servicios-en-linea/noticias/764-programa-impulsa-ecoturismo-conservacion-evolucion.html>

3.2.2.- Youtube: <https://www.youtube.com/watch?v=jY8MBplutyE>

3.2.3.- Facebook: file:///C:/Users/ACalvente/Documents/GEF-Ecoturismo/Visibilidad/05_Programa%20Impulsa_2015/02_Concurso%20de%20Ideas_Mayo2015/%281%29%20Programa%20Impulsa%20-%20Consejo%20Nacional%20De%20%20C3%81reas%20Protegidas.htm

3.2.4.- Facebook: file:///C:/Users/ACalvente/Documents/GEF-Ecoturismo/Visibilidad/05_Programa%20Impulsa_2015/02_Concurso%20de%20Ideas_Mayo2015/%281%29%20Consejo%20Nacional%20De%20%20C3%81reas%20Protegidas.htm

4.- Capacity building for CONAP Officials 2015: <http://www.conap.gob.gt/index.php/servicios-en-linea/noticias/767-capacitacion-sobre-turismo-en-el-sigap.html>

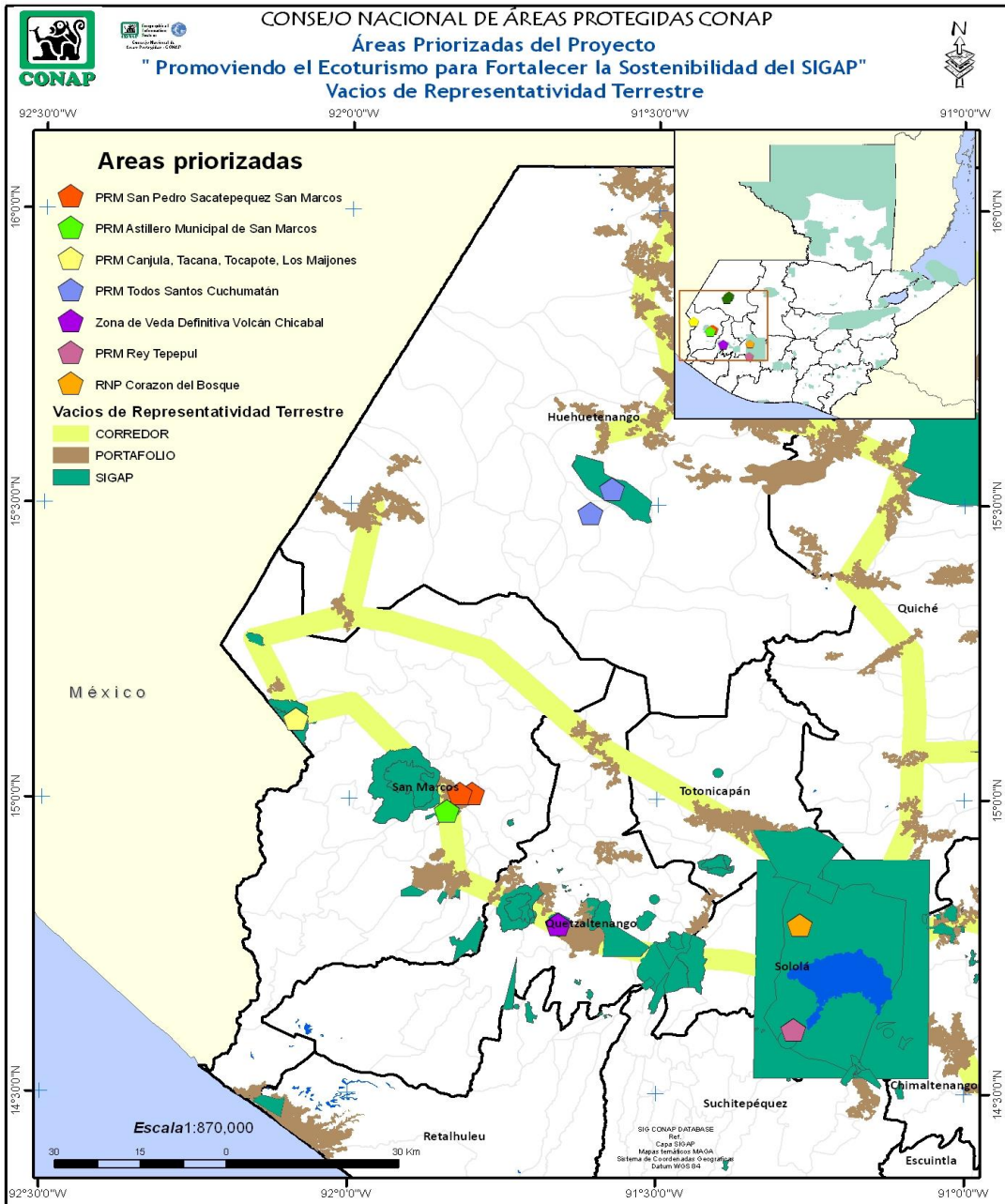
5.- Diploma of Identification, Formulation, Evaluation and Presentation of Sustainable Touristic Projects: <http://www.conap.gob.gt/index.php/servicios-en-linea/noticias/771-diplomado-para-la-elaboracion-de-proyectos-turisticos.html>

6.- Monitoring, evaluation, and mitigation programs addressing impacts of ecotourism on ecologically sensitive areas:

6.1.- Capacity building programme: <http://www.conap.gob.gt/index.php/servicios-en-linea/noticias/794-aprender-a-realizar-monitoreos-biologicos-en-todos-santos-cuchumatan.html>

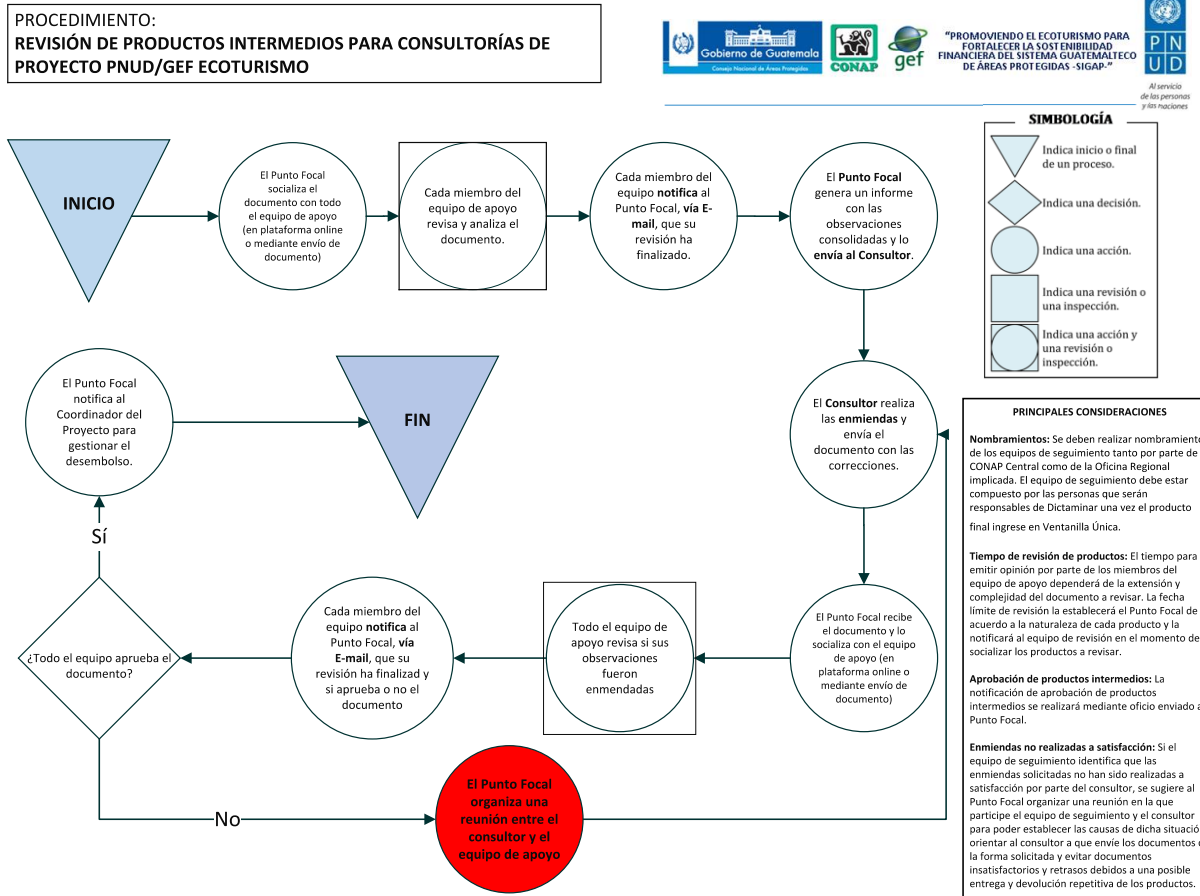
6.2.- Presentation of results: <http://www.conap.gob.gt/index.php/servicios-en-linea/noticias/790-guardabosques-y-lideres-comunitarios-podran-realizar-monitoreos-biologicos.ht>

7.15 Map of pilot protected areas of the project



7.16 Review Process Diagram

Diagram the summarizes the review process that has been designed by the team of CONAP.



7.17 Logical Framework Matrix

Logical framework of the project, which has been discussed by parts within the report. This framework presents two types of analysis: assessment using a color code progress in a “traffic light system” and through a description.

	Indicator	Baseline	Progress to date	Target by End of Project	Midterm Level & Assessment ¹	Achievement Rating ¹	Justification for Rating
Project Objective. To strengthen the financial sustainability of Guatemala's Protected Areas System (SIGAP) by developing new financing vehicles within the developing ecotourism sector, while ensuring the alignment of ecotourism activities with biodiversity conservation objectives.	Number of tourism routes within five pilot Western Highlands landscapes (i.e., RUMCLA - Lake Atitlán, Todos Santos Cuchumatán, Tacaná Volcano, Tajumulco Volcano, and Chicabal Lagoon-Volcano) contribute to the conservation of 152,146 ha with biodiversity of global importance.	- Five (5)	- Ten (10)	- Seven (7)		S	The routes proposed with Helvetas have not been aligned with the business plans of the pilot PAs. The definition of a tourism route must be agreed upon. Discussions have advanced and progress has been made.
	Total area (ha) protected in the Western Highlands with ecotourism benefits	- 7,255.4 hectares (MRP Todos Santos Cuchumatán)	-10,500.95 hectares	- 14,397.55 hectares		S	The target will not be achieved by the end of project (i.e., 100% protection); only 73% has been achieved because the total areas of three pilot PAs had to be changed from their original totals. Corazón del Bosque could not declare its entire surface area as a PA because of land tenure issues; thus, the official registration was not possible. Only 8.94 of the originally stipulated 35.4 ha could be established as a PA. The Chicabal Volcano PA had to reduce its total area from 1,572 ha to 496 ha. Finally, there were land tenure issues in the case of the Rey Tepepul PA and the total area was reduced from 3,892 to 3,509 ha. This means that at this point of the project the maximum number of

															hectares of PAs that will benefit from ecotourism has been achieved, potentially in these pilot areas.									
Number of key species per biological group (mammals, birds, and plants) in seven pilot PAs:		PA	Mammals	Birds	Plants	PA	M	B	P	PA	Mammals	Birds	Plants		HS									
8. MRP Todos Santos Cuchumatán; 9. MRP Astillero Municipal 1 and 2 de San Pedro Sacatepéquez; 10. MRP Astillero Municipal de San Marcos; 11. MRP Canjulá Tocapote, Los Maijones; 12. MRP Corazón de Bosque; 13. MRP Rey Tepepul; 14. PBA Volcán Chicabal.	1.	4	3	5	1	11 = <3G/2B >1G/5B	11 = 6G/5B	11 = 6G/5B	1.	4	3	5	7	4	2	5	7	4	2	5				
	2.	4	3	5					2.	4	3	5												
	3.	4	4	5					3.	4	4	5												
	4.	5	4	5	2	10 = <3G/4B >0G/3B	9 = 4G/5B	12 = 6G/6B	4.	5	4	5												
	5.	3	2	5					5.	3	2	5												
	6.	4	4	5					6.	4	4	5												
					3	9 = <3G/3B >0G/3B	16 = 1G/5B	18 = 12G/6B																
									4	9 = <2G/3B >1G/3B	16 = 11G/5B	17 = 11G/6B												
		7.	4	2	5	5	5 = <0G/3B >0G/2B	12 = 6G/6B	11 = 6G/5B	7.	4	2									5			
						6	18 = <2G/6B >5G/5B	16 = 11G/5B	18 = 6G/12B															
						7	9 = <2G/3B >2G/	7 = 11G/6B	15 = 6G/9															

					<table border="1"> <tr> <td data-bbox="888 224 1016 256">2B</td> <td data-bbox="1016 224 1129 256">B</td> </tr> </table> <p>Note: In the column of Mammals, (G) means indicator of environmental quality and (B) means indicator of no environmental quality. < means small mammal and > means large mammal.</p>	2B	B							<p>been identified as cross-cutting issues of interest to some co-financing partners.</p> <p>The species have been identified and the training for the systematization of the information is still pending. In addition, databases need to be developed as well as protocols that can be easily used by the park rangers.</p>
2B	B													
		<p>Note: Five species will be used for each biological group; during the first 6 months of project implementation all the species will be identified.</p>												
	<p>Change in the financial capability of the SIGAP according to that which is established in the total average score in the UNDP/GEF Financial Sustainability Scorecard</p>	<ul style="list-style-type: none"> - Legal and policy framework: 39.2% - Business planning: 11.5% - Income generation tools: 24.6% - Total: 26.4% 	<ul style="list-style-type: none"> - Legal and policy framework: 47.43% - Business planning: 18.03% - Income generation tools: 31.58% - Total: 32.35% 	<ul style="list-style-type: none"> - Legal and policy framework: 49.2% - Business planning: 21.5% - Income generation tools: 34.6% - Total: 36.4% 		S	<p>There has been a clear progress of 10% in the Legal and Regulatory Framework, the expected outcomes regarding the policies and tools have been successfully developed and are almost completed. There was also a 10% increase in business planning as the PAs' master plans and the management plans. The progress made to date has generated beneficial effects that are evident in each of the areas. The most important effect is the involvement of the key</p>							

						<p>stakeholders in the municipal administrations. This participation has led to evident progress and participation in processes such as training and socialization and agreement on the Master Plans. The most obvious case is that of San Pedro San Marcos, where the environmental official for the municipality was very skeptic and did not really believe in the project. Currently, his interest and involvement in the process was evident during the field visit and personal interview—he is now the driver of local development for ecotourism in the PA</p> <p>are almost fully completed, there has been significant progress made and it is estimated these will be completed before the end of the project. Finally, there was 6% progress made regarding the tools for income generation; work has been done related to the tariffs, with a strategy and an action plan covering the entire system. Regarding concessions within the PAs, progress has been made and a strategic plan has been developed in the Yaxhá; however, management plans are needed and they should</p>
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							be tested in the PAs. In addition, a permanent training plan is already in place, which includes a module on financial sustainability.
Outcome 1. Strengthened legal and policy framework for implementing ecotourism as part of a strategy to engender the financial sustainability of the SIGAP.	Change in the legal and policy framework at the national level.	<ul style="list-style-type: none"> – Policy for Tourism Activities in PAs – Co-administration policy in PAs – CONAP regulation for control and reinvestment of income from PAs – Regulation of Concession Services for Visitors in SIGAP – Tourism management instruments in the SIGAP 	<ul style="list-style-type: none"> – 100% Policy for Tourism Activities in PAs – 100% Co-administration policy in PAs – 80% CONAP regulation for control and reinvestment of income from PAs – 100% Regulation of Concession Services for Visitors in SIGAP - 90% Tourism management instruments in the SIGAP updated, and new instruments have been developed, such as the Potential for Ecotourism in Protected Areas, Guidelines for the development of public use, and COTURAP's internal regulations. 	<ul style="list-style-type: none"> – Policy for Tourism Activities in PAs reformed – Co-administration policy in PAs updated – CONAP regulation for control and reinvestment of income from PAs updated – Regulation of Concession Services for Visitors in SIGAP updated – Tourism management instruments in the SIGAP updated 		HS	Although all of the indicators are not 100% finalized, there has been good progress made. Additionally, new ecotourism tools have been included, which had not been considered initially; thus, the outcomes are considered highly satisfactory.
	Number of PAs implementing Public Use Plans	– Four (4)	- Four designed (100%) and on track to being approved. One 30% designed (Todos Santos), one 10% designed	– Eleven (11)		MS	The progress of this output is moderately satisfactory, despite being very advanced in most cases, there are still some that are at 0% and are far

			(Chicabal), and one 0% designed (Corazón del Bosque). - In addition, the master plans were developed or updated, which are required for the development of public use plans. In this case, five have designed their plans and approval is pending; in Chicabal there has been no progress; and in Corazón del Bosque 60% of the plan has been designed.				behind in the process. In addition, the Mirador Rey Tepepul MRP, despite having completed the master plan and the public use plan, has not been registered due to lack of support from the current mayor. However, it is an advanced activity and it is likely it will be completed successfully due to the follow-up that is being provided.
	Number of PAs with Unified Registry of Visitors in the pilot areas of the project	- Five (5)	- Seven (7)	- Ten (10)		HS	100% of the PAs are implementing the URV. However, there is an error in the logical framework as the target indicator (i.e., 10) does not match the number of pilot PAs (i.e., 7). The PIR indicates that the baseline is 2 and the target 5, which seems more consistent with the number of pilot PAs.
	Number of agreements between the private sector and SIGAP officials for the operation of ecotourism activities in PAs of the Western Highlands	- One (1): MRP Canjuá Tocapote, Los Maijones	- One (1)	- Eight (8)		MS	Agreements between the private sector and SIGAP authorities have not been established; however, work has been done with the Impulsa program, which promoted ecotourism projects that can be implemented in the pilot PAs. This is currently

							well underway and has made very good progress and results, we must now wait for the final results. There is a good chance that agreements are reached as part of this initiative. However, local exchanges with tourism service providers are still necessary.
Outputs :							
1.5. Reformed Policy for the Co-administration of PAs and its management tools							
1.6. Reformed Policy on Tourist Activities in PAs governing inter-institutional cooperation, planning, investment, and management							
1.7. CONAP regulation for the collection and reinvestment of gate and concession fees in PAs							
1.8. Environmental standards and certification system for ecotourism development to govern private sector investments in PAs and enable biodiversity conservation							
Outcome 2. Improved institutional framework for ecotourism management in PAs includes a pilot program for ecotourism implementation in the Western Highlands of Guatemala.	Change in the capacity development indicators according to the UNDP Capacity Development Scorecard (100 PA administrators [CONAP, INGUAT, municipal co-administrators, tourism operators, local community organizations] trained in visitor services and evaluation, monitoring, and mitigation of impacts from ecotourism)	A) Participation: Municipalities: 76.67 Associations: 77.78 Agencies in the field: 53.33 Agencies in the headquarters, capital city: 55.56 B) Generate, access, and utilize information and knowledge: Municipalities: 51.67 Associations: 58.33 Agencies in the field: 31.67 Agencies in the headquarters, capital city: 33.33 C) Development of strategies, policies, and legislation: Municipalities: 40 Associations: 66.67 Agencies in the field: 35.56 Agencies in the headquarters, capital city: 44.44* D) Management and implementation: Municipalities: 33.33 Associations: 41.67	A) Participation: Municipalities: 76.67 Associations: 77.78 Agencies in the field: 55.56 Agencies in the headquarters, capital city: 66.67 B) Generate, access, and utilize information and knowledge: Municipalities: 53.33 Associations: 70.83 Agencies in the field: 46.67 Agencies in the headquarters, capital city: 58.33 C) Development of strategies, policies, and legislation: Municipalities: 42.22 Associations: 66.67 Agencies in the field: 42.22	A) Participation: Municipalities: 82.67 Associations: 83.78 Agencies in the field: 59.33 Agencies in the headquarters, capital city: 61.56 B) Generate, access, and utilize information and knowledge: Municipalities: 57.67 Associations: 64.33 Agencies in the field: 37.67 Agencies in the headquarters, capital city: 39.33 C) Development of strategies, policies, and legislation: Municipalities: 46 Associations: 72.67 Agencies in the field: 41.56 Agencies in the headquarters, capital city: 50.44* D) Management and implementation: Municipalities: 39.33 Associations: 47.67 Agencies in the field: 36.00		MS	This is moderately satisfactory, there have been positive changes in institutional capacities; however, there are still other aspects that have not changed. The baseline was established in December 2013 and the comparison was made in 2015. In 2 years and due to the ecotourism project, the score for "Participation" of the agencies in the headquarters (capital city) and in the field, exceeded almost 30 points (reached target). As for "Generate and access to knowledge," there is a small increase in all the agencies after a number of trainings events on various topics were completed. The project, which seeks to strengthen

		<p>Agencies in the field: 30.00 Agencies in the headquarters, capital city: 66.67</p> <p>E) Monitoring and evaluation: Municipalities: 16.67 Associations: 41.67 Agencies in the field: 0 Agencies in the headquarters, capital city: 0</p>	<p>Agencies in the headquarters, capital city: 44.44</p> <p>D) Management and implementation: Municipalities: 40.00 Associations: 41.67 Agencies in the field: 33.33 Agencies in the headquarters, capital city: 66.67</p> <p>E) Monitoring and evaluation: Municipalities: 30.00 Associations: 41.67 Agencies in the field: 0 Agencies in the headquarters, capital city: 0</p>	<p>Agencies in the headquarters, capital city: 72.67</p> <p>E) Monitoring and evaluation: Municipalities: 22.67 Associations: 47.67 Agencies in the field: 6 Agencies in the headquarters, capital city: 6</p>		<p>institutional capacities for the development of strategies, policies, and legislation has contributed to increase the score in this aspect. However, there is little or no change in the score for capacity for "Management and implementation," and for "Monitoring and evaluation."</p> <p>The regional division of CONAP has increased its performance thanks to the project, which has provided support for topics such as strategic planning and master plan development. This has allowed them to be more involved, and as a result they are better positioned locally, within the same institution, and at the interinstitutional level. In addition, the concept of ecotourism has been integrated into the PAs. Finally, the training delivered has increased the expertise of CONAP officials.</p> <p>Regarding PA managers, the municipalities have increased their capacities, especially in the areas of information, knowledge, and strategies, and they have used their knowledge to improve their capacity for monitoring and evaluation. Finally, institutions such as</p>
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							<p>INGUAT also had higher scores due to an increase in its technical and financial resources in its offices in Sololá and Quetzaltenango.</p> <p>However, there are still major shortcomings at the promotional level. To help progress towards these specific results, the project carried out a series of actions that are described in Section 4.2 of this MTR.</p>
	Number of PAs in the Western Highlands established and registered in SIGAP	– Thirty-nine (39)	- Forty-three (43)	– Forty-one (41)		HS	<p>The indicator has increased from 39 to 43 PAs established and registered in SIGAP. The project positively influenced their registration providing institutional support as well as support in promoting the San Rafael de la Cuesta PA, where birds can be observed. In addition, the final registration of the Corazon del Bosque MRP was achieved; however, only 8.9 ha from the originally 35.4 ha planned were registered since the La Guadalupeana Agriculture and Traditional Crafts Development Association could only demonstrate legal ownership of this smaller area. However, it is not Highly Satisfactory since the Rey Tepepul MRP has not been registered.</p>
	Number of PAs in the	– Zero (0)	- Seven (7)	– Seven (7)		HS	<p>The 7 PAs have in place a program for the</p>

	Western Highlands with monitoring, evaluation, and mitigation programs addressing impacts of ecotourism on ecologically sensitive areas					evaluation, monitoring, and mitigation of impacts of ecotourism, which fully meets the expected outcome and is highly satisfactory. However, the training of CONAP park rangers and the municipalities needs to be improved so that the monitoring and evaluation program is established and is sustainable after project completion.
	Change in the annual income generated in 22 PAs that have visitors	– \$1,393,123	– \$1,151,714.88 (decrease by 17.4%)	– \$1,811,060 (increase by 30%)		U The total revenue generated in 2014 by the PAs through admission and service fees was \$1,151,714.88 USD (Q 8,833,653.00), which represents a negative change in revenue generated annually with a reduction of \$242,408.12 USD (a decrease of 17.4%). The study revealed that most of the revenue is from entrance fees, which are different for each PA and range between Q 3.00 and Q 108.00, depending on the type of visitor (i.e., national or international). Based on information provided by the 22 PAs of the sample, the total number of visitors in 2014 was 264,138. The study shows that the national parks generated the most revenue (Q.6,550,395.00; 74.15%), followed by the natural monuments (Q.

							1,318,620.00; 14.93%); other PA categories included as pilot areas in this review contribute less than 4% of the revenue. However, it is not highly unsatisfactory, but unsatisfactory, since the implementation of fees in the pilot areas is underway and are expected to be operational before the end of the project. This will help, but only by a small percentage (see Output 2.5). Finally, this fee system could be used by other PA management categories of SIGAP.
	Number of PAs in the Western Highlands with a system of entrance fees and visitor services in operation	– Two (2): Permanent Ban Area Volcán and Laguna de Chicabal, and MRP Concepción Chiquirichapa	– Ten (10)	– Eight (8): Baseline + 6 pilot areas		S	It is satisfactory because an entrance and service fee system was established in 10 PAs. This was accomplished through technical support to define the budget and develop the analysis of needs so that ecotourism will contribute to strengthening the PAs financially. Finally, the proposed fees were established with the support of municipal environmental officials and PA managers, and were presented to the municipal councils. The proposed fees were welcomed; however, they have not been implemented principally due to changes in leadership and the lack of

							adequate infrastructure within the PAs to serve visitors. Therefore, this action is not yet complete since the fee system has not been implemented.
Change in the financial gap to cover basic management costs and investments by SIGAP as a result of the increase in income generated by the PAs through gate fees and provision of services	– \$4,952,795	– Q. 240,559,688.30 for 2014.	– \$4,209,876 (15% reduction in the financial gap)			MU	It is moderately unsatisfactory as there was a problem with the method used to establish the baseline in 2010; the data used were incorrect, thus a comparison of the SIGAP financial gap is not possible. In 2014 a new method was defined using the criterion of money per hectare (USD/ha); this will serve to establish the financial needs of SIGAP and compare results from 2015 with future evaluations. Although values from 2010 cannot be compared, this new criterion will enable comparison between future evaluations. The baseline of SIGAP's financial needs for 2014 was established as 240,559,688.30 Q.
Change in the management effectiveness of the selected PAs in the pilot landscapes through METT	– MRP Todos Santos Cuchumatán: 58 – MRP Astillero Municipal 1 y 2 de San Pedro Sacatepéquez: 27 – MRP Astillero Municipal de San Marcos: 54 – MRP Canjulá, Tocapote, Los Maijones: 32 – MRP Parque Ecológico	– MRP Todos Santos Cuchumatán: 62 – MRP Astillero Municipal 1 y 2 de San Pedro Sacatepéquez: 37 – MRP Astillero Municipal de San Marcos: 63 – MRP Canjulá,	– MRP Todos Santos Cuchumatán: 78 – MRP Astillero Municipal 1 y 2 de San Pedro Sacatepéquez: 47 – MRP Astillero Municipal de San Marcos: 74 – MRP Canjulá, Tocapote, Los Maijones: 52 – MRP Parque Ecológico Corazón del Bosque: 75			S	The change in the management effectiveness of the pilot PAs has been satisfactory and homogeneous; all areas have experienced positive changes. However, efforts are still needed to achieve the target set, especially in the Todos Santos Cuchumatán MRP. This PA showed a change of 4

		<p>Corazón del Bosque: 55 – MRP Rey Tepepul: 48 – PBA Volcán Chicabal: 38</p>	<p>Tocapote, Los Maijones: 56 – MRP Parque Ecológico Corazón del Bosque: 69 – MRP Rey Tepepul: 59 – PBA Volcán Chicabal: 54</p>	<p>– MRP Rey Tepepul: 68 – PBA Volcán Chicabal: 58</p>		<p>points but still needs an additional 16 points. These changes are due mostly to the improvement of staff and equipment by the municipality and the contribution of the project to implementing fees, monitoring, planning, area boundaries, etc.</p> <p>The Astillero Municipal 1 and 2 MRP of San Pedro Sacatepéquez has the lowest score; 10 additional points are needed to reach the project's target. A change of attitude by the municipal staff in support of this project indicates that there is more interest at the municipal level, 80% of the AWP has been implemented.</p> <p>The Astillero Municipal MRP, San Marcos, presented a 9-point change; however, 11 additional points are needed to reach the project's target. Community support has been identified thanks to the work by the municipality.</p> <p>The Canjulá, Tocapote, Los Maijones MRP, had an increase of 24 points, which exceeds the target by 2 points. This was possible due to business partnerships with tour operators, the approval of fees at the level of the</p>
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						<p>COMUDE, and technical staff dedicated to ecotourism.</p> <p>The Parque Ecológico Corazón del Bosque MRP showed an increase of 14 points; however, 6 additional points are needed to reach the project's target. This area has the highest level of management effectiveness and has had the longest experience in this type of venture.</p> <p>– The Rey Tepepul MRP showed a 9- point increase; however, 9 additional points are needed to reach the project's target. The PA has funding from the MARN and technical staff for this type of project; in addition, it has taken advantage of the strengthening of technical and institutional capacities through planning.</p> <p>The Volcán Chicabal PBA showed a 16-point increase; however, 4 points are lacking to achieve the target. This PA has taken advantage of the project to strengthen internal capacities, and its long history as a PA allows them to recognize the benefits of the activity and the values of community and indigenous identities.</p>
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Outputs:

- 2.7. Training program increases technical capacity of PA managers (i.e., CONAP, INGUAT, co-administrators, municipalities, and local community organizations) to a) implement environmental and social safeguards for ecotourism; b) visitor services; and c) evaluate, monitor, and mitigate the impacts of ecotourism (acceptable limits of change in ecologically sensitive areas of pilot landscapes).
- 2.8. Thirty (30) officials from CONAP trained to manage visitors and monitor the impacts of ecotourism
- 2.9. Monitoring strategy developed to evaluate acceptable limits of change in ecologically sensitive areas of pilot landscapes
- 2.10. Management plans for PAs with ecotourism embedded as part of their financing strategies
- 2.11. PA business plans in place for each pilot landscape promoting the development of new tourism routes in areas receiving few visitors, with eco- tourism potential
- 2.12. Gate and concession fees system including collection, allocation, and fee leveling piloted

7.18 Signed UNEG Code of Conduct form for evaluators

UNEG Code of Conduct for Evaluators/Midterm Review Consultants¹

Evaluators/Consultants:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

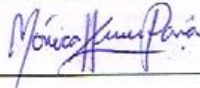
MTR Consultant Agreement Form

Agreement to abide by the Code of Conduct for Evaluation in the UN System:

Name of Consultant: Mónica Herrera-Pavía

Name of Consultancy Organization (where relevant): —

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Clapiers, France, 27th of April 2016 

7.19 Signed MTR final report clearance form

MTR Report Clearance form

(to be completed by the Commissioning Unit and UNDP-GEF RTA and included in the final document)

Midterm Review Report Reviewed and Cleared By:

Commissioning Unit

Name : _____

Signature : _____ Date : _____

UNDP-GEF Regional Technical Advisor

Name : _____

Signature : _____ Date : _____

7.20 Tracking Tools at midterm